

PN-ACF-724
99506

LAC Bureau
"Managing for Results"
Workshop

Fall 1994

This workshop is being conducted by Management Systems International, with support from Labat-Anderson, Inc , under the auspices of the PRISM Project The workshop portion of the project is jointly funded by PPC/CDIE/PME and LAC/SPM

**LAC Bureau
"Managing for Results"
Workshop Agenda**

Day One

- ◆ 8 30-9 00 welcome and introduction to Managing For Results Larry Beyna
- ◆ 9 00- 9 45 fundamentals of USAID's strategic-planning methodology Jon Hawley
- ◆ 9 45-10 15 individual exercise reconstructing an objective tree
- ◆ 10 15-10 30 break
- ◆ 10 30-11 00 lessons learned in applying strategic-planning principles Keith Brown
- ◆ 11 00-12 15 group exercise critiquing LAC Mission objective trees

- ◆ 12 15-1 15 lunch

- ◆ 1 15-1 45 identifying the right performance indicator Larry Beyna
- ◆ 1 45-2 45 group exercise critiquing LAC Mission performance indicators
- ◆ 2 45-3 00 break
- ◆ 3 00-3 30 lessons learned in developing performance indicators Keith Brown
- ◆ 3 30-4 45 group exercise critiquing LAC Mission objective trees and performance indicators, and recommending possible changes
- ◆ 4 45-5 00 wrap-up and introduction to Day Two

LAC Bureau
"Managing for Results"
Workshop Agenda

Day Two

- ◆ 9 00-10 15 group work on LAC regional action plans facilitated by workshop staff
- ◆ 10 15-10 30 break
- ◆ 10 15-12 30 continued group work and reports on LAC regional action plans
- ◆ 12 30-1 30 lunch
- ◆ 1 30-3 00 TDY facilitation workshop Donald Spears
- ◆ 3 00-3 15 break
- ◆ 3 15-4 30 facilitation workshop continued Donald Spears
- ◆ 4 30-5 00 final questions and workshop wrap-up

WHY PROGRAM PERFORMANCE MEASUREMENT AND EVALUATION?

WHY THIS WORKSHOP?

"The President shall establish a program performance, monitoring, and evaluation capacity within the United States Agency for International Development that will do the following

- 1) **Enhance, through training and other means, the use of program performance, monitoring, and evaluation as a management tool, by both the agency and its counterparts in countries receiving assistance, in the planning, designing, and implementation of foreign assistance projects and programs**
- 2) **Develop a program performance information system to afford agency managers at all levels, and counterparts in countries receiving assistance, a means for monitoring and assessing achievement of impact and interim performance of the agency's major programs in support of the strategic management of economic assistance**
- 3) **Prepare and disseminate objective and periodic reports on the progress of the agency in meeting development objectives and on lessons learned from its development programs**
- 4) **Strengthen the capacity to utilize the findings of program performance, measurement, and evaluation in decisions of the agency about program direction and resource allocation."**

Foreign Assistance Bill, pp 74-75

UNCLASSIFIED
 AGENCY FOR INT'L DEV
 TELECOMMUNICATIONS CENTER

OUTGOING
 TELEGRAM

LF 01 0 0 STAT 0 3 77 761805 7171 051404 AID7/68 STAT 0 347 261806 7171 051464 AID 76
 ORIG: AID DL DECISIONS AND RESOURCE ALLOCATIONS

ORIGIN OFFICE: PPCD 0
 IN O AFEA 0 AFSA 01 AFSW 06 NIS 03 ASAA 01 AFPE-07 OL 01
 LACE 01 LASA 07 LACA 03 AALA-01 PPSP-01 GC-01 GCAF-01
 GCAN 0 GCLA 01 GCCM 01 AAG-01 FVMS 01 PVC 02 ES 01
 PRPC 01 AAID 01 AAM 01 FHAA 01 POP 04 GCEU-01 STFN-02
 IGLC 01 SEOP 01 NEMC-03 IGRM-02 SERP-01 SECS-02 AHAD-01
 NER 02 AAXA 01 PPD1 01 NENA 03 ASSA-03 FABP-02 ASEA 07
 NEAR 01 DUMY 02 EURM 01 AFFW 02 NFA-03 ISMS-01 WIDE-01
 LAV 01 EUAA 01 /089 A0 26/1942Z

 INFO LOG 00 AF 00 ARA 00 ANHR 01 EAP-00 EUR-00 IO 16
 NEA 00 OIG-04 SA 00 /028R

3 AS WE MOVE TO ESTABLISH THIS FRAMEWORK WE ARE FORTUNATE IN BEING ABLE TO BUILD ON THE EXISTING PRISM SYSTEM AND TO DRAW ON THE PROGRESS A NUMBER OF MISSIONS AND BUREAUS HAVE ALREADY MADE IN ARTICULATING CLEAR STRATEGIC OBJECTIVES FOR THEIR PROGRAMS AND GETTING AND USING BETTER PERFORMANCE INFORMATION FOR DECISION MAKING WE NEED TO MOVE QUICKLY TO CONSOLIDATE AND BUILD ON THE BEST PRACTICES OF THESE MISSIONS AND BUREAUS IN IMPLEMENTING PRISM AND EXTEND THEM AGENCY-WIDE AS CORE ELEMENTS IN A COMMON SET OF PROCEDURES

4 WHAT ARE THESE BEST PRACTICES? THEY INCLUDE

A BROADLY PARTICIPATORY PROCESS OF STRATEGIC PLANNING INFORMED BY THE RECENTLY ANNOUNCED PARTICIPATION INITIATIVE TO IDENTIFY A FEW AMBITIOUS BUT ACHIEVABLE PROGRAM OBJECTIVES CLEAR STRATEGIES FOR ACHIEVING THOSE OBJECTIVES EXPLICIT PERFORMANCE TARGETS AND APPROPRIATE PERFORMANCE MEASURES

- RIGOROUS REVIEW OF MISSION AND BUREAU PORTFOLIOS TO ASSESS HOW WELL CURRENT AND PROPOSED ACTIVITIES ACHIEVE OBJECTIVES AND CARRY OUT STRATEGIES

- CONTINUOUS CONSULTATION WITH OTHER ELEMENTS OF THE U S COUNTRY TEAM A WIDE RANGE OF HOST COUNTRY INSTITUTIONS AND CITIZENS (INCLUDING INDIGENOUS AND U S BASED PVOS OPERATING IN THE COUNTRY) AND OTHER DONORS ON USAID S STRATEGIC CHOICES TO NEGOTIATE AND ARTICULATE AREAS OF MUTUAL INTEREST DEFINE RELATIVE ROLES AND

RESPONSIBILITIES AND CLARIFY POLICY CHANGE AGENDAS AND

-- SYSTEMATIC MEASUREMENT COLLECTION AND ANALYSIS OF PERFORMANCE INFORMATION ON PROGRESS BEING MADE TOWARD STRATEGIC OBJECTIVES ALONG WITH PROJECT AND PROGRAM/SECTOR EVALUATIONS AND ASSESSMENTS CAN SERVE AS KEY INPUTS IN DECISIONS ABOUT WHERE RESOURCES CAN BEST BE DIRECTED WITHIN AND ACROSS COUNTRIES

5 THESE ARE THE BEST PRACTICES AROUND WHICH I WANT TO BUILD FOR THE FUTURE I HAVE ASKED PPC TO COMPLETE AND

ISSUE AS SOON AS POSSIBLE A CORE DIRECTIVE ON SETTING AND MONITORING PROGRAM STRATEGY INITIAL DRAFTING HAS BENEFITED FROM SOUND ADVICE AND SUGGESTIONS FROM MANY PARTS OF THE AGENCY AND PPC HAS PREPARED A FINAL VERSION OF THE DRAFT PROGRAM STRATEGY DIRECTIVE BASED ON FEEDBACK FROM BUREAUS AND SELECTED MISSIONS FOLLOWING FROM THE QUOTE REENGINEERING UNQUOTE OF THE AGENCY S BASIC OPERATING SYSTEMS (INCLUDING PLANNING AID ASSISTANCE OBLIGATING FUNDS AND IMPLEMENTING PROGRAMS) NEW DIRECTIVES WILL EVENTUALLY REPLACE ALL OF THE AGENCY S EXISTING HANDBOOKS 1 4 PROVIDING A CLEARLY STATED CORE SET OF EXPECTATIONS AND REQUIREMENTS AND SIGNIFICANTLY STREAMLINING OUR PROCEDURES

I AM EAGER TO SEE ALL ELEMENTS OF THE AGENCY OPERATING WITHIN A COMMON FRAMEWORK THROUGH A CONSISTENT SET OF POLICIES STREAMLINED PROCEDURES AND COMMON TERMINOLOGY THIS BENEFITS U AID AND JUST AS IMPORTANTLY WILL MAKE IT EASIER FOR OUR DEVELOPMENT PARTNER TO PARTICIPATE WITH US

IN ASSISTANCE PLANNING AND IMPLEMENTATION PPC WILL BE WORKING WITH REGIONAL AND CENTRAL BUREAUS REGARDING UPCOMING TECHNICAL SUPPORT IN APPLYING THE CORE DIRECTIVES TO YOUR STRATEGIC MANAGEMENT PERFORMANCE MEASUREMENT AND PORTFOLIO DEVELOPMENT

DRAFTED BY AID/PPC/CDIE NVREELAND/SESMITH/CSCHOUX AG
 APPROVED BY DA/AID CAROL LANCASTER
 AID/ES AWILLIAMS AID/D/PPC TBROWN
 AA/LAC MSCHNEIDER (DRAFT) AA/AFF JFHICKS (DRAFT)
 AA/ANE MCRPENTER (DRAFT) AID/PPC/CDIE JERIKSSON (DRAFT)
 A AA/ENI MBUTLER (DRAFT)
 A/AID DMCCALL (DRAFT)
 AA/M LBYRNE (DRAFT)
 AA/G AVAN DLSEH (DRAFT)
 AA/r DC MDSTAFFORD (DRAFT)
 GC WMITCHELL (DRAFT)
 A A-/LPA RBOYER (DRAFT)
 AC XA JBUCKLEY (DRAFT)

- - - - -1F4510 281807Z /36
 P 261803Z JAN 94
 FM SFCSTATE WASHDC
 TO AID WORLDWIDE PRIORITY

UNCLAS STATE 023472

AIDAC TO MISSION DIRECTORS FROM THE ADMINISTRATOR

E O 1 356 N/A
 TAGS
 SUBJECT A STRATEGIC MANAGEMENT FRAMEWORK FOR USAID

1 AS YOU KNOW I HAVE PUBLICLY COMMITTED USAID TO REINVENTING ITSELF AS A MORE EFFICIENT EFFECTIVE AND RESULTS ORIENTED ORGANIZATION TO DO THIS WE FIRST NEED A STRATEGIC MANAGEMENT FRAMEWORK COMMON TO ALL AGENCY PROGRAMS SUCH A FRAMEWORK WILL HELP US MAKE THE DIFFICULT PROGRAMMING CHOICES WE NEED TO MAKE IN THE MONTHS AND YEARS AHEAD WHILE ENSURING THAT WE CONTINUE TO HAVE A POSITIVE IMPACT ON THE LIVES OF PEOPLE IN DEVELOPING COUNTRIES THE PURPOSE OF THIS MESSAGE IS TO CLARIFY WHAT I MEAN BY THIS AND HOW WE PLAN TO GET THERE

2 THIS STRATEGIC MANAGEMENT FRAMEWORK SHOULD BUILD ON THE INCOMPARABLE STRENGTH OF USAID S FIELD MISSIONS IN ORDER TO WORK WELL THIS MEANS PROVIDING STRONG POLICY LEADERSHIP FROM AID/W FOR EFFECTIVE PLANNING AND DECISION MAKING IN THE FIELD WE NEED AND ARE NOW DEVELOPING CLEAR POLICIES PRIORITIES AND OPERATING PRINCIPLES TO GUIDE AGENCY OPERATIONS WE WILL CONTINUE TO PUT OUR TRUST IN OUR LINE MANAGERS TO APPLY THESE PRINCIPLES IN SPECIFIC CIRCUMSTANCES INFORMED BY THE VOICES OF OUR CUSTOMERS THE INTENDED BENEFICIARIES OF OUR ASSISTANCE

3 DEVELOP PROGRAMS THAT REINFORCE THE INITIATIVES OF LOCAL INSTITUTIONS AND COMMUNITIES OUR MANAGERS WILL BE ENCOURAGED TO MAKE DECISIONS ENCOURAGED TO EXPERIMENT WITH FROM WHATEVER ALLOW IN SO DOING PERMITTED THE OBJECTIVE IS TO FAULT AT THE SAME TIME HOWEVER WE WILL HOLD MANAGERS FULLY ACCOUNTABLE FOR LEARNING FROM EXPERIENCE AND APPLYING THIS EXPERIENCE TO FUTURE PROGRAMS

UNCLASSIFIED
AGENCY FOR INT'L DEV
TELECOMMUNICATIONS CENTER

OUTGOING
TELEGRAM

PAGE 0 OF 0 STATE 023472 2E1605

7171 85248 AID2768

6 BEGINNING WITH THE FY 1996 BUDGET CYCLE PROGRAMMING OF AGENCY RESOURCES FOR ALL SUSTAINABLE DEVELOPMENT PROGRAMS AND TO EXTENT PRACTICABLE FOR OTHER PROGRAMS AS WELL WILL BE MADE ON THE BASIS OF

(A) APPROVED STRATEGIC PLANS PREPARED BY EACH OPERATING UNIT AND (B) PROGRAM PERFORMANCE INFORMATION AS A BASIS FOR PREPARING FY 1996 BUDGET REQUESTS MISSIONS WHICH ALREADY HAVE A STRATEGIC PLAN IN PLACE WILL BE ASKED TO CAREFULLY REVIEW THEIR STRATEGIC OBJECTIVES AND PROGRAM ELEMENTS IN RELATION TO THE FORTHCOMING GUIDELINES FOR IMPLEMENTING THE NEW AGENCY STRATEGIES IN ECONOMIC GROWTH DEMOCRACY POPULATION AND HEALTH AND THE ENVIRONMENT FOR THOSE PROGRAMS WITHOUT A CLEARLY DEFINED STRATEGIC PLAN SUCH AS ENI MIDDLE EAST PEACE PVC GRANTS PROGRAMS I AM ASKING THAT THE COGNIZANT BUREAU MANAGEMENT MAKE EVERY EFFORT TO MOVE TOWARD THIS GOAL OVER THE COMING MONTHS IN THE MEANTIME THESE BUREAUS WILL ALSO BE ASKED TO REVIEW THEIR PROJECTS AND ACTIVITIES IN RELATION TO THE IMPLEMENTATION GUIDELINES FOR THE NEW AGENCY STRATEGIES

7 WE WILL SOON BE ISSUING FURTHER DETAIL ON THE FY 1996 PROGRAMMING AND BUDGET PROCESS WHICH WILL SPECIFY THE STEPS IN THE PROCESS AND WHAT WILL BE EXPECTED OF MISSIONS AND AID/W OFFICES

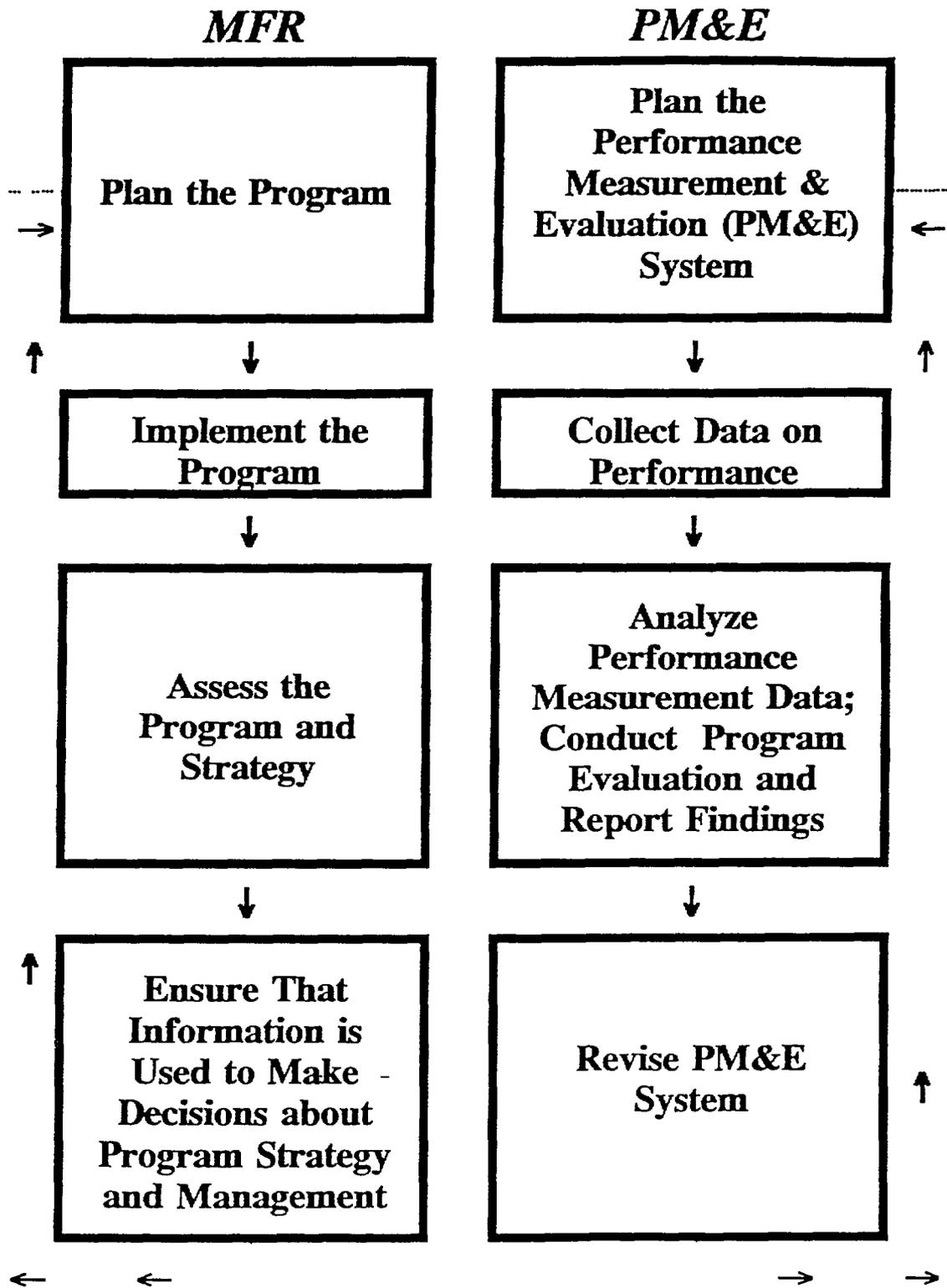
8 I AM ALSO HAPPY TO REPORT THAT WE HAVE WON IMPORTANT SUPPORT FROM THE HILL FOR TAKING THIS MANAGEMENT DIRECTION WE RECENTLY REACHED AGREEMENT WITH KEY COMMITTEE STAFF ON A PIONEERING APPROACH TO PRESENTING OUR PROGRAM TO CONGRESS INSTEAD OF BASING OUR ANNUAL BUDGET REQUEST ON INDIVIDUAL PROJECTS AS HAS BEEN TRADITIONALLY DONE IN THE AGENCY'S CONGRESSIONAL PRESENTATION WE WILL AS OF THIS YEAR PRESENT OUR BUDGET IN TERMS OF STRATEGIC OBJECTIVES FOR EACH COUNTRY PROGRAM AND THE EXPECTED DEVELOPMENT RESULTS FOR EACH OBJECTIVE WHILE IT WILL NOT BE EASY TO MEET THIS CHALLENGE ESPECIALLY WITH THE SHORT LEAD TIME GIVEN US FOR THIS YEAR IT PROMISES TO SHIFT THE TERMS OF OUR DIALOGUE WITH THE HILL TO MATTERS OF STRATEGIC CHOICE AND GETTING RESULTS WHICH IS WHERE IT SHOULD BE

9 I DO NOT UNDERESTIMATE THE CHALLENGE IN MOVING AHEAD WITH THIS EFFORT TO MAKE IT WORK WILL REQUIRE CONSISTENT VISION COMMITMENT LEADERSHIP AND GOODWILL I EXPECT TO CONTINUE MY OWN INVOLVEMENT IN THE PROCESS I WILL DO ALL I CAN TO ENSURE THAT THE BROADER FOREIGN POLICY ENVIRONMENT IN WHICH OUR AGENCY OPERATES SUPPORTS OUR ABILITY TO FOCUS ON THE KIND OF RESULTS THAT MAKE A GENUINE DIFFERENCE FOR THE PEOPLE OF DEVELOPING COUNTRIES AND THAT ARE IMPORTANT FOR OUR OWN NATIONAL WELL-BEING IN THE LONG RUN WE WILL ALSO NEED TO LEARN AND FIND WAYS OF SHARING WHAT WE LEARN AS WE GO I WILL NEED YOUR BEST IDEAS AND MOST POWERFUL EXAMPLES OF WHAT WORKS SO THAT WE CONTINUE TO SHAPE THE SYSTEMS THAT SUPPORT OUR ABILITY TO ATTAIN OUR COMMITMENT TO RESULTS
CHRISTOPHER

UNCLASSIFIED

6

Managing For Results through
Program Performance Measurement and Evaluation



DRAFT

APPR TB ()
DRAFT NV ()
CLEAR: AW ()
CLEAR: TC ()
CLEAR WS ()
CLEAR JE ()
CLEAR SS ()

UNCLASSIFIED

AID/PPC/CDIE NVREELAND/GBKERR
08/19/94 875-4182
AID/AA/PPC:TERRENCE BROWN

AID/ES AWILLIAMS
AID/PPC/PC·WSTICKEL
AID/PPC/CDIE SSMITH
AID/ANE/SEA ASILVER (INFO)

AID/DAA/PPC.TCHRISTIANSEN-WAGNER
AID/PPC/D/CDIE JERIKSSON
AID/AFR/DP.RDAY (INFO)
AID/LAC/DBP:ERUPPRECHT (INFO)

PRIORITY

ADM AID MISSION DIRECTOR

E O 12356: N/A

TAGS

SUBJECT STANDARDS FOR STRATEGIC PLANNING AND PROGRAM
PERFORMANCE MEASUREMENT

REF (A) TERRENCE BROWN MEMORANDUM DATED MAY 31, 1994,
(B) STATE 104235, DATED 4/20/94; (C) STATE 128959, DATED
5/14/94

1 (SUMMARY) THIS MESSAGE PROVIDES STANDARDS, UNIFORM
TERMS AND GUIDANCE FOR STRATEGIC PLANNING AND PROGRAM
PERFORMANCE MEASUREMENT. THESE ARE CONSISTENT WITH USAID'S
DIRECTIVE ON SETTING AND MONITORING PROGRAM STRATEGIES
(REF A) AND THE AGENCY'S RE-ENGINEERING EFFORT, WHICH
STRONGLY SUPPORTS MANAGING FOR RESULTS BY APRIL 1995,
ALL SUSTAINABLE DEVELOPMENT COUNTRY MISSIONS AND CENTRAL
BUREAUS (INCLUDING G AND BHR) ARE EXPECTED TO HAVE
COMPLETE STRATEGIC PLANS AND PERFORMANCE MEASUREMENT PLANS
IN LINE WITH THE AGENCY DIRECTIVE AND THESE STANDARDS AS
A MAJOR INTERIM MILESTONE, BY OCTOBER 1994 MISSIONS SHOULD
DECIDE ON THEIR PERFORMANCE TARGETS FOR ALL OBJECTIVES AND
OUTCOMES ALREADY APPROVED, TAKING INTO ACCOUNT THE RESULTS
OF THIS SUMMER'S BUDGET PROCESS (REF B). EACH BUREAU IS
RESPONSIBLE FOR ENSURING THAT THESE TASKS ARE COMPLETED,
SO THAT USAID AS A WHOLE CAN ARTICULATE MORE PRECISELY THE

UNCLASSIFIED

RESPONSIBLE FOR ENSURING THAT THESE TASKS ARE COMPLETED, SO THAT USAID AS A WHOLE CAN ARTICULATE MORE PRECISELY THE RESULTS WE INTEND TO HELP GENERATE, AND TO TAKE STEPS TO MEASURE ACTUAL ACCOMPLISHMENTS. AT PRESENT, THESE STANDARDS DO NOT APPLY TO ENI AND WEST BANK/GAZA PPC/CDIE WELCOMES YOUR FEEDBACK ON PROBLEMS YOU HAVE ENCOUNTERED, SOLUTIONS YOU CAN SHARE, AND ANY FURTHER NEEDS YOU MAY HAVE FOR TECHNICAL SUPPORT IN APPLYING THESE STANDARDS (END SUMMARY)

2 BACKGROUND

MOST MISSIONS HAVE BEEN ENGAGED IN STRATEGIC PLANNING AND PERFORMANCE MEASUREMENT FOR AT LEAST TWO YEARS, WITH SUPPORT FROM BUREAUS AND FACILITATION PROVIDED BY PPC/CDIE UNDER THE PRISM EFFORT THIS PRACTICAL EXPERIENCE PROVIDES A GOOD BASIS FOR AN INITIAL SET OF AGENCYWIDE STANDARDS AND TERMS USAID ALSO NEEDS TO ADVANCE ITS PRACTICE OF STRATEGIC PLANNING AND PERFORMANCE MEASUREMENT TO MEET THE REQUIREMENTS OF THE 1993 GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA) IN ACCORDANCE WITH THE PROVISIONS OF THIS ACT, BY FY 1997 USG DEPARTMENTS AND AGENCIES WILL PROVIDE OMB SPECIFIC INFORMATION ABOUT THEIR GOALS, STRATEGIC OBJECTIVES, PERFORMANCE TARGETS AND PERFORMANCE MEASUREMENT USAID HAS ALREADY MADE SUBSTANTIAL PROGRESS, BUT MUCH REMAINS TO BE DONE (FYI A SUMMARY OF GPRA PROVISIONS CAN BE OBTAINED BY CONTACTING THE PRISM HOTLINE VIA E-MAIL, FAX OR POUCH AS DESCRIBED IN REF C)

3 TERMS, DEFINITIONS AND STANDARDS

THE FOLLOWING TERMS AND DEFINITIONS ARE IN LINE WITH THOSE BEING ESTABLISHED UNDER THE GPRA, WHILE RESPECTING THE CONCEPTS ALREADY IN WIDE USE IN USAID MISSIONS AND OFFICES ARE REQUESTED TO BEGIN USING THIS UNIFORM TERMINOLOGY IN SETTING AND REPORTING THEIR PERFORMANCE TARGETS BY OCTOBER 1994, AND IN PRESENTING THEIR COMPLETED STRATEGIC PLANS BY APRIL 1995

A AGENCY GOAL AN OVERALL AIM THE ACHIEVEMENT OF WHICH MANDATES USAID'S EXISTENCE AS AN ORGANIZATION A GOAL SETS USAID'S OVERALL STRATEGIC DIRECTION WITH WHICH MISSION AND CENTRAL BUREAU STRATEGIC OBJECTIVES ARE FULLY ALIGNED, AND THE PROGRAMMING BOUNDARIES WITHIN WHICH STRATEGIC PLANS ARE DEVELOPED AND RESOURCES ARE INVESTED AGENCY GOALS TAKE PRECEDENCE OVER OTHER GOALS THAT MAY HAVE BEEN PREVIOUSLY SET BY BUREAUS AND MISSIONS FOR THEIR PROGRAMS

B STRATEGIC PLAN. A DELIMITATION OF THE STRATEGIC-LEVEL OBJECTIVES AN OPERATIONAL UNIT PLANS TO PURSUE AND A DESCRIPTION OF HOW IT PLANS TO DEPLOY RESOURCES TO ACCOMPLISH THEM, A STRATEGIC PLAN IS PREPARED FOR EACH PORTFOLIO, AND INCLUDES ALL RELEVANT ACTIVITIES MANAGED AT A COUNTRY LEVEL, REGIONALLY, OR CENTRALLY. A STRATEGIC PLAN SHOULD COVER A SPECIFIED PERIOD OF TIME, TYPICALLY 5 TO 8 YEARS.

C STRATEGIC OBJECTIVE. A SIGNIFICANT DEVELOPMENT RESULT WHICH CAN BE ACHIEVED OR TOWARD WHICH SUBSTANTIAL PROGRESS CAN BE MADE, IS IN THE OPERATIONAL UNIT'S MANAGEABLE INTEREST, AND FOR WHICH THE UNIT IS HELD ACCOUNTABLE IN AN APPROVED STRATEGIC PLAN. TYPICALLY, THE TIME-FRAME FOR ACCOMPLISHING A STRATEGIC OBJECTIVE IS 5-8 YEARS FOR SUSTAINABLE DEVELOPMENT PROGRAMS. A STRATEGIC OBJECTIVE SHOULD BE DEFINED IN SUCH A WAY THAT IT IS WITHIN THE MANAGEABLE INTEREST OF THE OPERATIONAL UNIT. STRATEGIC OBJECTIVES SHOULD BE STATED IN TERMS THAT ELIMINATE AMBIGUITY AND CLARIFY CONTENT AND PURPOSE -- THE RESULT THAT WILL BE GENERATED WHEN THE OBJECTIVE IS ACCOMPLISHED, AND SHOULD BE MEASURABLE.

D PROGRAM OUTCOME. THE MEASURABLE OUTCOME OF ONE OR MORE ACTIVITIES WHICH, IN TURN, CONTRIBUTES TO A HIGHER-ORDER STRATEGIC OBJECTIVE. TYPICALLY A PROGRAM OUTCOME SHOULD BE ACCOMPLISHED IN 2-5 YEARS. IN DEVELOPING ITS STRATEGIC PLAN, AN OPERATIONAL UNIT DEFINES A PROGRAM OUTCOME AS AN INTERMEDIATE RESULT CONSIDERED NECESSARY FOR ACHIEVING A STRATEGIC OBJECTIVE. A PROGRAM OUTCOME SHOULD BE CLEARLY ARTICULATED AND MEASURABLE, BECAUSE (I) IT HELPS FOCUS THE UNIT'S NEAR-TERM PROGRAM, (II) IT ENABLES THE UNIT TO DECIDE UPON, PULL TOGETHER AND MANAGE SPECIFIC ACTIVITIES AS AN INTEGRATED STRATEGY ESSENTIAL FOR ACHIEVING OBJECTIVE(S), (III) IT HELPS GUIDE THE DESIGN AND REFINEMENT OF SPECIFIC ACTIVITIES, AND (IV) IT SETS OUT A CLEAR STAKE TOWARD WHICH OFFICERS CAN DIRECT THEIR EFFORTS TO MANAGE FOR RESULTS. PROGRAM OUTCOMES SET IMMEDIATE MARKERS FOR INDIVIDUAL COMMITMENT AND ACTION. DURING RECENT YEARS, SOME BUREAUS AND MISSIONS HAVE USED ALTERNATE TERMS LIKE TARGET AND PROGRAM OUTPUT. AGENCY UNITS ARE REQUESTED TO BEGIN USING THE UNIFORM TERM, PROGRAM OUTCOME.

E PERFORMANCE INDICATOR. A PARTICULAR CHARACTERISTIC OR DIMENSION FOR MEASURING A CHANGE INTENDED BY A STRATEGIC PLAN. DIFFERENT INDICATORS ARE DEVELOPED TO MEASURE CHANGE AT THE LEVELS OF A STRATEGIC OBJECTIVE, A PROGRAM OUTCOME, AND A SPECIFIC ACTIVITY. PERFORMANCE INDICATORS FOR STRATEGIC OBJECTIVES ARE NORMALLY MEASURED EVERY 3 TO 5

YEARS, MORE FREQUENTLY WHEN DATA SOURCES PERMIT INDICATORS FOR PROGRAM OUTCOMES ARE MEASURED AT LEAST EVERY TWO YEARS, WITH AT LEAST ONE INDICATOR BEING MEASURED EVERY YEAR FOR EACH PROGRAM OUTCOME INDICATORS SHOULD BE EXPRESSED IN OBJECTIVE, QUANTIFIABLE AND MEASURABLE TERMS QUANTIFIABLE INDICATORS ARE INDICATORS THAT CAN BE EXPRESSED NUMERICALLY (NUMERIC VALUES, PERCENTAGES, SCORES AND INDICES). IF AN INDICATOR CANNOT BE EXPRESSED IN THESE TERMS, THE OPERATING UNIT WILL PROVIDE DESCRIPTIVE CRITERIA OF WHAT THE UNIT WOULD CONSIDER A MINIMALLY EFFECTIVE AND SUCCESSFUL RESULT, IN SUFFICIENTLY PRECISE TERMS TO ALLOW FOR AN INDEPENDENT ASSESSMENT OF WHETHER PERFORMANCE MET THE CRITERIA. AS APPROPRIATE TO THE NATURE OF THE OBJECTIVE OR OUTCOME AND TO THE KIND OF IMPACT BEING SOUGHT, OPERATING UNITS SHOULD DISAGGREGATE INDICATORS BY GENDER.

F PERFORMANCE TARGET THE INTENDED RESULT TO BE ACHIEVED WITHIN AN EXPLICIT TIMEFRAME AND AGAINST WHICH ACTUAL RESULTS ARE COMPARED AND ASSESSED. A PERFORMANCE TARGET IS STATED AS THE VALUE OF THE INDICATOR(S) TO BE REACHED WITHIN THE RELEVANT TIME FRAME OF A STRATEGIC PLAN, AND SHOULD BE SET IN LIGHT OF A BASELINE THAT HAS BEEN DETERMINED AT THE BEGINNING OF THE PLAN. A STRATEGIC PLAN SHOULD SET A PERFORMANCE TARGET FOR EACH STRATEGIC OBJECTIVE IT SHOULD ALSO SET ANNUAL PERFORMANCE TARGETS FOR EACH PROGRAM OUTCOME DURING RECENT YEARS, BUREAUS AND MISSIONS SOMETIMES USED ALTERNATE TERMS LIKE EXPECTED RESULT OR PLANNED/PROJECTED RESULT USAID UNITS ARE REQUESTED TO ADOPT THE UNIFORM TERM, PERFORMANCE TARGET, OR, ALTERNATIVELY, INTENDED RESULT

G PERFORMANCE BASELINE THE POINT FROM WHICH PERFORMANCE INDICATORS WILL MEASURE PROGRESS UNDER A STRATEGIC PLAN, THE VALUE OF THE PERFORMANCE INDICATOR(S) AT THE BEGINNING OF THE APPROPRIATE STRATEGIC PLANNING TIME-FRAME FROM WHICH PROGRESS WILL BE MEASURED TOWARD A PERFORMANCE TARGET IF THE OPERATIONAL UNIT HAS INSUFFICIENT DATA FOR A BASELINE MEASURE IN WHICH THE UNIT HAS REASONABLE CONFIDENCE, THE UNIT WILL REPORT IN ITS STRATEGIC PLAN AND SUBSEQUENT ACTION PLANS THE STEPS BEING TAKEN TO GATHER AND ANALYZE SUCH DATA, WHEN IT EXPECTS THE DATA TO BE AVAILABLE TO SUPPORT ITS STRATEGIC MANAGEMENT AND PERFORMANCE REPORTING, AND ANY ADJUSTMENTS TO THE BASELINE AND PERFORMANCE TARGETS THE UNIT HAS MADE IN LIGHT OF DATA COLLECTED AND ANALYZED

H MANAGEABLE INTEREST AN OBJECTIVE OR OUTCOME IS IN A UNIT'S MANAGEABLE INTEREST IF THE UNIT'S RESOURCES ARE CRITICAL TO THE ACHIEVEMENT OF THE OBJECTIVE USAID MAY

NOT CONTROL ALL THE RESOURCES THAT MAY BE NEEDED TO ACHIEVE A STRATEGIC OBJECTIVE BUT USAID ASSISTANCE SHOULD MAKE A CRITICAL DIFFERENCE. THE TEST OF MANAGEABLE INTEREST IN A STRATEGIC OBJECTIVE IS ONE OF PLAUSIBLE ASSOCIATION IF USAID DOES X, Y AND Z, WOULD A REASONABLE PERSON, USING THE KIND OF EVIDENCE PRESENTED IN A COURT OF LAW (RATHER THAN EVIDENCE NEEDED TO SUPPORT SOCIAL SCIENCE THEORIES), AGREE THAT USAID PLAYED AN IMPORTANT ROLE IN PRODUCING THE RESULT? CAN WE PLAUSIBLY ASSOCIATE USAID ACTIVITIES WITH THE ACHIEVEMENT OF THE STRATEGIC OBJECTIVE? HOWEVER, BECAUSE THE UNIT'S CONTRIBUTION IS USUALLY ONLY ONE OF SEVERAL FACTORS AFFECTING THE OBJECTIVE, AND THE UNIT MAY NOT BE ABLE TO SATISFACTORILY INFLUENCE ALL THESE FACTORS, THE UNIT IS NOT HELD ACCOUNTABLE FOR ACCOMPLISHING THE OBJECTIVE IN A STRICT SENSE. THE UNIT'S ACCOUNTABILITY, AS WELL AS MANAGEABLE INTEREST, IS MUCH STRONGER WITH PROGRAM OUTCOMES. AT THIS LEVEL THE TEST IS ONE OF DIRECT ATTRIBUTION, I.E. THE MUCH STRONGER ABILITY TO CAUSALLY LINK PROGRAM OUTCOMES TO CURRENT USAID ACTIVITIES. PRODUCING 3 TO 5 YEAR PROGRAM OUTCOMES, INCLUDING MONITORING KEY ASSUMPTIONS, SHOULD CLEARLY BE WITHIN THE UNIT'S CAPACITY AND RESPONSIBILITY IN DETERMINING ITS MANAGEABLE INTEREST, THE UNIT SHOULD CONSIDER ALL RESOURCES AND ACTIONS WITHIN ITS DIRECT CONTROL, INCLUDING FINANCIAL RESOURCES, TECHNICAL ADVICE, INFORMATION, AND POLICY DIALOGUE

4 GUIDANCE

A DESIGNING STRATEGIC PLANS OPERATIONAL UNITS ARE EXPECTED TO DEVELOP PROGRAM PLANS THAT ARE STRATEGIC IN BOTH CONCEPT AND EXECUTION THESE PLANS ARE TO HELP THE UNIT DIRECT RESOURCES TOWARD ACCOMPLISHING ONE OR MORE STRATEGIC OBJECTIVES AND TO GUIDE THE CHOICE AND DESIGN OF SPECIFIC ACTIVITIES IF A STRATEGIC PLAN CONTAINS MORE THAN ONE STRATEGIC OBJECTIVE, USAID ENCOURAGES SYNERGISM BETWEEN THEM, BUT DOES NOT EXPECT THAT ALL OF THESE OBJECTIVES WILL BE DEFINED AT EXACTLY THE SAME LEVEL OF INTENDED EFFECT OR IMPACT. USAID IS NOT SEEKING ARTIFICIAL SYMMETRY BETWEEN OBJECTIVES, BUT RATHER A CLEAR ARTICULATION OF OBJECTIVES AND OUTCOMES THAT WILL SERVE AS A USEFUL COMPASS FOR EFFECTIVE STRATEGIC MANAGEMENT IN DESIGNING STRATEGIC PLANS, OPERATIONAL UNITS ARE STRONGLY ENCOURAGED TO TAKE FULL ADVANTAGE OF STRATEGIC PLANNING APPROACHES THAT EMPHASIZE PARTICIPATION AND COLLABORATION

B ALIGNMENT WITH USAID GOALS STRATEGIC OBJECTIVES AND PERFORMANCE TARGETS SHOULD REPRESENT SIGNIFICANT EFFECTS OR IMPACTS CONTRIBUTING TO AGENCY GOALS THESE GOALS ARE PROTECTING THE ENVIRONMENT, BUILDING DEMOCRACY,

STABILIZING WORLD POPULATION GROWTH AND PROTECTING HUMAN HEALTH, ENCOURAGING BROAD-BASED ECONOMIC GROWTH; AND PROVIDING HUMANITARIAN ASSISTANCE AND AIDING POST-CRISIS TRANSITIONS THESE GOALS ARE MORE FULLY DESCRIBED IN THE STRATEGY PAPERS ALREADY ISSUED

C FOCUS FOR IMPACT A STRATEGIC PLAN ENABLES AN OPERATING UNIT TO FOCUS USAID EFFORTS AND RESOURCES IN A COUNTRY ON A FEW IMPORTANT OBJECTIVES THAT, IN ADDITION TO SUPPORTING ONE OR MORE USAID GOALS, ARE ACHIEVABLE IN A SPECIFIED PERIOD OF TIME (5 TO 8 YEARS). THESE OBJECTIVES ARE EXPECTED TO FOCUS AT A LEVEL WHERE THEIR ACHIEVEMENT WILL MAKE A SIGNIFICANT DIFFERENCE, READILY UNDERSTOOD OR FELT IN TERMS OF A COUNTRY'S DEVELOPMENT STATUS, ITS EFFECT ON SOME BROADER PROBLEM AND ITS CONSEQUENCES FOR PEOPLE DEPENDING ON THE PROBLEM, THE OPPORTUNITY AND THE AMOUNT OF LIKELY RESOURCES, THE EFFECT OR IMPACT MIGHT BE NATIONAL, IN A PARTICULAR GEOGRAPHIC REGION IN A COUNTRY, IN A POPULATION SUBGROUP, OR IN A GROUP OF KEY INSTITUTIONS A CHALLENGE OF STRATEGIC PLANNING IS TO MAINTAIN A BALANCE BETWEEN FOCUS AND RELEVANCE TO THE PROBLEM USAID SEEKS TO AMELIORATE, AND TO DO SO WITH LIMITED RESOURCES AND UNDER UNCERTAIN CONDITIONS USAID WILL NOT ESTABLISH ARBITRARY NUMERICAL QUOTAS REGARDING A PERMISSIBLE NUMBER OF STRATEGIC OBJECTIVES PER COUNTRY SUCH FORMULAS TEND TO WEAKEN THE ABILITY OF FRONTLINE USAID OFFICERS AND COUNTERPART MANAGERS TO FOCUS THEIR EFFORTS ON ACHIEVING SIGNIFICANT RESULTS WITHIN SPECIFIED TIME PERIODS THEY ALSO TEND TO ENCOURAGE OPERATIONAL UNITS TO DEFINE ARTIFICIAL MULTI-DIMENSIONAL OR COMPOSITE OBJECTIVES, DEFEATING THE PURPOSE OF USAID'S STRATEGIC MANAGEMENT FRAMEWORK

D RESULTS ORIENTATION OPERATIONAL UNITS ARE EXPECTED TO DEFINE STRATEGIC OBJECTIVES UNAMBIGUOUSLY AND IN TERMS THAT CAN BE READILY UNDERSTOOD OR TRANSLATED INTO THE EFFECT OR IMPACT THEIR ACHIEVEMENT WILL HAVE ON PEOPLE WHO LIVE IN THOSE COUNTRIES OR ON AN ENVIRONMENTAL CONDITION CRITICAL FOR SUSTAINABLE DEVELOPMENT. EACH STRATEGIC OBJECTIVE FOCUSES ON A SINGLE ISSUE, PURPOSE OR DESIRED CHANGE OPERATIONAL UNITS MAY PURSUE OBJECTIVES THAT ARE EXPECTED TO HAVE A MEASURABLE EFFECT ON MORE THAN ONE CLOSELY-RELATED CONDITION (E G , FAMILY PLANNING AND MATERNAL AND CHILD HEALTH) ONLY WHEN SUCH OBJECTIVES ARE SUPPORTED BY A CAREFULLY INTEGRATED AND MANAGED PROGRAM CONVERSELY, OPERATING UNITS ARE STRONGLY DISCOURAGED FROM ESTABLISHING DIFFUSE OBJECTIVES SUCH OBJECTIVES, BY TRYING TO INCORPORATE MULTIPLE AIMS (COMPOSITE OR UMBRELLA OBJECTIVES), DEFEAT THE MANAGEMENT PURPOSE OF STRATEGIC PLANNING AND SIMPLY AVOID MAKING THE HARD CHOICES REQUIRED

TO MANAGE FOR RESULTS. FINALLY, STRATEGIC OBJECTIVES DESCRIBE RESULTS (E.G., EFFECTS OR IMPACTS), NOT PROCESSES OR ACTIONS

E. CONCENTRATION AND INTEGRATION OF USAID RESOURCES STRATEGIC PLANS FOR SUSTAINABLE DEVELOPMENT COUNTRIES WILL INCLUDE PERFORMANCE TARGETS FOR EACH STRATEGIC OBJECTIVE AND PROGRAM OUTCOME COMMENSURATE WITH (I) ALL USAID RESOURCES MADE AVAILABLE TO THAT COUNTRY, AND (II) THE OPERATIONAL UNIT'S ABILITY TO SUPPORT THE COORDINATION AND COMMUNICATION NECESSARY TO SUSTAIN A STRONGLY-SHARED COMMITMENT BY OTHER ORGANIZATIONS AND PARTNERS (E.G., OTHER DONORS, PUBLIC AND PRIVATE AGENCIES, BENEFICIARY ORGANIZATIONS) TO THE PERFORMANCE TARGETS SET IN A STRATEGIC PLAN. UNITS ARE EXPECTED TO PRESENT IN THEIR STRATEGIC PLAN A REASONED AND CONVINCING JUSTIFICATION FOR THE RELATIONSHIP ESTABLISHED BETWEEN RESOURCE LEVELS AND THE SCOPE AND AMBITIOUSNESS OF THE PLAN'S STRATEGIC OBJECTIVES AND PROGRAM OUTCOMES UNITS ARE ENCOURAGED TO STRETCH THEIR PERFORMANCE TARGETS AS GENUINE CHALLENGES, AND TO AVOID BOTH UNNECESSARILY MODEST AND UNREALISTICALLY AMBITIOUS OBJECTIVES

(I) SUSTAINABLE DEVELOPMENT COUNTRY MISSIONS WILL CONSIDER ALL USAID ASSISTANCE (I.E., FROM ALL ACCOUNTS, BOTH MISSION AND CENTRALLY FUNDED, POLICY DIALOGUE AND TECHNICAL ASSISTANCE FROM USAID STAFF) AVAILABLE TO THE COUNTRY IN DEFINING STRATEGIC OBJECTIVES, SETTING PERFORMANCE TARGETS AND DEVELOPING OPERATIONAL PROGRAM STRATEGIES MISSIONS AND CENTRAL BUREAUS ARE EXPECTED TO WORK CLOSELY TOGETHER TO ALIGN USAID'S HUMAN AND FINANCIAL RESOURCES WITH THE STRATEGIC OBJECTIVES SET FOR EACH COUNTRY EXCEPTIONS TO SUCH RESOURCE CONCENTRATION, TO ALLOW MISSIONS TO SET ASIDE A PORTION OF RESOURCES FOR ACTIVITIES OUTSIDE THE PARAMETERS OF A STRATEGIC PLAN (E G., TO INVEST IN PROMISING TARGETS OF OPPORTUNITY) ARE SUBJECT TO APPROVAL BY PPC TARGETS OF OPPORTUNITY ARE GENERALLY SHORT-TERM, UNANTICIPATED OR POLITICAL CIRCUMSTANCES TO WHICH THE MISSION FEELS IT IS IMPORTANT TO RESPOND, IN SUPPORT OF USAID'S GOALS, SUCH ACTIVITIES ARE TO BE REGULARLY MONITORED AND EVALUATED SHORT-TERM TACTICAL ACTIVITIES FOR FURTHERING AN EXISTING STRATEGY -- E G , BY EXPLOITING OPPORTUNITIES TO EXPERIMENT WITH NEW APPROACHES OR LEVERAGE ADDITIONAL DONOR SUPPORT -- ARE CONSIDERED PART OF THE MISSION'S STRATEGIC PLAN, RATHER THAN A TARGET OF OPPORTUNITY

(II) IN SETTING PERFORMANCE TARGETS FOR THEIR STRATEGIC OBJECTIVES, MISSIONS ARE ENCOURAGED TO CONTINUE TAKING INTO CLOSE ACCOUNT RELATED OR COMPLEMENTARY ACTIVITIES

FUNDED BY NON-USAID ORGANIZATIONS IN THEIR COUNTRIES, ESPECIALLY WHEN THEY CAN ASSUME WITH CONFIDENCE A CLEAR COMMITMENT TO PROGRAMS THAT REINFORCE THE OBJECTIVES SUPPORTED THROUGH A MISSION'S STRATEGIC PLAN. TO ENSURE THAT THE MISSION CAN JUSTIFY ITS MANAGEABLE INTEREST IN ACHIEVING PERFORMANCE TARGETS THAT RELY HEAVILY ON MAJOR POLICY AND PROGRAM CONTRIBUTIONS BY OTHERS, MISSIONS ARE EXPECTED TO CLARIFY AND MONITOR KEY ASSUMPTIONS; TO DEFINE THE MISSION'S MANAGEMENT AND STAFFING REQUIREMENTS NEEDED TO SUPPORT THE REQUIRED CLOSE COORDINATION AND COLLABORATIVE STRATEGIC PLANNING AND PERFORMANCE MEASUREMENT, AND TO QUICKLY REVIEW PERFORMANCE TARGETS IF THIS EXTERNAL SUPPORT FAILS. SIMPLY ASSUMING THE CONTINUATION OF THESE STRATEGIC LINKAGES THROUGHOUT THE PLANNING PERIOD IS NOT AN ACCEPTABLE BASIS FOR SETTING ELEVATED PERFORMANCE TARGETS IN A MISSION'S STRATEGIC PLAN. MOREOVER, IT SHOULD NOT BE NECESSARY TO MAKE NUMEROUS OR HEROIC ASSUMPTIONS TO DRAW A CREDIBLE AND PLAUSIBLE ASSOCIATION BETWEEN A PERFORMANCE TARGET FOR A STRATEGIC OBJECTIVE AND THE PROGRAM OUTCOMES AND ACTIVITY OUTPUTS CONTRIBUTING TO ITS ACHIEVEMENT.

F MANAGEMENT USEFULNESS. STRATEGIC PLANS ARE DESIGNED TO EMPOWER THE SUBSEQUENT MANAGEMENT OF ACTIVITIES TOWARD INTENDED RESULTS. THUS, IN MOST CASES, AN ACTIVITY IS EXPECTED TO RELATE TO A SINGLE PROGRAM OUTCOME, AND A PROGRAM OUTCOME RELATES TO A SINGLE STRATEGIC OBJECTIVE. A STRATEGIC OBJECTIVE CAN BE SUPPORTED BY MORE THAN ONE PROGRAM OUTCOME, AND A PROGRAM OUTCOME CAN BE SUPPORTED BY MORE THAN ONE ACTIVITY. THE REVERSE, HOWEVER, IS GENERALLY NOT ADVISABLE, SINCE MANAGERS MUST BE ABLE TO FOCUS THEIR ATTENTION ON A FEW CLEAR, INTENDED RESULTS. OPERATIONAL UNITS ARE, OF COURSE, ENCOURAGED TO DESIGN STRATEGIC PLANS WITH CAREFUL ATTENTION TO POTENTIAL SYNERGISM AND INTEGRATION AMONG SPECIFIC ACTIVITIES IN MAKING THE WIDEST POSSIBLE CONTRIBUTION TO USAID'S GOALS. BUT A PLAN'S STRATEGIC OBJECTIVES AND PROGRAM OUTCOMES MUST BE DEFINED IN A WAY THAT HELPS FOCUS, NOT DIFFUSE, COMMITMENT TO AND MANAGEMENT FOR RESULTS.

G BUREAUS MAY SUPPLEMENT THE ABOVE GUIDANCE WITH ADDITIONAL PRACTICES THAT AID THE ABILITY OF OPERATIONAL UNITS AND PARTNERS TO MANAGE STRATEGICALLY, TO REPORT AND USE RESULTS, AND TO INTERPRET THE SIGNIFICANCE OF INDICATOR TRENDS UNDER A CURRENT STRATEGIC PLAN IN WAYS THAT ARE MOST USEFUL FOR FUTURE PLANNING.

5 (FYI) PPC HAS ESTABLISHED TWO BENCHMARKS FOR ADVANCES IN USAID STRATEGIC PLANNING AND PERFORMANCE MEASUREMENT. FIRST, BY OCTOBER 1, 1994, ALL MISSION PROGRAM PERFORMANCE

MEASUREMENT SYSTEMS SHOULD CONTAIN STRATEGIC OBJECTIVES AND PROGRAM OUTCOMES, EACH WITH CLEARLY-DEFINED PERFORMANCE INDICATORS AND PERFORMANCE TARGETS SECOND, BY APRIL 1, 1995, ALL MISSIONS AND OFFICES SHOULD HAVE AN APPROVED STRATEGIC PLAN, AND A FULLY DEVELOPED PERFORMANCE MEASUREMENT SYSTEM THE STRATEGIC PLAN SHOULD CONTAIN A) SUMMARY ANALYSIS OF THE ASSISTANCE ENVIRONMENT, AND B) PROPOSED STRATEGY, RATIONALE AND KEY ASSUMPTIONS, INCLUDING (I) STRATEGIC OBJECTIVES AND BRIEF RATIONALE FOR THEIR SELECTION, (II) SUMMARY OF KEY PROBLEMS, PROGRAMMATIC APPROACHES AND SPECIFIC PROGRAM OUTCOMES TO BE ACCOMPLISHED; (III) PERFORMANCE INDICATORS FOR EACH OBJECTIVE AND OUTCOME, INCLUDING BASELINES, TARGETS AND DATA SOURCES, (IV) KEY ASSUMPTIONS WHICH UNDERLIE EXPECTATION THAT THE PROPOSED PROGRAMS WILL CONTRIBUTE TO THE STRATEGIC OBJECTIVES; AND (V) BRIEF DESCRIPTION OF THE CONSULTATIONS WITH DEVELOPMENT PARTNERS, AND HOW THE STRATEGY DOCUMENT WAS INFLUENCED BY THE CONSULTATIONS THE PERFORMANCE MEASUREMENT SYSTEM IS A KEY COMPONENT OF THE ACTION PLAN, WHICH IS PREPARED EACH YEAR IT IS A SYSTEM FOR MEASURING AND REPORTING ON STRATEGY IMPLEMENTATION OVER THE CURRENT AND SUBSEQUENT TWO YEARS, AND INCLUDES FULLY DEVELOPED PERFORMANCE INDICATORS WITH BASELINES, TARGETS, DATA SOURCES, AND DATA COLLECTION METHODS AND REPORTING SYSTEMS

PPC AND THE REGIONAL BUREAUS HAVE MET TO DISCUSS THE EXTENT TO WHICH EACH OPERATING UNIT WILL BE ABLE TO MEET THE BENCHMARKS AND ALSO THE TECHNICAL ASSISTANCE REQUIRED TO FACILITATE THE WORK OF EACH UNIT (END FYI)

6 MISSIONS AND BUREAUS ARE REMINDED THAT PPC/CDIE IS PREPARED TO SUPPORT THEIR WORK TO MEET STANDARDS, THROUGH TECHNICAL ASSISTANCE, COLLABORATIVE WORKSHOPS, SHARING OF AGENCYWIDE BEST PRACTICES, AND PRISM HOTLINE ADVICE AND REFERRAL (REF C) REQUESTS FOR CDIE TECHNICAL ASSISTANCE AND WORKSHOPS SHOULD SUBMITTED TO THE RESPECTIVE REGIONAL BUREAU, WITH A COPY TO CDIE YY

A Glossary of Key Terms

1 **Critical assumptions** Highly significant factors, over which USAID has little or no control, that, together with USAID's efforts, affect the chances that program outcomes and strategic objectives will be achieved. There should be adequate evidence to be confident that the critical assumptions will occur, these are not things one just hopes will happen.

2 **Attribution** The act of assigning a cause to the results which are objectively verifiable. Under PRISM the Program Outcomes should in large measure be directly attributable to use of USAID resources, taking into account the synergistic effects of policy dialogue, donor coordination, host country inputs, and complementary inputs from other development assistance organizations.

3 **API Assessment of Program Impact** The Africa (AFR) Bureau document, submitted annually by Category I missions, which reports on the performance and results (impact) of a USAID country program. The API includes an updated overview of the program in light of special factors affecting the various program activities (these may relate to the critical assumptions), as well as discussions of progress towards the country program's goals, sub-goals, strategic objectives and program outcomes. The document also presents the most current data on the performance indicators, informing the discussion of progress.

4 **CPSP Country Program Strategic Plan** The CPSP is the principal program analysis and planning document which an Africa Bureau mission prepares to guide its efforts over a 5-7 year period. During a review of the CPSP in Washington, agreement is reached on priorities, strategic objectives and program outcomes which form the basis of a performance management contract between the USAID mission and USAID/W.

5 **Agency Goal** Sets USAID's overall strategic direction with which mission and USAID/W central bureau strategic objectives are to be fully aligned. The goal represents the programming boundaries within which strategic plans are developed and resources are invested.

6 **Linkage study** The objective of a linkage analysis is to test critical hypotheses that connect levels of a program logical framework. It examines the validity of the causal or vertical logic that underlies the hierarchy of objectives stated in the logical framework (often depicted as objective trees).

7 **Program logical framework** Sets out the elements of a program to depict causal linkages. Other commonly used terms for the logical framework are program "objective tree" and "program hierarchy."

8 **Managing for results** A management approach used by USAID that includes planning for results, measuring results and using information on results to make resource allocation decisions.

9 **Manageable interest** The objectives that an operating unit agrees to take responsibility for achieving by utilizing USAID resources, activities, technical advice, information and donor coordination An objective is within a unit's manageable interest if the unit is able to control, contribute to or substantially influence achievement of the targets Strategic objectives should always be in the manageable interest of the respective operating unit, so long as the required level of USAID resources are made available

10 **Program objective tree** A visual display of a mission or operating unit's program presented in the form of hierarchical cause-and-effect relationships

11 **People-level impact** The results of development activities at a level whereby peoples' lives are affected, such as behavioral, physical or attitudinal changes, or receipt of tangible benefits "People" should be disaggregated by sex, and other critical social categories (e.g. age group, urban/rural, ethnic group) when such considerations are relevant to results sought or activities being implemented, or in cases where equity is an issue

12 **Performance baseline** The point or level from which performance indicators will measure change The value of the performance indicator at the beginning of the appropriate strategic planning time-frame Missions may also establish a second optional baseline that defines the condition at the time USAID first became engaged in the program area, if that time differs from the start of the strategic planning time-frame This baseline should capture the value of the indicator before USAID involvement

13 **Performance indicator** A particular characteristic or dimension for measuring progress toward achievement of the intended change These indicators provide data on how a program is performing, not on why or why not the expected progress is being achieved Indicators are developed to measure change at the levels of a strategic objective, a program outcome and a specific activity Performance indicators for strategic objectives are normally measured every 3 to 5 years, more frequently when available data sources permit Indicators for program outcomes are normally measured at least every two years, data collection and reporting systems should be established to provide annual data where feasible Indicators are to be expressed in objective, quantifiable and measurable terms Indicators can be measured or expressed as numbers, percentages, scores or indices At least one indicator for a program outcome should be quantifiable

14 **Performance target (expected result)** The intended results to be achieved within specific timeframes and against which actual results are compared and assessed A performance target is stated as the value of the indicator to be reached at specified time intervals during the time-frame of the strategic plan Targets should be set in light of trend data and a baseline that has been determined at the beginning of the plan A strategic plan sets performance targets at specified times for all indicators of program outcomes and strategic objectives

15 **Program performance measurement and evaluation system (PM&E)** A holistic approach to getting, analyzing and using information for decision making and reporting

purposes The monitoring component involves data collection, processing, and analysis of specified results-oriented indicators of change These indicators track information on what is happening, but do not provide information on why or why not the expected change is occurring Evaluations are undertaken of the entire program or specific strategies (see program evaluation below)

16 **Plausible association** Phenomena which are logically and likely related to a particular cause The linkage of the cause to the effect need not be proven

17 **Portfolio** The sum of USAID-funded programs being managed by a single operational unit (usually a field mission or equivalent, a USAID/W functional office or center of excellence)

19 **Program activities** USAID-funded assistance effort organized to contribute to clearly defined program outcomes

20 **Program evaluation** Assessment of program implementation and outcomes in order to determine the efficacy of program strategies and/or the significance of program outcomes and impacts for addressing development problems The evaluation may a) question the strategic plan, supportive activities, or critical assumptions, b) determine why and how the accomplishments were or were not achieved, c) identify unintended effects, d) focus on the soundness of the hypothesis contained in the program logframe, and e) assess the extent to which unforeseen variables are impeding progress

21 **Program outcome** The measurable outcome of one or more USAID-funded activities which, in turn, contribute to a higher-order strategic objective It is an intermediate result between activities, to which substantial USAID resources are directed, and the strategic objective Program outcomes should be defined as meaningful results which can be objectively verified and achievable within a 2 to 5 year period

22 **Proxy indicator** An indirect indicator used to measure performance when data for a better, more direct indicator are not available or not feasible to collect at regular intervals

23 **Strategic objective** A significant development result which can be achieved or toward which substantial progress can be made and for which the operational unit is held accountable in an approved strategic plan Typically the time-frame of a strategic objective is 5 through 8 years, but may be shorter for programs operating under conditions of uncertainty

24 **Strategic plan** A delimitation of the strategic-level objectives an operational unit plans to pursue and a description of how it plans to deploy resources to accomplish them If a plan contains more than one strategic objective USAID encourages that they be developed to obtain synergism between them, but does not expect that all of these objectives will be defined at exactly the same level of impact

25 **Strategy statement** A summary statement of broad strategic direction and program priorities, the strategy statement provides the framework for the development of strategic plans and might set the parameters for the selection of strategic objectives and/or programmatic approaches

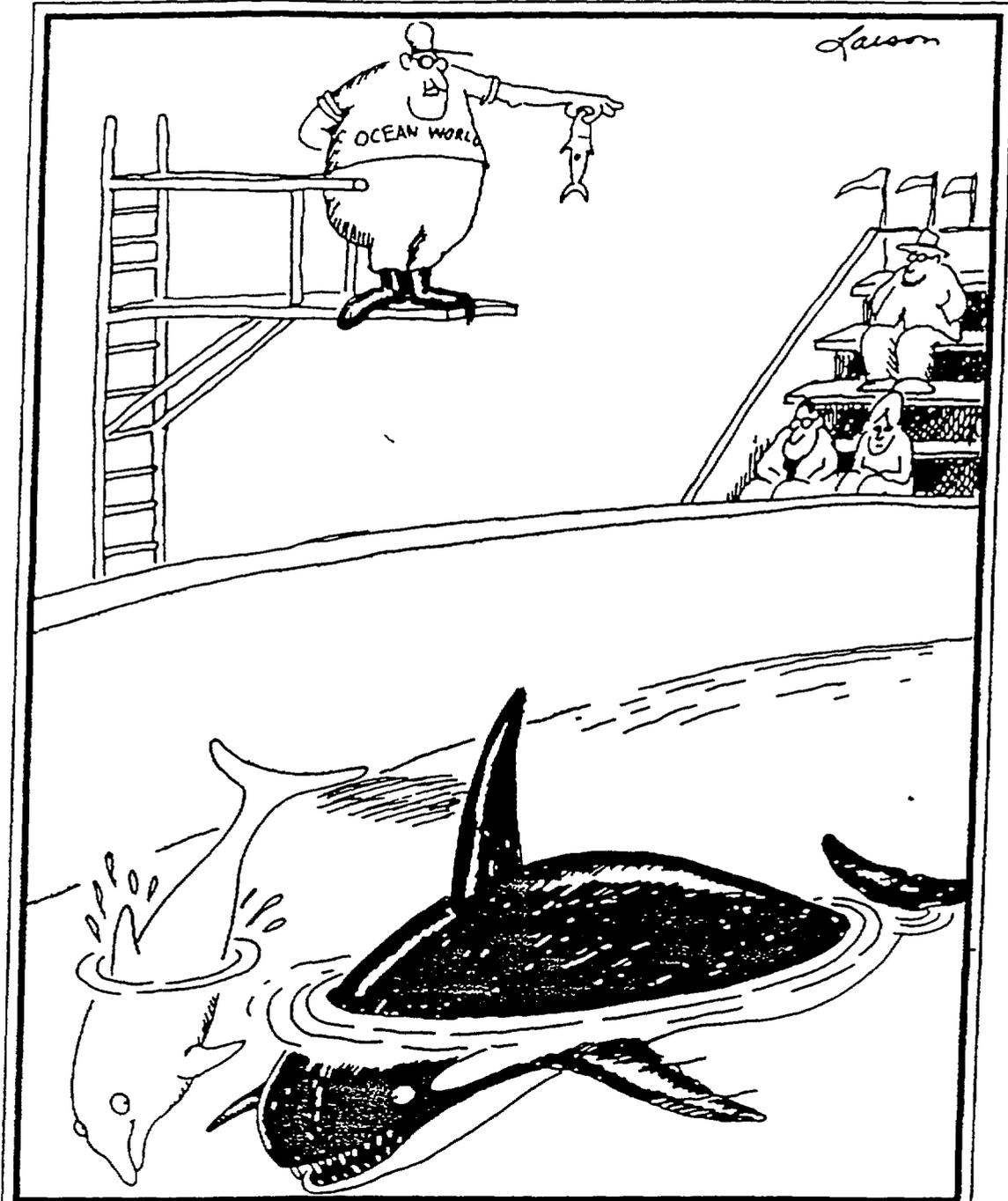
26 **Target of opportunity** Short term, unanticipated or politically significant circumstances which an operating unit has determined are important to respond to in light of USAID's overall goals Activities directed at these opportunities fall outside of the longer term strategic program areas

Part One:
Strategic Planning

USAID's Approach To Strategic Management

- **Emphasis on results**
- **Increased focus and "strategic" choice of strategies and resources**
- **Measure and report on results**
- **Analyze performance information to learn, re-plan, re-focus, and improve performance**
- **Use performance information to tell USAID's story, and hold USAID accountable**

**Good Strategic Planning Involves
Setting Ambitious, Yet Achievable
Objectives...**



**"The herring's nothin' .. I'm going for the
whole shmeer!"**

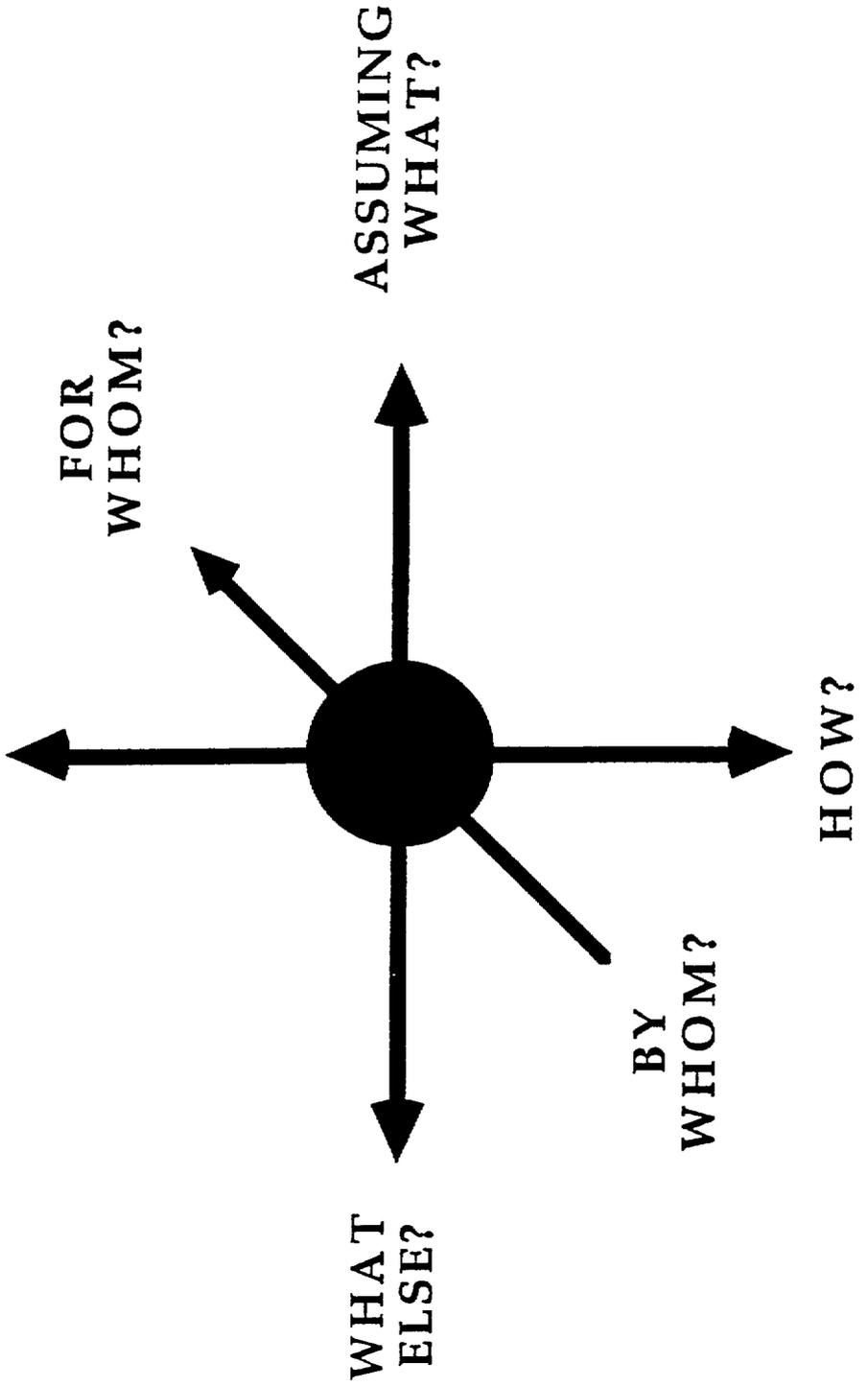
Program Objective Trees

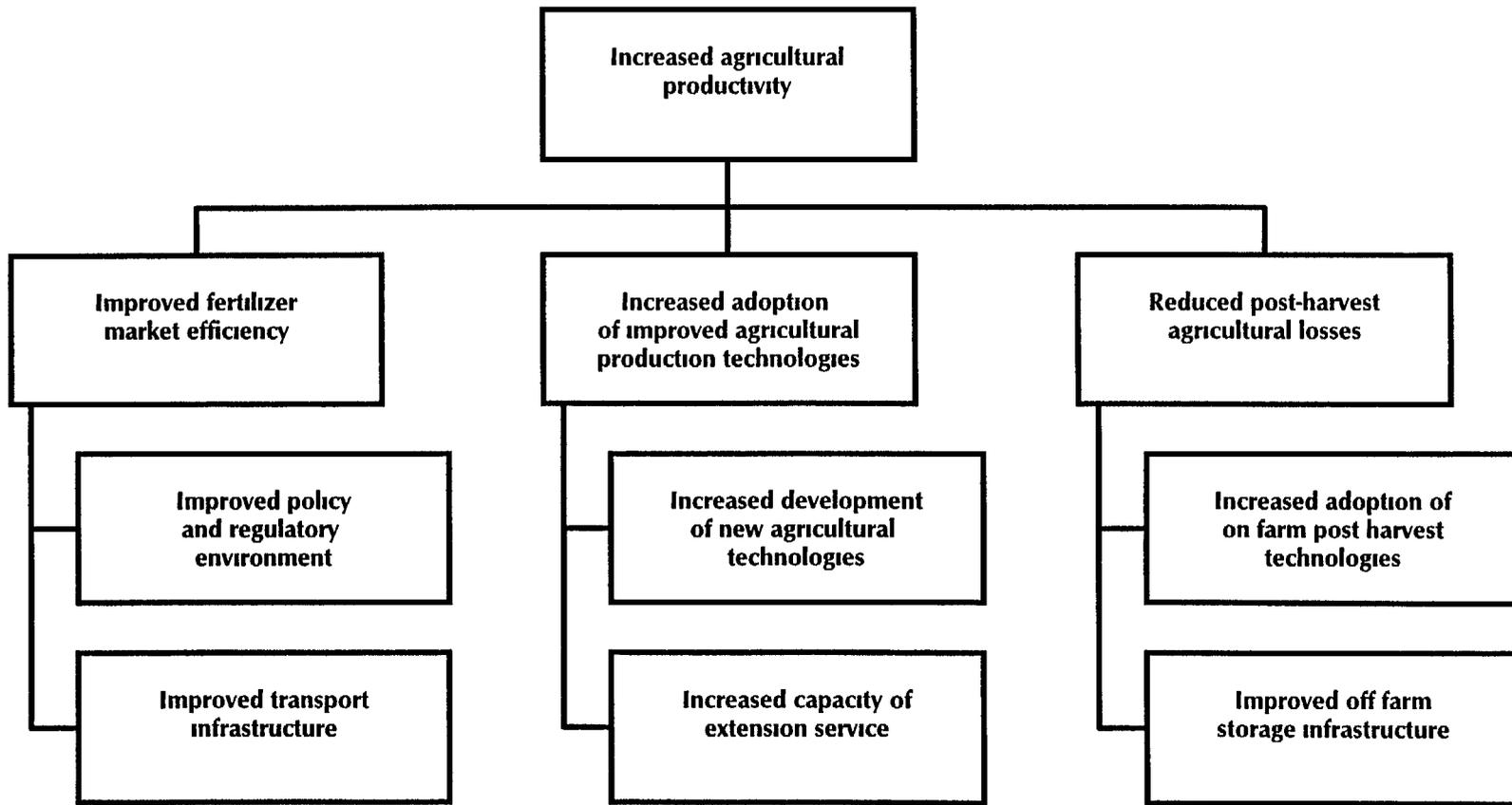
- ➡ **Display causes and results graphically**
- ➡ **Identify necessary and sufficient elements to produce certain results**
- ➡ **Communicate intentions and commitments to elicit understanding, commitment, and action**
- ➡ **Identify strategic objectives and lower level objectives**

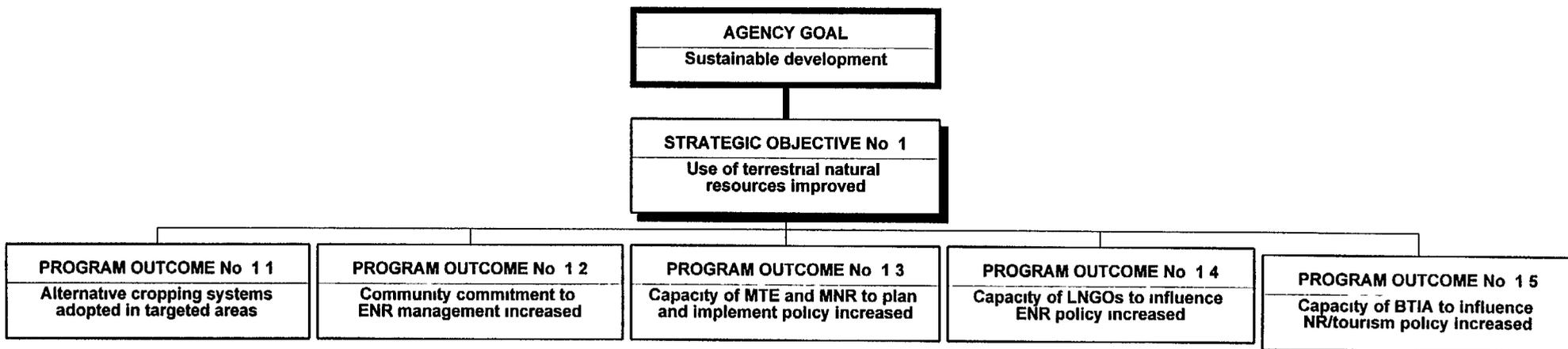
A Good Program Objective Tree

- ☞ **The "if-then" hierarchy of objectives is logically consistent**
- ☞ **Objectives are set at appropriate levels, given their types, time-frames, and relationships to one another**
- ☞ **Objectives are precise, Focused, and objectively verifiable**
- ☞ **Critical assumptions are understood and documented**
- ☞ **The "necessary and sufficient" conditions are met**

WHY?
SO WHAT?







Strategic Objectives Should Be:

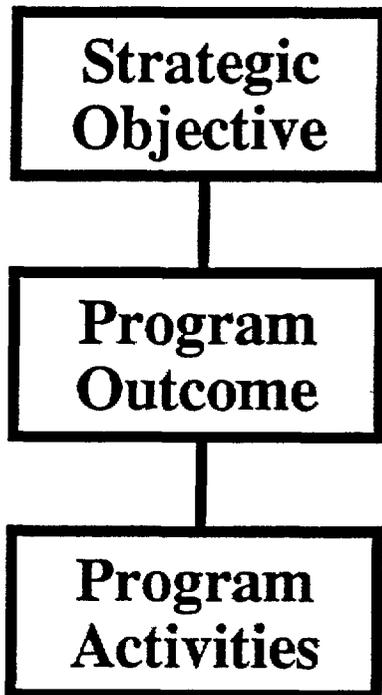
- ☞ Precise statements of significant, sustainable development results being sought**

- ☞ Consistent with Agency and Bureau priorities and country needs, opportunities and constraints**

- ☞ Within the USAID's "Manageable Interest" (achievability/ accountability)**

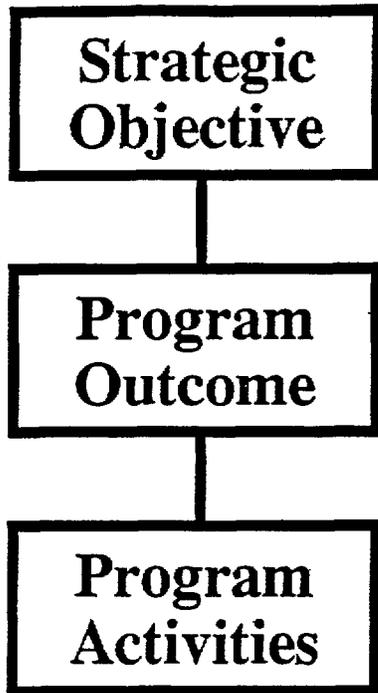
- ☞ Amenable to progress in the medium term (usually 5-8 years)**

Strategic Objective



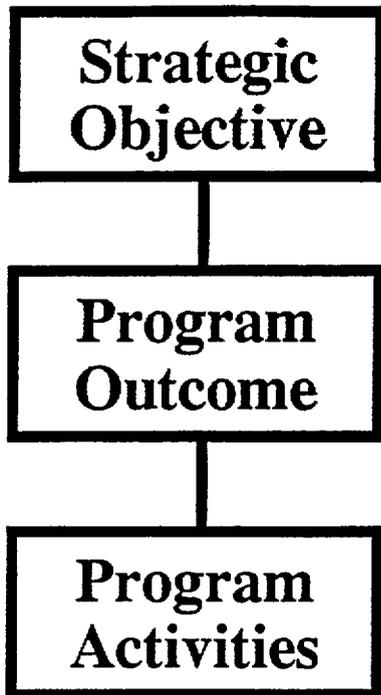
A significant development result that can be achieved or toward which substantial progress can be made, typically within 5-8 years, for which the operational unit is held accountable in an approved strategic plan.

Program Outcome



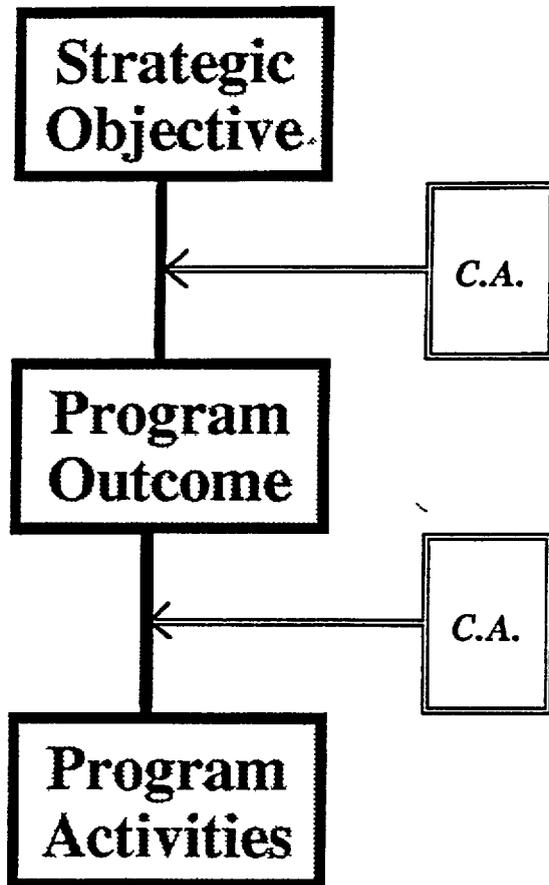
A measurable result, generally achievable within 2-5 years, of one or more program activities, which, in turn, contributes to a higher-order strategic objective.

Program Activity



**A USAID-funded
assistance effort
organized
to contribute
to a clearly
defined
program outcome**

Critical Assumptions

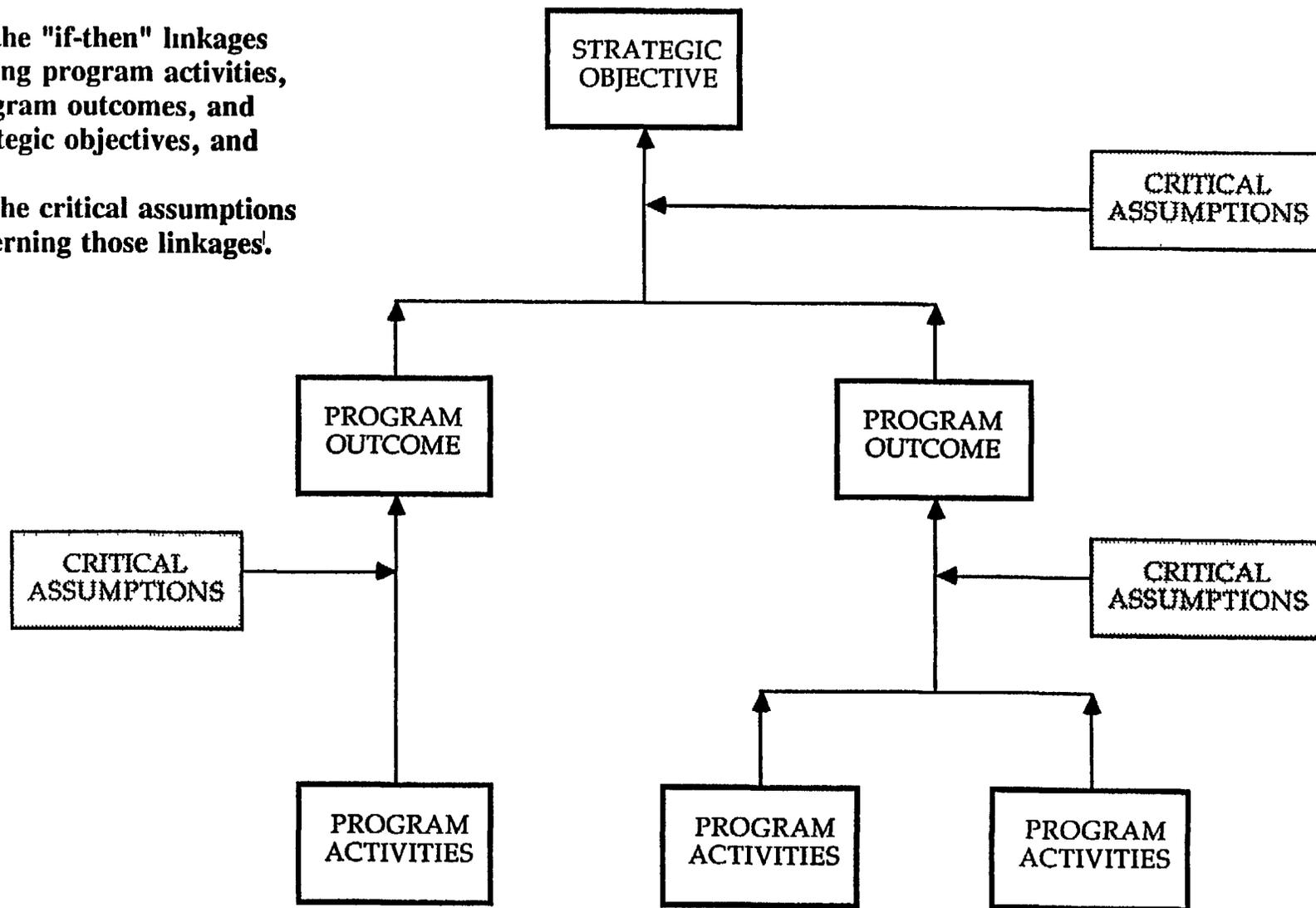


Other factors, outside the control of USAID program managers, that are also necessary to accomplish the strategic objective or program outcome. (Examples: important results of other donor or host government activities, crucial policies and regulations, etc.)

A well conceived program objective tree shows

(1) the "if-then" linkages among program activities, program outcomes, and strategic objectives, and

(2) the critical assumptions governing those linkages!



PERFORMANCE INDICATOR

A particular characteristic or dimension for measuring progress toward achievement of an intended change (as stated in a strategic objective, program outcome objective, or program activity).

PROXY INDICATOR

An indirect indicator used to measure performance when data for a better, more direct indicator are not available or feasible to collect at regular intervals.

E.g. Lower farmgate prices as an indirect measure of increased agricultural productivity

Declining insurance claims as a measure of safer car designs

Carpet wear and tear as a measure of exhibit popularity at a museum

Declining freight rates as a measure of an increasingly competitive industry

LEADING INDICATOR

An indicator that foreshadows performance on an objective; it is used when measurement against the objective itself cannot yet be undertaken.

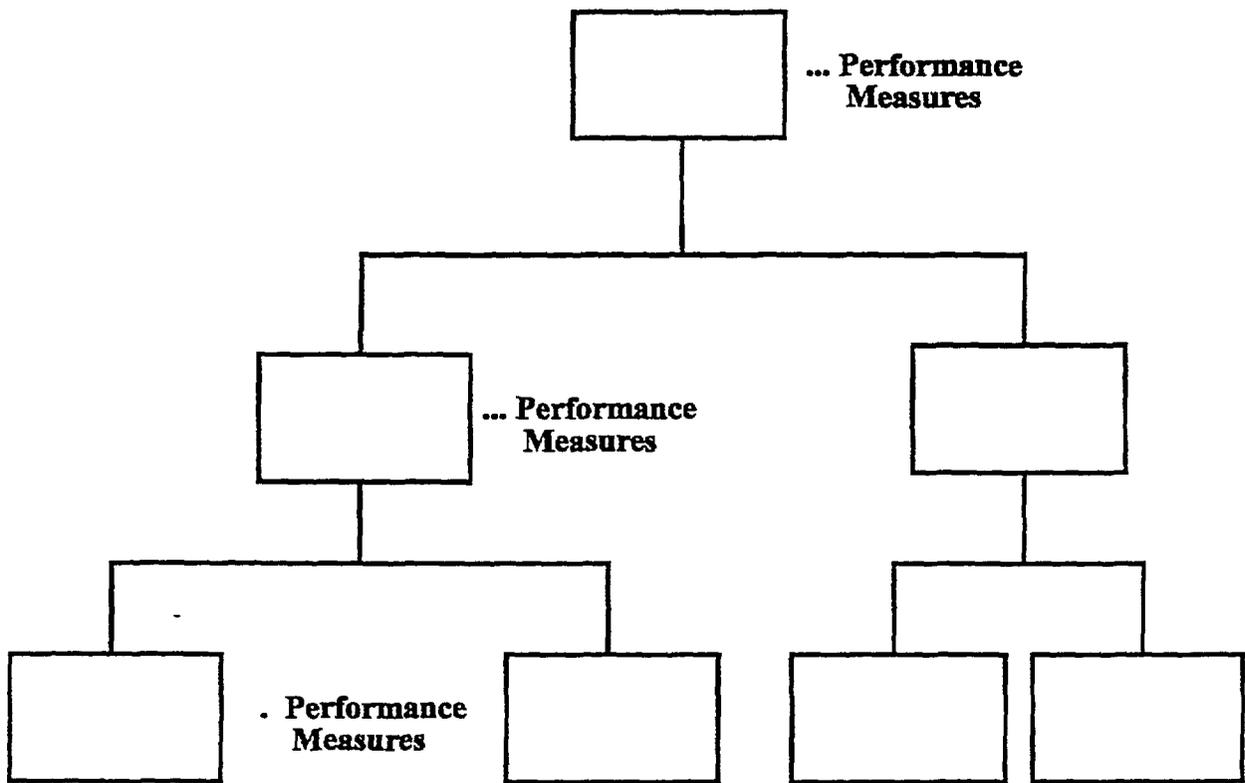
E.g. Housing starts as an indicator of economic trends, specifically of overall economic growth

Increases and improvements in girls education as a predictor of a decline in a nation s population growth rate

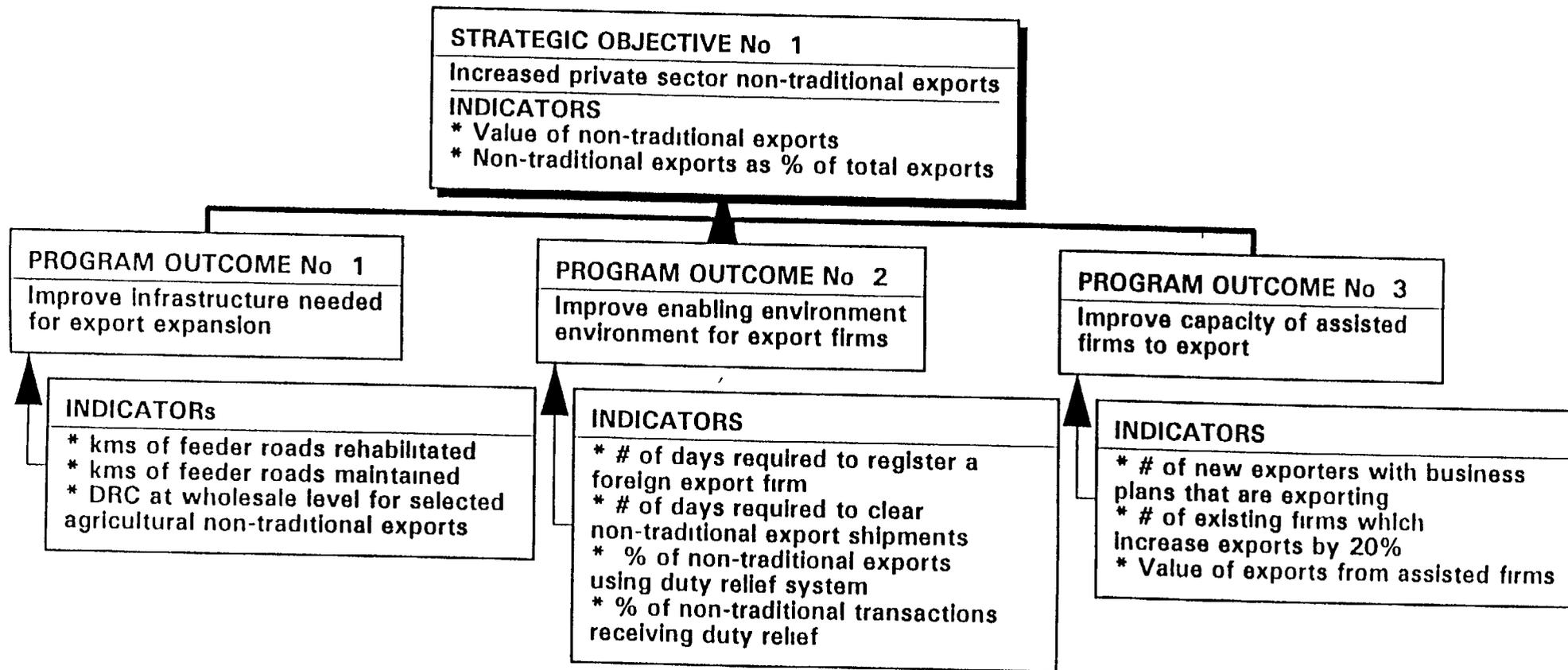
THE PERFORMANCE INDICATORS FOR AN OBJECTIVE SHOULD BE . . .

- DIRECT -- STRAIGHTFORWARD AND AT THE SAME LEVELS AS THE OBJECTIVES FOR WHICH THEY HAVE BEEN DEVELOPED, GROUNDED IN THEORY AND PRACTICE, ACCEPTABLE TO BOTH PROPONENTS AND SKEPTICS
- PRECISE -- UNIDIMENSIONAL AND FRAMED IN OPERATIONAL TERMS
- ADEQUATE -- AS A GROUP, THEY MEASURE THE STRATEGIC OBJECTIVE OR PROGRAM OUTCOME EFFECTIVELY AND EFFICIENTLY
- QUANTITATIVE IF POSSIBLE -- BUT QUALITATIVE WHERE NECESSARY
- DISAGGREGATED WHERE APPROPRIATE -- GENDER, AGE, URBAN-RURAL, POOR-NON-POOR
- PRACTICAL · THEY ARE AMENABLE TO THE COLLECTION OF
 - QUALITY DATA -- DATA WILL BE RELIABLE AND VALID
 - TIMELY DATA -- DATA WILL BE CURRENT AND REGULAR (GENERALLY, EVERY 3-5 YEARS FOR STRATEGIC OBJECTIVES, EVERY 1-2 YEARS FOR PROGRAM OUTCOMES)
 - COST-EFFECTIVE DATA -- COSTS OF DATA COLLECTION WILL BE REASONABLE

Measures of Performance Are Set at the Program and Activity Level



AN ILLUSTRATIVE EXAMPLE: STRATEGIC OBJECTIVE TREE PROGRAM OUTCOMES & INDICATORS



PERFORMANCE BASELINE

The point or level from which performance indicators will measure change.

PERFORMANCE TARGET (EXPECTED RESULT)

The intended results to be achieved within specific timeframes and against which actual results are compared and assessed.

SETTING PERFORMANCE TARGETS

- QUANTITY:** How much of a change is expected?
- QUALITY:** How good do the results have to be?
- TIMELINESS:** When do we expect the objective to be achieved?
- GROUPS/
LOCATIONS:** Who do we expect to benefit or where do we expect the results to occur?

ESTABLISHING TIME TARGETS

When we set time targets, we are making projections

Time targets should not be "guesses" -- particularly when the art of projecting performance is reasonably well developed

Key aids in establishing time targets include

- o **Experts:**
 - - What guidance do technical experts in the field offer?
- o **Historical trend data:**
 - How fast has progress occurred in the past?
 - - What was the rate of progress in the absence of the goods and services we will be providing?
- o **External reference points:**
 - - What has been the pace of progress in other situations where the kind of interventions we are contemplating were introduced?
- o **Constraints.**
 - - What will limit the rate of progress? At the outside, how fast can performance improve?

BUILDING A STRATEGIC PLAN

CRITERIA FOR STRATEGIC OBJECTIVES, PROGRAM OUTCOMES AND INDICATORS (Draft Document - prepared by Keith Brown, MSI)

This document has been prepared as a guide to assist in the design and assessment of strategic plans. The criteria included below emphasize the development of functional and management-oriented strategies. As such, both the design/structure of the framework (strategic objectives and program outcomes) and its operationalization (indicators) are considered. In addition, the focus of this piece is on those segments of strategic plans which are most closely associated with mission activities. Therefore, a discussion of goals and sub-goals is not included.

Four major themes which should guide the development and implementation of mission-level strategic plans emerge from this text¹: 1) logical consistency in the relationships between the various elements of the framework, 2) specification of strategic objectives and program outcomes at appropriate levels, in terms of how they relate to both each other and to mission activities, 3) definition of program outcomes and strategic objectives in precise and operational terms which are, in turn, objectively verifiable, and, 4) identification of practical indicators which directly measure the relevant strategic element (SO or PO).

The criteria presented below are framed in question form and accompanied with explanatory narrative where appropriate. Examples are also included in an effort to make this material as practical as is possible.

I CRITERIA FOR STRATEGIC OBJECTIVES

1) *Logical Consistency*

- 1.1 Is the strategic objective logically consistent with the program outcomes and project/program activities which form the lower levels of the strategic framework? From the perspective of program logframe design, is it possible to answer the question, "how" when moving down the framework from the SO, or conversely, to answer the question "why" when moving up the framework to the SO?

Problems with logical consistency can, to a large degree, be grouped into three distinct categories: cases in which the logic between the objectives at different levels of a strategic framework (e.g., between the strategic objective and the program outcomes), is inverted, cases in which there is little or no apparent relationship between objectives at different levels, and, cases in which the relationship between the

¹ This document does not, in most cases, address specific regional bureau guidance. Clearly, bureau guidance must be considered during the design of a strategic plan. In most cases, bureau concerns will be complementary to those outlined in this piece.

45

objectives at different levels is not causal in nature (for example, the relationship may be - inappropriately - definitional or categorical) The last of these categories is the one that occurs most frequently

NOTE to elaborate on the final category discussed in the preceding paragraph, a strategic objective should not simply be the sum of the program outcomes which support it (this is a relatively common misapplication of the strategic planning process and is usually most evident when reviewing program outcomes) A quick examination of the indicators for a strategic objective and its related POs will frequently point to this inconsistency If the indicators for the relevant POs "add up" to the indicators at the SO level, there is a good chance the relationship between the SO and the POs is not strategic in nature (it is also possible that inappropriate indicators have been identified)

example (*logically consistent*) A strategic objective of "Increase Contraceptive Use" with a contributing program outcome of, "Increase the Availability of Family Planning Services " The questions of "why" and "how" are easily and logically answered in this case

example (*logically inconsistent, inverted logic*) A strategic objective of, "Quality of Family Planning Delivery Systems Improved" with a contributing program outcome of, "More Effective Use of Family Planning Methods " this is an example of inverted logic Using the program logframe method of asking "why" and "how" the inconsistent logic of this relationship becomes clear *Why* pursue more effective use of family planning (FP) methods - the program outcome in this example Will it lead to an increase in the quality of FP delivery systems? No, rather it is the potential *result or impact* of the increased quality of those systems This inconsistency is perhaps even more apparent when moving down the framework while asking the question "how " Only when the SO and the PO are reversed is the relationship logically consistent *How* is an increase in the effective use of family planning methods to be attained One contributing factor, the improvement of family planning delivery systems

example (*logically inconsistent, no apparent relationship*) A strategic objective of, "Support the Economic Liberalization and Growth Policies of the Host Government" (this SO has several problems, one of which is presented as an example under 3.2 in this section) with a contributing program outcome of "Increased Availability of Family Planning Services and Commodities " In this example the program outcome has an exceedingly weak logical link to the strategic objective It is possible, given specific critical assumptions, to tie the PO to issues of equity and broad-based growth It is not, however, logically consistent to link the availability of family planning services with economic growth and liberalization policies

example (*inappropriate relationship, no causal link*) "Increase Agricultural Production in High Potential Areas " The POs which support this SO simply disaggregate the SO into its geographic parts, i e , increase production in the coastal regions,

increase production in the highland regions, etc. Another example is an SO of "Improve the Delivery of Health and Educational Services," with two supporting POs: 1) Improve the Delivery of Health Care, and 2) Improve the Provision of Basic Education. In these examples, there is no link between the PO and SO level which defines the **strategy** for achieving the strategic objective, that is, there is no causal link between the strategic objective and the programs outcomes. Rather, the POs simply restate the SO or break it into its component parts.

2) *Appropriate Level*

- 2.1 Does the strategic objective capture the highest level impact *associated with mission activities* in a specific program area? The operational definition of association is somewhat flexible here, but is meant to indicate that mission interventions must contribute to the attainment of the strategic objective, although taken as a group, they may not be sufficient to independently insure its fulfillment. An in-depth understanding of both the country (economy, political situation, social and demographic factors) and mission (resource levels - human and financial, etc.) situations is necessary to determine if a strategic objective is framed at an appropriate level of ambition.
- 2.2 Related to 2.1, does the strategic objective represent the highest level results *for which the mission is willing to be held accountable*? Missions should be careful not to frame an SO based solely on the perception of a constraint or need in the economy or society of the host country. The assessment of need must be tempered with an appreciation of the potential for impact resulting from mission activities.
- 2.3 Does the strategic objective reflect a clear and direct relationship with the program outcomes contributing to it? It should not be necessary to accept numerous or overly-substantial assumptions to move from the program outcome level to the strategic objective level, how many or how big are the assumptions which are necessary to link the POs to the SO? In short, is too large an assumptive jump being made?

If large assumptive gaps exist between the levels of a strategic plan, its usefulness as a management tool is compromised. Assessment of performance becomes difficult and management decisions require analysis at a level of detail which may not be forthcoming.

For missions in the Africa Bureau AFR Bureau guidelines regarding level of specification for a strategic objective are very precise. Namely, strategic objectives must capture people level impact, for example, changes in household income, employment, infant and child health, literacy, educational status, etc. Strategic objectives of African missions should also reflect considerations regarding "level" that all strategic objectives do, i.e., those outlined in 2.1 through 2.3 above.

NOTE: Implicit in the criterion of appropriate level is the concept of manageable interest

The term manageable interest has a number of slightly variable, and in some cases confusing, definitions. It is suggested that the considerations outlined in 2.1 and 2.2 above articulate a practical application of the concept. AFR Bureau's requirement that all SOs be framed at the people level has the potential to conflict with the requirement of manageable interest (this has not infrequently been the case). Specifically, framing an SO at a level which captures direct impact on people may move the SO beyond a mission's manageable interest (e.g., increasing household incomes is an objective that clearly reflects people level impact, but in most cases it is just as clearly outside of a mission's manageable interest). This document cannot offer specific guidance on the issue. An attempt should be made to meet both standards. When this is not possible, a mission or office should consult with AFR/DP and decide which requirement is the most pertinent, given mission activities and concerns.

example (*appropriate level and relationship*) "Improved Maternal and Child Health." This SO is supported by POs which focus on increasing immunization coverage, improving prenatal care, increasing the access to clean water and sewerage systems and improving programs for managing Acute Respiratory Disease. The strategic objective has a clear strategic (versus thematic) link to the POS and reflects a result/impact which is directly associated with the mission activities represented by these POs. An inappropriate assumptive jump between the SO and PO level is not being made and the SO reflects not only an assessment of need but also an appreciation for the potential impact of mission interventions, given resource availability and conditions prevailing within the country. In short, the strategic objective is within the mission's manageable interest.

example (*inappropriate level, re para 2.1 above*) "Increase the Efficiency with which Public Services in Agriculture and Health are Provided." This strategic objective is framed at too low a level, focusing on institutional strengthening, not on the results or impact of institutional strengthening. The SO is additive in nature, simply summing the outputs and results of projects, instead of moving one level up to look at impact. In this example, it would be appropriate to look at the impact of an increase in the provision of health and/or agricultural services (if SOs were meant to reflect direct attribution, it would be difficult in some cases to move a level up from mission activities, however, attribution is not a prerequisite at the SO level).

example (*inappropriate level, re para 2.2 above*) "Increase Private Sector Employment and Real Wages." This strategic objective was formulated in a country with the following characteristics: high and rising unemployment in both the skilled and unskilled labor sectors, sluggish economic growth, a large fiscal deficit, annual inflation of between 20% and 30%, a central government which historically acted as the employer of last resort. The mission's view was that an increase in employment without a corresponding change in real wages would not lead to broad based economic growth and/or development, the mission's strategic goal (i.e., that an increase in employment without a concomitant increase in real wages represented the transfer of wealth as opposed to the generation of wealth).

Declining real wages did represent a significant constraint to development in the country. However, it was not a constraint which the mission was able to address. The rapid growth of the labor pool, slow economic growth and high inflation indicated that real wages would decrease for the medium term, regardless of donor interventions. Taken with the relatively low level of resources obligated to related activities, it was clear that the SO had been defined at too high a level and had been initially framed based more on the perception of need and constraints than on an assessment of the mission's potential impact.

example (*inappropriate level/relationship, re para 2 3 above*) "Healthier and Better Educated Citizens " The program outputs which support this SO are logically consistent with the strategic framework. Their breadth and scope, however, are not adequate to justify such a comprehensive strategic objective. The program outcomes for this SO focus principally on primary education and child and maternal health (including family planning services and primary health care activities, the "primary beneficiaries" of which the mission identifies as "children and mothers"). Notwithstanding the ambitiousness of the mission's programs in the health and education sectors, it would be more appropriate to limit the strategic objective to areas in which mission activities (and the corresponding POs) are *most directly focused*, i.e., primary education and child and maternal health. (The SO used in this example has some additional weaknesses, primarily in terms of precision.)

example (*appropriate level, Africa Bureau*) "Increase Off-farm Employment" This strategic objective, which is directly supported by logically consistent and clearly defined POs, clearly captures a people level phenomena, i.e., a change in the level of employment.

example (*inappropriate level, Africa Bureau*) "Growth and Increased Efficiency in Agricultural Markets " Increased efficiency in agricultural marketing does not represent people level impact. Market efficiency can contribute to increased production (by increasing the availability of fertilizers, providing improved incentives for production, etc.) as well as farm income, both people level results. In this instance, the SO clearly does not express impact at the people level (particularly for African missions, market efficiency is most aptly tied to the program outcome level).

3) General Characteristics

- 3.1 Does the strategic objective include only one objective/purpose (i.e., it should *not* include multiple objectives - what is sometimes referred to as a "composite objective")?
- 3.2 Does the strategic objective focus on results or impact rather than actions or means?
- 3.3 Is the SO objectively verifiable, i.e., is the strategic objective defined in a manner

which permits objective measurement?

- 3 4 Is the strategic objective attainable within 5 to 8 years (refer to the expected/projected results)? This criterion must be assessed while weighing many considerations current and projected resource availability, current and projected host government and cooperating donor commitment, the defining dynamics of the process being captured in the strategic objective, and, generally, the current and projected status of potentially numerous and widely variable factors (both inside and outside the country) which influence progress towards the relevant SO?

NOTE the criteria defined in 3 1 thru 3 3 are virtually identical for strategic objectives and program outcomes The examples below which illustrate these criteria, therefore, include both SOs and POs and serve as examples for both Section I (criteria for strategic objectives) and Section II (criteria for program outcomes)

- example** (*unitary objective, results-based, objectively verifiable*) "Increase the Use of Modern Contraceptives " This SO has a unitary objective, focuses on the impact of mission actions rather than the actions themselves and is objectively verifiable Additional examples of precise strategic objectives include, "Increase Private Sector Participation in the Economy," "Increase Agricultural Exports" and "Decrease Infant Mortality "
- * **example** (*multiple objectives, re para 3 1 above*) "Increase Employment, Income, Investment and Productivity in Non-traditional Sectors of the Economy " This SO emphasizes four distinct objectives If in fact the mission truly expects its programs to have such a comprehensive impact, this SO would best be articulated as four individual SOs, or as one or two SOs with the remaining objectives being defined as program outcomes (eg , employment growth could be the SO, with investment and productivity specified as supporting POs) One of the program outcomes which currently contributes to this SO is defined as, "Generate Jobs, Investment and New Sources of Foreign Exchange " This PO represents another prime example of imprecision resulting from a statement of multiple objectives
- example** (*statement of action/means, re para 3 2 above*) "Support the Economic liberalization and Growth Policies of the Host Government " This strategic objective defines an action - support of policies - as the fundamental objective Strategic objectives should capture the results of actions, not the actions themselves Imprecision resulting from statements of means or actions is a problem more often seen at the program outcome level (this seems particularly true for POs within the environmental sector and may be a result of missions utilizing the five level NRM strategic framework designed by ARTS/FARA as a guide when specifying SOs and POs Note, the NRM framework may represent the most appropriate tool to use, given the status of current AID activities in the sector) An example of a program outcome which reflects a statement of means is, "Environmentally Viable Alternatives to Deforestation Identified and

Promoted "

example (*not objectively verifiable, re para 3 3 above*) "Ability of Entrepreneurs to Respond to Improved Policy, Legal and Regulatory Conflict Improved " It is very difficult to *objectively* measure the ability of an individual or group of individuals (as stated, the SO is to improve the ability of entrepreneurs) A more appropriate articulation would focus on the measurable results of the improvement of entrepreneurs' ability to respond to an improved investment environment A second example, "Public and Private Sector Leadership Developed," illustrates that while a SO or PO may be valid from a logical/strategic perspective, for it to be of practical use it must also be objectively verifiable SOs and POs which are framed in a manner which only permit subjective verification, do not function well as elements in a strategic plan for the obvious reason that it is impossible to measure progress towards their achievement

NOTE Because so many considerations are involved and because an in-depth understanding of a country's development context is necessary, it is problematic to present an actual example of an SO that is not achievable within a 5 to 8 year timeframe (although many such examples certainly exist) The following is a fictitious example of a strategic objective that is conclusively not achievable in a five to eight year timeframe

example (*inappropriate timeframe*) "Increase Acreage Under New High Yield Grain Varieties " The development of a new HYV grain (eg , maize) at a research center may take between two and five years The new variety will then typically undergo preliminary tests for an additional two or three years If results of the preliminary tests are promising, performance trials will be conducted and may take another three years At the conclusion of this process a decision will be made regarding the release of the new variety If released, the seed will be multiplied by a public or private entity to ensure adequate stocks are available for sale to farmers The entire process may take between ten and thirteen years, clearly outside the required timeframe

II CRITERIA FOR PROGRAM OUTCOMES

The criteria for program outcomes are similar to those for strategic objectives, with some important differences Where appropriate, references have been made in this section to either examples or the substantive discussion in Section I (see 1 1 above for a more detailed discussion of the specific problems related to the criterion of logical consistency)

1) *Logical Consistency*

- 1 1 Is the program outcome logically and clearly linked to the strategic objective? Does it make a direct and necessary contribution to the achievement of the relevant strategic

objective? From the program logframe design perspective, is it possible to answer the question "why" when moving from the program outcome to the strategic objective?

example see examples under 1.1 of Section I above

Note to reviewers of this draft a concept which is occasionally referred to as a guideline in PRISM-related documents - i.e., "necessary and sufficient" is not included in this draft. The concept is most often referred to as a criterion of a "good" program outcome, particularly when considered from the perspective of a group of program outcomes contributing to a strategic objective. Reconciling the concept of necessary and sufficient with the practical design and use of mission level strategic frameworks is problematic (it is necessary to make assumptions regarding the results of the activities of other donors and the host government, of economic, political and social trends, of climatic shifts, etc.) Discussions in recent meetings and workshops have alluded to this fact and have pointed to the particular difficulties inherent in determining sufficiency. Several of the criteria discussed herein attempt to take this into consideration, implicitly emphasizing the "necessary" component of the concept while dropping sufficiency as a defining element (see 2.1 in Section I and 1.1 in Section II)

2) *Appropriate Level*

- 2.1 Does the program outcome capture results which are *directly attributable* to mission activities and to the use of mission resources? This is a much stronger link with mission interventions than is being made at the strategic objective level (see 2.1 in Section I). In practical terms, a program outcome should be at least a project output, though in most cases it will be higher. It may be helpful to think of POs as direct responses to, or results of, mission efforts, i.e., similar to project purpose statements.
- 2.2 Does the program outcome establish a clear progression from the activities which support it, through to the strategic objective? In other words, is the program outcome clearly and directly linked to both the activities which contribute to it (i.e., an appropriate assumptive jump, see 2.3 in Section I), and the strategic objective to which it, in turn, contributes. The program outcome level provides the best perspective from which to assess the relationship between the various levels of the strategic framework.

NOTE Although many frameworks do not formally identify any elements below the program outcome level, recognition and assessment of the mission interventions which contribute to program outcomes is an important part of the strategic planning process. For a strategic plan to be a *functional* management tool this is a necessity. Therefore, explicit reference has been made in 2.2 above to the attention that must be paid to mission activities which constitute an integral part of the overall strategic framework, but are "below" the program outcome level.

example (*appropriate level and relationship*) A program outcome of, "Increased Access to Safe Water" contributing to a strategic objective of, "Decrease Infant and Child Morbidity and Mortality." This PO is directly attributable to mission activities, is

defined as a result of those activities, does not require a large assumptive jump to move to the SO level and relates strategically - not thematically - to the strategic objective (the additional POs which support this SO, also framed at an appropriate level, taken together with the PO and SO in this example constitute a functional and consistent strategic framework)

example (*inappropriate level, re para 2 1 above*) "Infrastructure Necessary for Private Sector Growth " This program outcome reflects results which are not directly attributable to mission interventions Infrastructure necessary for private sector growth includes, inter alia, transportation (road, rail, ports, air), telecommunications, energy and water Given the scope of infrastructural change (and investment) necessary for private sector growth, direct attribution to mission activities in this case is not credible The program outcome has been identified too broadly and at too high a level

example (*inappropriate level, re para 2 1 above*) "Increase the Capacity of the Host Government's Health System to Provide More Accessible, Integrated and Higher Quality Services at User Affordable and at Sustainable Overall Costs" (this PO has a number of weaknesses beyond the criteria of appropriate level) While this program outcome does capture results which are directly attributable to mission activities, it is framed at too low a level As presently defined, the focus is on "increasing the capacity" of the health care system Alternatively, by emphasizing either the availability of health care services (a result of increased capacity) or the use of those services (also a result of increased capacity, but one level "up" from availability), the program outcome would continue to reflect results which were directly attributable to mission efforts, but would move clearly beyond the indication of project inputs or low-level outputs

In the strategic plan of which the PO in this example is a part, the relevant strategic objective to which the PO contributes is also framed at too low a level If the SO were framed appropriately, the assumptive gap between it and this PO would be inordinately large, a problem illustrated in the following example

example (*inappropriate level and relationship, re para 2 2 above*) A program outcome of, "Increased Citizen Skills for Private Sector Development" supporting a strategic objective of, "Increased Employment in Off-farm Sectors" (a second PO specifies an improved policy environment) A large assumptive jump is required in this example to move from the program outcome to the strategic objective The logic in the framework is consistent, but an important intermediate step is omitted Namely, the result or impact from the utilization of improved human resources and policies, i e , increases in the revenue, profit and investment levels of firms in off-farm sectors which, in turn, may lead to expanded production and increased demand for resources - resulting in increased employment As currently framed, too many critical assumptions are necessary to move from the PO to the SO In this case, the strategic framework would be more functional if the program outcome level was more closely linked to the strategic objective level (eg ,

reflecting changes in revenues, profits and investment)

3) *General Characteristics*

- 3 1 Does the program outcome include only one objective/purpose (i.e., it should *not* include multiple objectives - what is sometimes referred to as a "composite objective")?
- 3 2 Does the program outcome focus on results or impact rather than actions or means?
- 3 3 Is the program outcome objectively verifiable, i.e., is the program outcome defined in a manner which permits objective measurement?
- 3 4 Is the program outcome attainable within 2 to 5 years, given the resources devoted to it (refer to the expected/projected results)?

example see Section I for examples of 3 1 through 3 3

example timeframe (to be added)

III CRITERIA FOR INDICATORS

1) *Direct Measure of Relevant Objective*

- 1 1 Is the indicator a direct measure of the relevant strategic objective or program outcome? If at all possible, proxy or indirect indicators, which by definition are based on one or more assumptions, should be avoided

The use of proxy indicators is very common and, at times, is unavoidable. However, proxies, which do not provide decision makers with information as useful as do direct indicators, often indicate a possible weakness in the related strategic framework. In general, proxy indicators are used in three circumstances: (1) when quality data for direct indicators are not available on a timely or consistent basis (use of indirect/proxy indicators may be unavoidable in this case), (2) the strategic framework is inconsistent or does not accurately represent the activities of the mission, in this case the indicators may actually "lead" the strategy and provide a better idea of mission interventions than do the SOs and POs (use of indirect/proxy indicators is avoidable through modification of the relevant elements of the strategic plan in this case), and, (3) the mission is attempting to capture or illustrate people-level impact, but does not feel it is within their manageable interest to define their SOs and POs at the people level (use of indirect/proxy indicators is avoidable in this case).

An additional illustration of the inappropriate use of indirect indicators is the case in which the indicators identified for a PO or SO represent the intended results of the SO or PO, rather than being direct measures of the status of the given objective. In these cases, the indicators are strategically higher than their corresponding strategic objectives or program outcomes (see example below). This usually indicates a strategy in need of further refinement. The misuse of results as performance indicators in this manner has the significant potential to confuse management decisions.

example (*direct measure of objective*) so - contraceptive prevalence for increased use of contraceptives, po - increased access to credit for SMEs - volume of credit and/or proportion of SMEs obtaining loans

example (*indirect/proxy measure of objective, to be added*)

example (*indirect measure of objective - using anticipated results as a measure of PO/SO*) For a strategic objective of, "Increase Private Sector-led Export Production and Investment," the use of two indicators - "new employment opportunities (jobs created)" and "real income of workers in the non-traditional export sector." These indicators do not directly measure private sector export production or investment. In fact, they measure the anticipated results or impact of the achievement of the strategic objective they are intended to measure (refer to the note above). The most direct measure of export production available in most circumstances is the value of exports.

In this example the indicators and the strategic objective convey substantially different pictures regarding this strategic area. It is unclear whether the mission's activities are focusing on the non-traditional export sector or the entire export sector. Further, the anticipated level of impact - production and investment versus employment and income - is also ambiguous. These inconsistencies indicate that the indicators may, to some degree, lead the strategy and that the framework may need further refinement (in actual fact, this strategy was refined after review and reexamination by the mission).

2) Practicality

- 2.1 Are quality data available? A review of data quality should include an assessment of its validity and reliability (evaluate the method of collection and the procedure for data collation, aggregation and analysis). In addition, over time, data for each specific indicator should be consistent in definition, collection methodology, and whenever possible, source (this is the case when using any time series data, all data being presented in a strategic plan should be considered time series/longitudinal).
- 2.2 If quality data are available, can they be collected on a regular and timely basis (for most program outcomes, annually or once every two years, for most strategic objectives, once every two or three years)?

- 2 3 If data do not currently exist, is primary data collection feasible?
- 2 4 Is data collection, from either primary or secondary sources, cost effective, i e , does it require expenditures which are in line with project, program and/or mission resources?

example (to be added)

example (to be added)

example (to be added)

example (to be added)

3) *Precision*

- 3 1 Does the indicator include only one phenomenon for measurement, i e , it should not specify more than one discrete element to be measured?
- 3 2 Is the indicator value neutral, i e , does not specify an objective such as "increase" or "decrease?"
- 3 3 Does the indicator not contain baseline figures or expected outcomes in its articulation?

example (to be added)

example (to be added)

example (to be added)

example (to be added)

4) *Disaggregation*

- 4 1 Is the indicator disaggregated by issues of cross-cutting concern (eg gender, rural/urban, etc) when such disaggregation is germane? Disaggregation is necessary when a cross-cutting issue is 'likely to be relevant to the achievement of strategic objectives and program outputs '

example (to be added)

example (to be added)

5) *Quantity*

- 5 1 Are the number of indicators for any one program outcome or strategic objective excessive? In answering this question consideration must be given to both resource constraints and to the capability of an indicator to provide useful and unique information. Although there is no generalizable rule concerning the number of indicators necessary for tracking a given objective, an effort should be made to keep the number small (eg, one or two for each SO or PO)

**CRITERIA
FOR SOUND AND
PRACTICAL
STRATEGIC FRAMEWORKS**

**A GOOD
STRATEGIC FRAMEWORK
IS A TOOL FOR:**

- **Planning**
- **Managing**
- **Communicating**
- **Reporting**

GENERAL CHARACTERISTICS

- **Statement of results**
- **Unidimensional objective**
- **Objectively verifiable**

Criteria: Statement of Results

Poor Example	Good Example
Support macroeconomic policy reforms	Reduced gap between official and parallel exchange rates
Environmentally viable alternatives to deforestation promoted	Increased use of sustainable forest management practices

Criteria Unidimensional Objective

Poor Example	Good Example
Improved quality of health and education services	Obj. 1: Improved quality of health services <u>and</u> Obj. 2: Improved quality of education services
Expanded small and medium enterprise sector and increased non-traditional exports	Obj. 1: Increased non-traditional exports <u>and</u> Obj. 2: Expanded small and medium enterprise sector
Increased agricultural productivity and farm incomes	Obj. 1: Increased agricultural productivity <u>or</u> Obj. 1: Increased farm incomes

Criteria: Objectively Verifiable

Poor Example	Good Example
Public and private sector leadership developed	Improved regulatory environment
Improved ability of entrepreneurs to respond to improved policy, legal and regulatory environment	Increased revenues of formal sector SMEs

LOGICAL CONSISTENCY

- **POs are lower level results which contribute to SOs**
- **Linkages between POs and SOs are causal in nature**
- **Relationship between POs and SO is direct and clear**

Criteria

POs are Lower Level Results Which Contribute to SOs

Poor Example	Good Example
SO: Improved quality of family planning delivery systems PO: Increased use of effective family planning methods	SO: Increased use of effective family planning methods PO: Improved quality of family planning delivery systems
SO: Improved quality of basic education PO: Increased number of children who are literate and numerate	SO: Increased number of children who are literate and numerate PO: Improved quality of basic education

Criteria: Linkages between POs and SOs are causal in nature

Poor Example	Good Example
<p><i>SO:</i> Increased agricultural production</p> <p><i>PO:</i> Increased agricultural production in highland regions</p> <p><i>PO:</i> Increased agricultural production in coastal regions</p>	<p><i>SO:</i> Increased agricultural production</p> <p><i>PO:</i> Improved agricultural market efficiency</p> <p><i>PO:</i> Increased adoption of improved agricultural technologies</p>
<p><i>SO:</i> More effective management of the natural resource base</p> <p><i>PO:</i> More effective management of forest resources</p> <p><i>PO:</i> More effective management of coastal resources</p> <p><i>PO:</i> More effective management of agricultural resources</p>	<p><i>SO:</i> More effective management of the natural resource base</p> <p><i>PO:</i> Increased institutional capacity of the Ministry of Lands</p>

Criteria: Relationship between POs and SO is direct and clear

Poor Example
<p><i>SO</i>: Increased household incomes <i>PO</i>: Increased availability of family planning services</p>

LEVEL

- **SO is within the Mission's 'manageable interest'**
- **POs are directly attributable to Mission activities**
- **Number and scope of assumptions linking POs to SO are reasonable**

Criteria. SO is Within the Mission's "Manageable Interest"

Poor Example	Good Example
Broad-based sustainable economic growth	Increased employment in the formal, off-farm private sector
Reduced population growth	Reduced fertility

Criteria POs are Directly Attributable to Mission Activities

Poor Example	Good Example
PO: Increased employment	PO: Increased number of formal sector small and medium enterprises
PO: Reduced fertility	PO: Increased availability of family planning services and commodities

Criteria Number and scope of assumptions linking PO to SO are reasonable

Poor Example	Good Example
SO: Increased use of modern contraception PO: Improved training of health care providers	SO: Increased use of modern contraception PO: Increased availability of contraceptive services and commodities
SO: Increased off-farm employment PO: Increased citizens' skills for private sector development	SO: Increased off-farm employment PO: Increased number of formal private sector enterprises

Part Two:
Performance Indicators

Performance Indicators Serve as Barometers of Program Performance...



... and the Quality of the Indicators You Use Matters!

CRITERIA

FOR INDICATOR DEVELOPMENT

INDICATOR DIRECTNESS

- **Indicators are direct measures of the SO or PO**
- **If direct indicators are not feasible, the proxy measures used are strong**

Criteria: Indicators are direct measures of the SO or PO

Good Example
<i>SO</i> : Increased non-traditional exports - value of non-traditional exports
<i>SO</i> : Increased use of modern contraception - modern contraceptive prevalence rate

Criteria If direct indicators are not feasible, the proxy measures used are strong

Good Example
<p>PO: Increased transfer of environmentally sustainable farming practices</p> <ul style="list-style-type: none">- number of farmers reached by extension agents
Poor Examples
<p>SO: Increased conservation of natural habitats</p> <ul style="list-style-type: none">- number of park visitors- percent of park costs met from private sources
<p>SO: Increased use of environmentally sound agricultural practices</p> <ul style="list-style-type: none">- rate of soil erosion
<p>PO: Increased girls' access to education</p> <ul style="list-style-type: none">- primary school enrollment rates: total

INDICATOR PRECISION

- **Indicators are unidimensional**
- **Indicators are framed in operational terms**

Criteria: Indicators are unidimensional

Poor Example	Good Example
<ul style="list-style-type: none">- value of investment and revenues of export firms	<ul style="list-style-type: none">- value of investment of export firms- value of revenues of export firms
<ul style="list-style-type: none">- literacy and primary school enrollment rates	<ul style="list-style-type: none">- primary school enrollment rate- literacy rate

Criteria Indicators are Framed in Operational Terms

Poor Example	Good Example
# of successful export firms	#/% of export firms experiencing an annual increase in revenues of at least 5%

INDICATOR ADEQUACY

- Taken as a group, the indicators adequately measure the SO or PO (better indicators not more indicators)

Criteria Taken as a group, the indicators adequately measure the SO or PO

Poor Example	Good Example
<p>Resource use policies and regulations passed and implemented</p> <ul style="list-style-type: none">- forestry laws passed and implemented	<p>Resource use policies and regulations passed and implemented</p> <ul style="list-style-type: none">- forestry laws passed and implemented- legislation to increase number and size of protected areas passed and implemented- coastal management regulations implemented
<p>Increased use of child survival services</p> <ul style="list-style-type: none">- DPT3 vaccination rate- measles vaccination rate	<p>Increased use of child survival services</p> <ul style="list-style-type: none">- DPT3 vaccination rate- measles vaccination rate- ORT use rate- ARI case management

Criteria: Indicators are Disaggregated Where Appropriate

Poor Example	Good Example
<p><i>PO</i> Increased tourism # tourist by sex</p> <ul style="list-style-type: none">- # of male tourists- # of female tourists	<p><i>SO</i>: Increased use of contraception</p> <p><i>PO</i>: Increased primary school enrollment</p> <ul style="list-style-type: none">- primary school enrollment: girls- primary school enrollment: boys

Poor Example	Good Example
	<p>SO: Increased agricultural production</p> <p>PO: Increased adoption of improved production technologies</p> <ul style="list-style-type: none">- #% of male-headed farm households adopting improved technology- #/% of female-headed farm households, adopting improved technologies.

PRACTICAL

- **Quality data are currently available**
- **Data can be procured on a regular and timely basis**
- **Primary data collection, when necessary, is feasible and cost effective**

DISAGGREGATING PEOPLE LEVEL INDICATORS

Depending on the nature of an objective, it may be important to disaggregate people level indicators by

Sex

USAID is expected by Congress to track the degree to which women and men benefit from foreign assistance programs

Age

Health and population programs often have reason to disaggregate beneficiaries by age group

Ethnic Group

Certain economic programs are expected to reach disadvantaged subgroups within a population

Location

In some programs it is important to know whether rural families received a fair share of a program's benefits

**GRAPHIC TOOLS
FOR
PLANNING & MANAGING
PERFORMANCE MEASUREMENT
SYSTEMS**

Graphic Tools for Planning and Managing Performance Measurement Systems

The graphics described here provide tools for planning, documenting and managing the performance measurement process. Included are tables for the performance measurement plan and data tracking at both the strategic objective and program outcome levels. These graphics are intended as models that operating units (Missions, Bureaus, etc.) can use in developing plans specifically suited to their performance measurement needs.

Two sets of tables are provided here. The first set of tables documents the performance measurement plan.

Table 1 Performance Measurement Plan for Strategic Objective 1 *(Tables for additional strategic objectives can be generated by copying this table.)*

Table 2 Measurement Plan for Critical Assumptions Linking Program Outcomes to Strategic Objective 1 *(The table provides space for up to two indicators each for up to two critical assumptions. If there are additional assumptions for this strategic objective or assumptions for other strategic objectives, additional tables can be generated by copying this table.)*

Table 3 (and 4 and 5) Performance Measurement Plan for Program Outcome 1.1 (and 1.2 and 1.3) *(If there are more than three program outcomes, additional tables can be generated by copying one of these. Similarly, additional tables can be generated for the program outcomes for other strategic objectives.)*

Table 6 Measurement Plan for Critical Assumptions Linking Program Activities to Program Outcome 1.1 *(Additional tables for critical assumptions linking program activities to the other program outcomes can be generated by copying this table.)*

Tables 1-6 serve as performance measurement specification tables, summarizing key pieces of information about indicators, data sources, data collection methods, schedules and offices responsible for performance measurement tasks. The tables also provide institutional memory and serve as management tools for monitoring the performance measurement process.

The second set of tables (Tables 7-12) documents the tracking of performance data.

Table 7 Data for Strategic Objective 1: Baseline, Expected Results, and Actual Results *(Tables for additional strategic objectives can be generated by copying this one.)*

Table 8 Data for Critical Assumptions Linking Program Outcomes to Strategic Objective 1 *(This table provides space for up to two indicators each for up to two*

critical assumptions If there are additional assumptions for this strategic objective or assumptions for other strategic objectives, additional tables can be generated by copying this table)

Table 9 (and 10 and 11 Data for Program Outcomes 1 1 (and 1 2 and 1 3) Baseline, Expected Results, and Actual Results (If there are more than three program outcomes, additional tables can be generated by copying one of these Similarly, additional tables can be generated for the program outcomes for other strategic objectives)

Table 12 Data for Critical Assumptions Linking Program Activities to Program Outcome 1 1 (Additional tables for critical assumptions linking program activities to the other program outcomes can be generated by copying this table)

Tables 7-12 repeat key specifications about the indicators and provide time-specific performance measurement information

The following definitions describe the contents of the columns in the performance measurement and the data tracking tables

Table 1, Performance Measurement Plan for Strategic Objective __ (or Program Outcome __)

Performance Indicator. A performance indicator is a quantitative or qualitative dimension or scale to measure program results against a strategic objective or a program outcome A performance indicator should be a precise, direct measure of the relevant objective, it should be practical (i e , data are available or can be generated), and disaggregated (by gender, rural/urban, etc) where possible and appropriate If the objective being measured is focused and appropriately limited, only a few (or even only one) performance indicators are needed per strategic objective or program outcome

Indicator Definition and Unit of Measurement. These two items are combined into one column, but both aspects are important State exactly what it is that's going to be measured Picture yourself as an evaluation officer who comes in a few years later and needs to know exactly how to replicate the data collection What, precisely, is the indicator, and what is the exact unit of measurement? What are the numerator and denominator for this indicator? For example, suppose the objective is to increase the practice of contraception The rough indicator might be the "number of women who practice one or more forms of contraception on a regular basis " How do we define a "woman" here (age range, only women in union or all women, only women who live in certain geographical areas or in the entire country, etc) How do we define "forms of contraception?" What do we mean by "on a regular basis?" Are we looking only at the absolute number of women, or the number as a percentage of some whole (and if the latter, what is the whole?) We could use a completely different unit of measurement, e g , instead of counting women who meet our criteria, we could count person-

months of contraceptive use. Another example: If the indicator is something like "annual percentage increase in grain production," we need to define precisely what we mean by "grain production" (which grains, where, etc.) and we need to identify the precise unit of measurement, e.g., metric tons.

Data Source. Exactly where will the mission get the data? From whom and through what mechanism (a report, a survey, etc.)? Will the data simply be extracted from an item on the monthly reports of extension agents to a project office? Will the data come from a specific question on an annual survey of households, or from a quarterly report from the Ministry of Finance? Again, be as specific as possible. For instance, if the report has a number, give it, if a specific table in a report is the data source, provide this information also. Note that a box for "special" or "linkage" studies is not included. If a data source will be a special study, then the data that study will produce should be described here.

Method/Approach of Data Collection. Think replication when filling out this column. How would a newcomer a few years from now know how to collect similar data? Are there any details that should be noted? If so, do so. This is useful not only for those collecting the data, but also for those interpreting them. While "Data Source" (the previous column) might provide the specifics of the source (e.g., Table 10.4 of the Ministry of Planning and Development's quadrennial report of its Rural Household Budget Survey), "Method/Approach" might provide details on the structure, interpretation, etc. of the data (e.g., the Rural Household Budget Survey is a national survey of a random sample of heads of households in all rural communities with less than 500 population). This column seems particularly relevant in those cases in which a special study is cited in the "Data Source" column. If you need more space for description, use a footnote and write in the Comments/Notes box at the bottom.

Data Acquisition by Mission. Acquisition here refers to the actual arrival of the data in the Mission. Depending on the data source, this can mean one of two things: Mission staff themselves are responsible for collecting data at their source, or the Mission is receiving data collected by someone outside the Mission (government counterparts, NGOs, contractors, etc.). In either case, this column indicates who at the Mission is responsible for ensuring that data are actually available at the Mission, and how often and when those data are to come into the possession of Mission staff.

Data regularly available at Mission? Stated as a question, this column lets performance measurement managers know if the data referred to in the previous column are actually available for use at and by the Mission. Whether the data are to be collected directly by Mission staff or by people outside the Mission, the critical question here is, "Are the data available?" A simple "yes" in this column indicates that the Mission has begun to acquire data and can proceed to analysis and reporting. "No" provides a reminder for performance measurement managers to continue tracking this important activity to make sure data will be available on schedule.

Analysis and Reporting. The last step before actually using performance measurement information is data analysis and reporting. The final column on this table simply indicates

who is responsible for these tasks and when the various Mission reports are due. As is the case in the two previous columns, the analysis and reporting information allows managers to monitor progress in implementing the performance measurement plan.

Comments/Notes. Use as you wish. This may be the place to document key assumptions being made in the choice of specific indicators and means of data collection, so that the next person will be able to understand.

Table 2: Measurement Plan for Critical Assumptions Linking Program Outcomes to Strategic Objective 1

A careful performance measurement plan will also provide for monitoring whether certain critical assumptions underlying the program remain valid assumptions over time. Critical assumptions address conditions that must exist or actions that must be completed by others (e.g., other donors or the host country government) if the USAID program is to succeed in achieving its objectives.

To monitor critical assumptions in a systematic way, indicators should be identified and data should be collected, just as for monitoring strategic objectives and program outcomes. Accordingly, all the items in Table 2 are the same as those in Table 1, except that the indicators here are assumptions indicators, not performance indicators.

Tables 3-5: Performance Measurement Plan for Program Outcomes 1.1, 1.2, and 1.3

These tables are identical to Table 1, except that they are for program outcomes, not a strategic objective.

Table 6: Measurement Plan for Critical Assumptions Linking Program Activities to Program Outcome 1.1

This table is identical to Table 2, except that it is for assumptions between program activities and a program outcome, not between program outcomes and a strategic objective.

Table 7: Data for Strategic Objective 1: Baseline, Expected Results and Actual Results

Performance Indicator. This repeats the information in the first column of the Performance Measurement Plan in Table 1.

Indicator Definition and Unit of Measurement. This repeats the information in the second column of the Performance Measurement Plan in Table 1.

Baseline Data. This column is rather self-evident, except for how one defines baseline data. One definition is as follows: data that reflect conditions immediately prior to the beginning of the strategic objective program (not necessarily the present). By "beginning," we mean when

a majority of the elements of the program were in place (or, if it's a brand new program, will be in place) If that was three years ago, then the baseline data should be those data closest in time to three years ago If the program is well underway and there are no baseline data, the baseline will have to be those data collected as soon as possible in the near future If this is the case, it should be clearly noted

Expected and Actual Results. This column reflects progress in achieving results over time by comparing actual results with expected results

Tables 8-12:

These tables are all essentially the same as Table 7, except that they deal with indicators for either critical assumptions (Tables 8 and 12) or program outcomes (Tables 9-11)

TABLE 1 PERFORMANCE MEASUREMENT PLAN FOR STRATEGIC OBJECTIVE 1

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		DATA AVAILABLE AT MISSION?	ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE OFFICE		SCHEDULE BY REPORT	RESPONSIBLE OFFICE
STRATEGIC OBJECTIVE 1								
1	Definition Unit							
2	Definition Unit							
3	Definition Unit							
COMMENTS/ NOTES								

11

TABLE 2 MEASUREMENT PLAN FOR CRITICAL ASSUMPTIONS LINKING PROGRAM OUTCOMES TO STRATEGIC OBJECTIVE 1

ASSUMPTION INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		DATA AVAILABLE AT MISSION?	ANALYSIS & REPORTING	
				SCHEDULE/FREQUENCY	RESPONSIBLE OFFICE		SCHEDULE BY REPORT	RESPONSIBLE OFFICE
CRITICAL ASSUMPTION								
1	Defintion Unit							
2	Defintion Unit							
CRITICAL ASSUMPTION								
1	Defintion Unit							
2	Defintion Unit							
COMMENTS/ NOTES								

TABLE 3- PERFORMANCE MEASUREMENT PLAN FOR PROGRAM OUTCOME 1.1

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		DATA AVAILABLE AT MISSION?	ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE OFFICE		SCHEDULE BY REPORT	RESPONSIBLE OFFICE
PROGRAM OUTCOME 1 1								
1	Defintion Unit							
2	Defintion Unit							
3	Defintion Unit							
COMMENTS/ NOTES								

5

TABLE 4: PERFORMANCE MEASUREMENT PLAN FOR PROGRAM OUTCOME 1 2

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		DATA AVAILABLE AT MISSION?	ANALYSIS & REPORTING	
				SCHEDULE/FREQUENCY	RESPONSIBLE OFFICE		SCHEDULE BY REPORT	RESPONSIBLE OFFICE
PROGRAM OUTCOME 1 2								
1	Defintion Unit							
2	Defintion Unit							
3	Defintion Unit							
COMMENTS/ NOTES								

TABLE 5. PERFORMANCE MEASUREMENT PLAN FOR PROGRAM OUTCOME 1.3

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		DATA AVAILABLE AT MISSION?	ANALYSE & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE OFFICE		SCHEDULE BY REPORT	RESPONSIBLE OFFICE
PROGRAM OUTCOME 1 3								
1	Defintion Unit							
2	Defintion Unit							
3	Defintion Unit							
COMMENTS/ NOTES								

TABLE 6. MEASUREMENT PLAN FOR CRITICAL ASSUMPTIONS LINKING PROGRAM ACTIVITIES TO PROGRAM OUTCOME 1.1

ASSUMPTION INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		DATA AVAILABLE AT MISSION?	ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE OFFICE		SCHEDULE BY REPORT	RESPONSIBLE OFFICE
CRITICAL ASSUMPTION								
1	Definiton Unit							
2	Definiton Unit							
CRITICAL ASSUMPTION								
1	Definiton Unit							
2	Definiton Unit							
COMMENTS/ NOTES								

TABLE 7- DATA FOR STRATEGIC OBJECTIVE 1: BASELINE, EXPECTED RESULTS, AND ACTUAL RESULTS

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	BASELINE DATA		EXPECTED AND ACTUAL RESULTS									
		YEAR	VALUE	1994		1995		1996		1997		1998	
				EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL
STRATEGIC OBJECTIVE 1													
1	Defintion												
	Unit												
2	Defintion												
	Unit												
3	Defintion												
	Unit												
Comments/Notes													

TABLE 8· DATA FOR CRITICAL ASSUMPTIONS LINKING PROGRAM OUTCOMES TO STRATEGIC OBJECTIVE 1 BASELINE, EXPECTED RESULTS, AND ACTUAL RESULTS

ASSUMPTION INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	BASELINE DATA		EXPECTED AND ACTUAL RESULTS									
		YEAR	VALUE	1994		1995		1996		1997		1998	
				EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL
CRITICAL ASSUMPTION													
1	Definition												
	Unit												
2	Definition												
	Unit												
CRITICAL ASSUMPTION													
1	Definition												
	Unit												
2	Definition												
	Unit												
Comments/Notes													

TABLE 9. DATA FOR PROGRAM OUTCOME 1 1· BASELINE, EXPECTED RESULTS, AND ACTUAL RESULTS

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	BASELINE DATA		EXPECTED AND ACTUAL RESULTS									
		YEAR	VALUE	1994		1995		1996		1997		1998	
				EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL
PROGRAM OUTCOME 1 1													
1	Definiton Unit												
2	Definiton Unit												
3	Definiton Unit												
Comments/Notes													

TABLE 10. DATA FOR PROGRAM OUTCOME 1.2. BASELINE, EXPECTED RESULTS, AND ACTUAL RESULTS

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	BASELINE DATA		EXPECTED AND ACTUAL RESULTS									
		YEAR	VALUE	1994		1995		1996		1997		1998	
				EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL
PROGRAM OUTCOME 1 2													
1	Definition												
	Unit												
2	Definition												
	Unit												
3	Definition												
	Unit												
Comments/Notes													

TABLE 11· DATA FOR PROGRAM OUTCOME 1 3: BASELINE, EXPECTED RESULTS, AND ACTUAL RESULTS

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	BASELINE DATA		EXPECTED AND ACTUAL RESULTS									
		YEAR	VALUE	1994		1995		1996		1997		1998	
				EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL
PROGRAM OUTCOME 1 3													
1	Definition												
	Unit												
2	Definition												
	Unit												
3	Definition												
	Unit												
Comments/Notes													

TABLE 12· DATA FOR CRITICAL ASSUMPTIONS LINKING PROGRAM ACTIVITIES TO PROGRAM OUTCOME 1.1: BASELINE, EXPECTED RESULTS, AND ACTUAL RESULTS

ASSUMPTION INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	BASELINE DATA		EXPECTED AND ACTUAL RESULTS									
		YEAR	VALUE	1994		1995		1996		1997		1998	
				EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL
CRITICAL ASSUMPTION													
1	Defintion												
	Unit												
2	Defintion												
	Unit												
CRITICAL ASSUMPTION													
1	Defintion												
	Unit												
2	Defintion												
	Unit												
Comments/Notes													

TABLE A PERFORMANCE MEASUREMENT PLAN FOR STRATEGIC OBJECTIVE NO.1 (an illustration)

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		DATA AVAILABLE AT MISSION?	ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE OFFICE		SCHEDULE BY REPORT	RESPONSIBLE OFFICE
STRATEGIC OBJECTIVE 1 Increased private sector non traditional exports								
1 \$ value of non traditional exports	Definition All exports except gold cocoa electricity and round logs Unit \$ in millions	Government Export Promotion Council (GEP) Trade & Investment Monitoring Unit (TIMU)	GEP) collects the data monthly from Customs Department and aggregates the data annually for TIMU	Annual/March	Trade Agriculture Private Sector Office (TAPSO)	Yes	Assessment of Program Impact (API)	TAPSO, Program Office
2 Non traditional exports as a % of total exports	Definition Value of total non traditional exports divided by the value of all exports Unit %	GEP/TIMU	GEP) collects the data monthly from Customs Department and aggregates the data annually for TIMU	Annual/March	TAPSO	Yes	API	TAPSO Program Office
COMMENTS/ NOTES								

TABLE B: PERFORMANCE MEASUREMENT PLAN FOR PROGRAM OUTCOME 1.1 (an illustration)

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		DATA AVAILABLE AT MISSION?	ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE OFFICE		SCHEDULE BY REPORT	RESPONSIBLE OFFICE
PROGRAM OUTCOME 1.1 Improved infrastructure needed for export expansion								
1 Kilometers of feeder roads rehabilitated	Definition Feeder roads rehabilitated in selected export producing areas Unit Cumulative number of kilometers	Monthly Progress Report from Department of Feeder Roads Road Maintenance Management System		Annual/June	Trade, Agriculture, Private Sector Office (TAPSO)	Yes	Assessment of Program Impact (API) Semi annual Review (SAR)	TAPSO Program Office
2 Kilometers of feeder roads maintained	Definition Cumulative kilometers of feeder roads that are maintained Unit Numbers of kilometers	Monthly Progress Report from Department of Feeder Roads, Road Maintenance Management System		Annual/June	TAPSO	Yes	API, SAR	TAPSO, Program Office

<p>3 Domestic resource costs (DRC) at wholesale level for yams peppers pineapple cassava and plantain</p>	<p>Definition Cost of inputs to produce X product locally divided by average cost of inputs to produce X product on the international market</p> <p>Unit Index</p>	<p>Special study</p>	<p>Coefficients will be determined by averaging the DRC estimates at the wholesale level, on specific road corridors in four regions</p>	<p>Annual/July</p>	<p>Program Office</p>	<p>Yes</p>	<p>API</p>	<p>Program Office</p>
<p>COMMENTS/ NOTES The number of contractors trained was dropped as an indicator because it was determined to be an input to road maintenance and rehabilitation Also, Indicator 3 is a measurement of the effect of the achievement of Program Outcome No 1 1</p>								

TABLE C. DATA FOR STRATEGIC OBJECTIVE 1: BASELINE, EXPECTED RESULTS, AND ACTUAL RESULTS (an illustration)

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	BASELINE DATA		EXPECTED AND ACTUAL RESULTS									
		YEAR	VALUE	1991	1992	1993		1994		1995		1996	
				ACTUAL	ACTUAL	EXP'D	ACTUAL	EXP'D	ACTUAL	EXP'D	ACTUAL	EXP'D	ACTUAL
STRATEGIC OBJECTIVE 1 Increased private sector non traditional exports													
1 \$ value of non traditional exports	Definition All exports except gold, cocoa, electricity and round logs Unit \$ in millions	1990	62.3	62.6	68.4	75	NA	95		130		180	
2 Non traditional exports as % of total exports	Definition Value of total non traditional exports divided by the value of all exports Unit %	1990	6.9	6.3	6.9	7.4	NA	8.0		10.1		12.9	
Comments/Notes													

158

TABLE D. DATA FOR PROGRAM OUTCOME 1.1. BASELINE, EXPECTED RESULTS, AND ACTUAL RESULTS (an illustration)

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	BASELINE DATA		EXPECTED AND ACTUAL RESULTS									
		YEAR	VALUE	1991	1992	1993		1994		1995		1996	
				ACTUAL	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL			EXP'ED	ACTUAL
PROGRAM OUTCOME 1 1 Improved infrastructure needed for export expansion													
1 Kilometers of feeder roads rehabilitated	Definiton Feeder roads rehabilitated in selected export producing areas Unit Cumulative number of kilometers	1989	301	876	1034	1514	NA	1999		2484			
2 Kilometers of feeder roads maintained	Definiton Cumulative kilometers of feeder roads that are maintained Unit Numbers of kilometers	1989	1070	1400	2000	4900	NA	6100		7300		8500	
3 Domestic resource costs at wholesale level for yams peppers pineapple cassava plantain	Definiton Cost of inputs to produce X product locally divided by average cost of inputs to produce X product on the international market Unit Index	1992	59 76 90 1 78 85	NA NA NA NA NA	59 76 90 1 78 85	56 75 84 1 70 84	58 76 68 1 48 80	50 72 69 1 46 80		50 72 69 1 46 80		50 72 69 1 46 80	
Comments/Notes													

CRITERIA FOR THE SELECTION OF PERFORMANCE INDICATORS¹

In selecting indicators, strategic objective working groups should ask themselves what specific results they are trying to achieve under the strategic objective. In theory, the strategic objective is a precise result, but sometimes Missions have chosen as objectives somewhat broad statements, and they need to be more specific about what they are trying to achieve in order to measure progress. For example, one fairly common and very broad program outcome is "improved management of a host country institution." It is very difficult to measure improved management without detailing the kinds of improvements expected. Seldom is a Mission tackling all aspects of an institution's management. A Mission usually focuses on a few aspects that it thinks make the greatest difference to improved performance. In order to develop indicators, then, those aspects must be specified.

It is often difficult to find a single indicator that can by itself measure progress toward an objective. Consequently, Missions tend to choose several indicators to measure different aspects of progress that together give a more complete picture. However, the more indicators a Mission chooses to measure, the more time that must be devoted to measurement and analysis. This can complicate the system to such an extent that it does not get implemented at all. It is an important judgment call for Missions as to the amount of information required to manage well and to determine progress. The Bureau cautions against a proliferation of indicators and will be sympathetic to less than perfect measures, as long as Missions explain their measurement

¹This material was developed by Lynn Carter, Management Systems International

problems

a The indicators should measure progress toward strategic objectives, program outcomes and sub-outcomes as directly as possible. The indicators should not be at a lower level than the objective (i.e., numbers trained as a measure of "improved management") or at a higher level (i.e., income or employment as measures of increased non-traditional exports). Looking at the second example, the most straightforward measure is the value and/or volume of exports. Changes in income or employment are actually higher-order results that might come about from a substantial increase in exports. These higher order results can be reflected on the objective tree at the sub-goal level, if an increase in exports is a strategic objective, but it confuses logic to use them as indicators for the s.o. There may be times when Missions need to use proxies that are above or below the level of the objective, but these should be clearly labelled as such and the rationale explained. Indicators selected for strategic objectives should to the extent possible express people-level impact or some sense of the effect on people's lives, but not if the objective is not phrased in terms of impact on people

b Those indicators selected should be grounded in both accepted practice and in theory, and should have significance for a wide audience. In other words, both a proponent and a skeptic of the program should agree that the indicator is a valid measure of whether the objective has been met

c The indicators should enable cost-effective measurement. They should strike a balance between what can be measured and what should be measured. There is no point in selecting indicators that are theoretically elegant but too costly to measure. Indicators must be selected in conjunction with a review of data sources since data quality is critical. There should be consistency from year to year in the source and data collection methodology. In cases where the data are bad or too expensive to collect, proxy indicators will have to be selected. When possible, select indicators that will permit reliance on existing secondary sources of data, as long as those sources are considered to be relatively reliable

d The indicators permit verification of measurement accuracy, reliability and thoroughness. In other words, others could replicate the process in order to check on measurement quality

e The Agency requires annual reporting on program performance. Strategic Objective indicators might rely on data resulting from annual national reporting but alternatively might rely on periodic surveys (i.e., contraceptive prevalence surveys, Demographic and Health Surveys) which are undertaken only at

longer intervals. In addition, at the Strategic Objective level, it may take more than one year to produce results that will show up in changing numbers. When choosing indicators for Strategic Objectives that will not produce data annually, some attempt should be made to pair those indicators with proxy indicators that will permit more frequent measurement. Most program outcome level indicators should be measurable annually. In some cases, change will not occur that quickly or it is not practical to do annual measurement. It would be useful then to pair the indicator that cannot be measured annually with a proxy indicator that will permit annual measurement. This pairing then gives planners some information on whether progress is being made in achieving a particular outcome.

f Indicators do not always have to be quantitative. They can be qualitative. It is possible to use as indicators a critical events agenda or policy reform matrix (events that have to happen for an objective to be met along with dates for when they must take place) or rating scales that show organization strength. Political liberalization or democratization are areas where AID is making heavy use of rating scales because it is difficult to come up with quantitative indicators that measure progress.

g Quantitative measures should be expressed not just in terms of a numerator (i.e., an absolute number) but should include the denominator whenever possible, because it is the denominator that indicates the size of the problem being tackled. It is usually better, therefore, to specify measurement in terms of (for example) ratios or percentages rather than absolute numbers. For example, reporting on jobs created or numbers settled in improved housing does not give a reader or planner much sense of what the extent of the accomplishment was because it does not say anything about the dimensions of the problem. In setting targets, Missions need to think about the fact that the denominator as well as the numerator may change over time.

h When selecting more than one indicator to measure progress toward an objective, it is important to think about the relationship between those indicators. For example, if the numbers start to move in the anticipated direction for one indicator and in the opposite direction to what was anticipated for the second indicator, what does that tell planners about progress? Too many indicators selected to measure progress toward the same objective might confuse more than enlighten. The relationship between the indicators should be explained - do they all have to be achieved for the objective to be met? Is one the real indicator, which cannot be reported upon annually, and the others proxies, which are less adequate measures but are capable of being reported upon annually? It is also important to keep the performance information system simple and to try to get by with as few key indicators as possible.

1 When appropriate to the strategy in place, it may be important to disaggregate data by gender or according to other population characteristics that appear to be important (i.e., rural-urban). Gender disaggregation can help Missions and the Bureau assess the ways in which both sexes participate and benefit

2. Setting Baseline Data and Targets

Once the indicators are final, planners need to select the year for which baseline data will be recorded. It is useful if baseline data for the year that the strategy begins can be recorded but this will not always be possible. In the instance that it is not possible, the baseline year should be the most recent past year for which the relevant information exists. If the baseline year falls too many years before the start of the strategy, there will be difficulties in gauging what portion of the progress might be related to current USAID efforts.

Once baseline data are acquired, targets need to be set in terms of what progress the planners expect to achieve over the period of the strategy. It can be tricky to set targets because, to do this, planners need a feel for historical patterns (how the numbers have moved over time), and such data may not exist in adequate quantity or quality in some countries. Access to data, even when it does exist, can also be problematic. Even when time series data do exist, there have been instances of Missions setting targets well below the trend and, while there may be reasons for doing so, it might also be suggestive of an overly casual approach to target setting. If time series data of reasonable quality are available, Missions should use them for future projections.

There is a tendency in Missions to straightline targets (i.e., if the indicator is expected to increase by 10%, the Mission shows annual increases of 2%). This may or may not be appropriate. Missions should think through when their interventions will start to have an impact and whether that impact will be heavier in some areas than in others. For example, if Mission resources help introduce and expand availability of the IUDs, as part of a family planning program, then there might be very heavy impact the first few years, while unmet demand for a longer term method is met, and then the impact might drop and level off. The project to program linkage analysis table in Annex A can help Missions in setting targets.

EXAMPLES ILLUSTRATING THE CRITERIA IN USE FOR ASSESSING THE QUALITY OF INDICATORS

Sometimes indicator choices will represent compromises, and that in some sectors where data are of poor quality and/or scanty, it will not be possible to meet all the criteria laid out below. Some of the indicators presented as "weak examples" below may be the highest quality indicator that a Mission can use, given its data circumstances

A Criterion: the indicator measures progress as directly as possible It is not pegged higher or lower than the objective itself

Good examples: **Contraceptive Prevalence Rate** is a direct measure of a strategic objective of "Increased Use of Contraceptive Methods."

Proportion of SMEs obtaining loans and volume of credit are direct measures of a program outcome of "Increased access by SMEs to business financing "

Value and volume of non-traditional exports is a direct measure of "Increased non-traditional exports "

Total Fertility Rate is a direct measure of a strategic objective of "Reduced fertility "

Weak examples: **Numbers trained** is not a direct measure of strategic objectives or program outcomes that relate to improve service delivery quality or improved public sector management

Numbers employed is not a direct measure of increased exports but is a higher order result

In the first weak example, the indicator (numbers trained) measures outputs and not the higher level objective which relates to quality or improved management. A Mission with such an objective needs to test the link between numbers trained and the actual changes it is seeking

The second weak example represents a problem that is not uncommon - Missions do sometimes match higher-level indicators to

lower-level objectives. Missions sometimes do this to show people-level impact, even though the objective is not a people-level objective. Sometimes data are not available and cannot readily be collected for an indicator that is a direct measure of the objective but the Mission can get data for a higher-level indicator. While the second reason is perhaps more legitimate than the first, both confound the logic of the performance measurement plan. Let's take the indicator of numbers employed to measure progress toward an objective of increased exports.

Hierarchy of Objectives	Indicators to Measure Progress
Broad-Based Economic Growth	1) Real GDP growth rate, 2) real per capita income growth rate; 3) percent population living below the absolute poverty level
Increased Private Sector Employment	What do we measure here if we measured employment below????
Increased Private Sector Exports	Numbers employed
1) Policy Reform, 2) Increased Private Investment, 3) Improved Exporter Marketing Capabilities	1) Policy Reform scorecard, 2) private investment as percentage of total investment, 3) Number of US-local firm partnership arrangements

B Criterion: The indicator is grounded in theory and accepted practice - both a proponent and a skeptic of the program will agree that the indicator is a valid measure of success

Good Examples.

Private exports as a percentage of total exports and private investment as a percentage of total investment are both non-controversial measures of a strategic objective of "Increased private investment and trade "

Infant and under-five mortality are both accepted indicators for measuring objectives tied to "improved health of children under five "

Weak Examples:

AID-funded Food for Work roads constructed is an indicator that very few would accept as measuring progress toward a strategic objective of "Increased voice and choice in local and national government "

C. Criterion: The indicator shows the dimensions of the problem by including both a numerator and a denominator

Good examples:

Percent of SMEs accessing credit

Percent of age-eligible children enrolled in primary school

Percent of households with reliable access to potable water

Immunization Rate

Percent of pharmacies selling contraceptives

Weak examples:

Number of SMEs accessing credit

Numbers of children enrolled in primary school

Number of households with reliable access to potable water

Number of children immunized

Number of pharmacies selling contraceptives

The good examples are to be preferred because they tell us about the size of the problem and AID's contribution to solving that problem. Sometimes, however, it is more appropriate to present a straight number than a percentage or ratio. For example, in the last good example, it is preferable to measure the percentage of all pharmacies selling contraceptives. If, however, the Mission's strategy calls for establishing new retail outlets selling contraceptives, then a straight count is called for. There will also be instances when the base is so small that giving a percentage would be misleading and it is more honest to report a straight number. For example, if a small Mission is working in family planning in only one province and it wants to report on improvements in service delivery quality in that

province, it would be somewhat misleading to report that 90 % of the facilities provided quality services when there were only five facilities in the whole province, even though this might be literally true.

D. Criterion: program outcome indicators can be reported upon annually

Ideally, PRISM would like annual reporting at the strategic objective level, but it is generally recognized that many s.o. indicators do not lend themselves to this. Some, however, do. Annual reporting at the program outcome level is very important, particularly when the strategic objective indicators are not susceptible to annual reporting. Both the Mission and AID/W require timely data for planning and management.

Good examples:

Couple Years of Protection for a program outcome of "increased access to FP services " CYP can generally be compiled annually from Ministry of Health service delivery statistics and also sometimes from pharmacy wholesaler records

Number of registration letters issued to first time business owners is an indicator for a p.o of "increased SME business formation " Data for this indicator can be obtained easily from the relevant government agency on an annual basis

Percent of diarrheal disease cases provided with ORS is one indicator measuring progress toward a p o of "Increased use of effective MCH/FP services " It cannot be reported upon annually because it relies on a once-every-four-years Demographic and Health Survey, so the Mission choosing this indicator has chosen to supplement it with a proxy indicator of **Number of new diarrhea cases provided with ORS rehydration therapy at a Ministry of Health facility**, for which data can be collected annually via Ministry statistics

This last example represents a good compromise Missions should not toss out a good indicator because data cannot be collected annually but rather should try to supplement that

indicator with a reasonable proxy indicator that measures some aspect of progress

E. Criterion: the indicator permits cost-effective measurement

It may not be practical or possible to collect the data for some theoretically elegant indicators. For example, some Missions have chosen to use proxy indicators in place of maternal mortality rate to measure progress toward improved maternal health, because a population census is really required to capture MMR and the interval between censuses is too long to fit neatly with most Mission strategy periods. Not even the Demographic and Health Survey has a large enough sample to accurately calculate MMR, except perhaps in countries with very high maternal mortality. Most Missions are very conscious of the staff time and monetary cost issues involved in primary data collection and analysis and so choose proxy indicators when ever the costs appear to be unreasonably high. Missions may in fact sometimes be too ready to choose proxy indicators. Sometimes the expense is justified by the quality of data produced for planning and management. Demographic and Health Surveys currently cost around \$500,000, but the cost is justified by the quantity and quality of information produced.

F Criterion a consistent source and data collection methodology are used to produce data for the indicator over time

It would be unwise to rely on different data sources or different data collection methodologies since these may produce different results. Then a Mission would end up with numbers over time that are not comparable and show no consistent trend. One example here is data collection for Mission X's indicator of percentage of target population completely vaccinated, measuring a program outcome of increased use of more effective MCH services. The Demographic and Health Survey will produce the highest quality data for this indicator. However, only two surveys will be done during the strategy period and, since the indicator shows progress toward a program outcome, there is a need for annual data. The concerned Mission chose to supplement the DHS data with annual Ministry of Health calculations, feeling that these calculations were of reasonable quality. In order not to jumble the two sources, which could produce different calculations, the Missions will report both percentages throughout time, for those years when both are available, and will analyze any discrepancies. This is a good compromise.

G. Criterion: the indicator is disaggregated by gender (or other significant characteristics) when appropriate

The Agency is very concerned to learn about the impact that AID interventions have on females. Performance indicators should measure the impact of AID strategies and the results that USAID Missions hope to achieve. Therefore, gender disaggregation is most appropriate when the USAID Mission has conducted a gender analysis and determined that differential strategies and different targets are appropriate. For example, if a Mission trying to strengthen micro and small enterprises recognizes that female owners form a not insignificant share of total owners of these enterprises, then it may need slightly different tactics to incorporate female owners into its activities. The Mission should then set targets and measure how successful that incorporation has been. Increasing primary school enrollments is another objective where the strategy to enroll girls may be different from the strategy to enroll boys, and a Mission would want to measure the success of both strategies.

There are other examples where gender analysis is critical to crafting good strategies but where the results might not be directly reflected in gender disaggregated data. For example, factoring into strategies female reluctance to be seen by male health workers and women's desire for separate female-only spaces in clinics may help increase the contraceptive prevalence rate, but it would be inappropriate to disaggregate the rate by gender because the percentages would be meaningless. Gender analysis might also be critical to developing a strategy for increasing the supply of potable water in rural areas, but one would measure in the end population with access to potable water. Disaggregating this indicator by gender would not tell us anything useful.

There are also areas in which gender is largely or totally irrelevant. Improvements in the telecommunications system do not seem to require any consideration of gender since women's relationship to telephones is much the same as men's.

If Missions have developed separate strategies to address other significant divisions, such as rural-urban, they may want to show the progress of those different strategies by disaggregating data according to those divisions.

ANNEX A PROJECT TO PROGRAM LINKAGE ANALYSIS² - Strategic Objective No. __

PROGRAM OUTCOME RESULTS	STRATEGIC OBJECTIVE					
	Strategic Objective Result No. __					
	1992	1993	1994	1995	1996	1997
Program Outcome No 1 Results 1 2 3						
Program Outcome No 2 Results 1 2 3						
Program Outcome No 3 Results 1 2 3						

² The purpose of this table is to help you rationalize the linkage between Program Outcomes and Strategic Objectives. It requires you to map specific Program Outcome results to the Strategic Objective. It assumes that different results materialize at different time periods. Where appropriate the result should be quantified.

Linkage Analysis³ - Strategic Objective No __

PROJECT OUTCOMES/ RESULTS	PROGRAM OUTCOME No __					
	Program Outcome Result No __					
	1992	1993	1994	1995	1996	1997
Project No _____ Project Name _____ Results/Outcomes 1 2 3						
Project No _____ Project Name _____ Results/Outcomes 1 2 3						
Project No _____ Project Name _____ Results/Outcomes 1 2 3						

³ The purpose of this table is to help you rationalize the linkage between Projects and Program Outcomes. Different projects produce different results and at different times to produce the results articulated in the Program Outcomes. Where appropriate the project results should be quantified.

Attached is an example of a program performance monitoring plan for one strategic objective, along with baseline data and targets. Some of the baseline data had not yet been collected at the time the plan was put together, and some baseline data were not going to be available for a few months. Targets, of course, cannot be set until the baseline data are known. This draft plan was developed with one Mission but has since undergone revision. It gives a good idea of what kind of information should be provided.

Readers should note that proxy indicators have been included for a few principal indicators for both program outcomes, because data cannot be collected for the principal indicators annually. The need to include proxy indicators has, of course, added to the number of indicators required to assess progress.

TABLE 1 PERFORMANCE MONITORING PLAN FOR SO1

Strategic Objective 1 Improved health of children under five and women of child bearing age

PERFORMANCE INDICATOR	PRECISE DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE/SET DATA QUALITY	EVAL METHOD/ APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/ OFFICE
1 Total Fertility Rate	The average number of children that would be born alive to a woman during her lifetime if she were to pass through all her childbearing years conforming to the age specific fertility rates of a given year	Demographic and Health Surveys 1992 and 1997 1992 data were of high quality, but the DHS does have a substantial margin of error However no better and more timely source exists	This is a proxy indicator for maternal health since it is difficult to determine maternal mortality in any survey conducted less comprehensively and more frequently than a population census	baseline in 1992 end of strategy period in 1997 (data represent annual averages for the previous five years)	Cost \$500 000 in 1992 cost will be higher in 1997 This covers the cost of data collection and analysis for several indicators Source buy in	Population and Human Resources Ms X
2 Infant Mortality Rate	Annual number of deaths of infants under the age of one per thousand live births	DHS (as above)	standard indicator along with child mortality rate for measuring improvements in the health of children under five	as above	Cost as above Source	Population and Human Resources Mr Y
3 Child Mortality Rate	Annual number of deaths of children aged one through four years per total population of the same age	DHS (as above)	as above	as above	Cost as above Source	as above

Table 1 a PERFORMANCE MONITORING PLAN FOR PROGRAM OUTCOME 1 1

Strategic Objective 1 Improved Health of Children Under Five and Women of Child Bearing Age
 Program Outcome 1 1 Increased Use of Effective MCH/FP Services

PROGRAM INDICATOR	PRECISE DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE/SET DATA QUALITY	EVAL METHOD/ APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/ OFFICE
1 Contraceptive Prevalence Rate (long term/short term)	Percent of married women of child bearing age (15 49) currently using contraceptives, disaggregated by long term/short term methods	DHS data quality good in Morocco, processed data available	Standard measure for increased use of family planning services	1992 1997 available the same year	Cost 1992 \$500,000 cost will be higher in 1997 Source buy in	Population and Human Resources Ms X
Proxy 1 1 Couple Years of Protection Provided by the Public Sector	Measured using MOPH service statistics, converting long term/short term products distributed to CYP sterilization= 10 CYP 1 Norplant=3 5 CYP 1 IUD=3 5 CYP 15 cycles of pills=1 CYP 150 condoms=1 CYP	MOPH service statistics MIS of Sante Maternale Infantile/Plan tification Familial Data quality reasonably good (USAID has invested in improving this MIS over the past several years) calculation of CYP will need to be made	This is a proxy indicator for CPR since CPR data will only be available in 1992 and 1997 If CYP is increasing more women should be practicing family planning and/or they are selecting longer term methods This captures public sector data only This indicator needs to be analyzed in conjunction with the indicator recording private sector distribution of short term methods below	Annual, by calendar year	Cost 2 days of staff time to collect data and make calculations	as above

PROGRAM INDICATOR	PRECISE DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE/SET DATA QUALITY	EVAL METHOD/ APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/ OFFICE
Proxy 1 2 Couple Years of Protection Provided by the Private Sector	Measured as in 1 1 for pills and condoms only sold by wholesalers to retailers using sales statistics (International Marketing Services Data available through SOMARC)	IMS through SOMARC because data count wholesaler sales, losses at the retailer level cannot be calculated Data are accurate for wholesaler sales to retailers processed data available	This is a proxy indicator for CPR since CPR data will only be available in 1992 and 1997 This captures private sector data for short term methods if CYP goes up more rapidly in the private sector rather than the public sector, this might be a sign that the private sector is beginning to assume a larger share of the service delivery burden	annual by calendar year	SOMARC purchases and provides at no cost	Population and Human Resources Ms X
2 Contraceptive Use Effectiveness Rate	One minus the probability that a woman would get pregnant while using contraceptives	DHS data of good quality Processed data available	Standard measure of whether methods are being used properly If use effectiveness improves then more effective methods are being selected and/or women are using methods appropriately	1992 and 1997	see CPR	as above
3 Percentage of Pregnant Women Receiving Qualified Pre Natal Care	Percentage of pregnant women seeing an MD nurse or midwife at least once for pre natal care and receiving one tetanus toxoid injection	DHS data of good quality processed data available	An indicator that measures increased use of effective MCH services	1992 and 1997	see CPR	Population and Human Resources Mr Y
4 Percent of Diarrheal Disease Cases Provided with ORS	Percent of all children under five who had diarrhea in the previous two weeks and who were treated with ORS sachet or home solution	DHS data of good quality	Ibid	1992 and 1997	see CPR	as above

PROGRAM INDICATOR	PRECISE DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE/SET DATA QUALITY	EVAL METHOD/ APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/ OFFICE
Proxy 4 1 Number of New Diarrhea Cases Provided with Rehydration Therapy at MOPH Facility	MOPH service statistics defining number of new diarrheal disease cases provided with ORS	MOPH service statistics MIS of Sante Maternale Infantile/Plan ification Familial	This is a proxy indicator for the above indicator, so that data can be collected annually	Annual, by calendar year	Cost half day of staff time p a to collect and analyze data	as above

Table 1 b PERFORMANCE MONITORING PLAN FOR PROGRAM OUTCOME 1 2

Strategic Objective 1 Improved Health of Children Under Five and Women of Child Bearing Age
 Program Outcome 1 2 Increased Sustainability of MCH/FP Services

PROGRAM INDICATOR	PRECISE DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE/SET DATA QUALITY	EVAL METHOD/ APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/ OFFICE
1 Number of MCH/FP visits pr donor dollar	Number of MCH/FP visits to MOPH facilities for pregnancy and delivery FP, diarrheal disease nutrition surveillance and immunization services divided by the number of major donor dollars (USAID UNFPA UNICEF, EEC) Donor dollars per annum will be calculated by averaging taking the grant divided by the number of years of each grant	Major donor records of grants, MOPH service statistics data of reasonably good quality	The Ministry does not organize its budget by program so it is not possible to track the MCH/FP budget or portions thereof to determine if the MOPH is replacing donor funds being shifted from recurrent costs to other interventions It is possible to count the number of MCH/FP visits, which should increase and to divide this by the number of visits per donor dollar to express the efficiency in use of donor funding This assumes that donor funding remains relatively stable	Annual but donor funding will be calculated according to annual averages	Cost No \$ cost but 2 days p a of staff time to collect information from donors and MOPH and make calculation	Population and Human Resources Ms X
2 Percentage of FP users getting contraceptives in the private sector	FP users getting contraceptives in the private market as a percentage of total FP users	DHS data of good quality	One way to increase sustainability is to have the private sector pick up a larger share of service provision	1992 and 1997	Cost 1992 \$500 000 more in 1997 Source buy in	Population and Human Resources Ms X

PROGRAM INDICATOR	PRECISE DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE/SET DATA QUALITY	EVAL METHOD/ APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/ OFFICE
Proxy 2 1 Private Sector share of the condom and oral contraceptives market	Ratio of commercially distributed pills and condoms to MOPH provided pills and condoms translated into CYP	IMS data through SOMARC MOPH service statistics	This is a proxy for the indicator above because data can be collected annually The DHS can be expected to provide a more accurate picture of the private sector share	annual by calendar year	SOMARC purchases and provides at no cost	Population and Human Resources Ms X
3 Percentage of target population completely vaccinated by MOPH	Percentage of target population completely vaccinated with 3 DPT 1 measles 1 Polio 1 BCG	MOPH service statistics of reasonably good quality DHS for two years The two sources good differ so MOPH data will be collected each year and DHS data will be used to confirm Ministry data Discrepancies will be analyzed	Donor support is being withdrawn from immunization and the MOPH is being assisted to develop a vaccine capitalization fund in order to buy vaccines from their own resources if current high levels of vaccination are maintained this is a sign that the Ministry has sustained its vaccination program	Ministry service statistics are annual reported on a calendar year basis, DHS done in 1992 and 1997	Cost DHS \$500,000 in 1992, more in 1997	Population and Human Resources Mr Y
Comments/Notes						

TABLE 2

Baseline and Performance Targets

STRATEGIC OBJECTIVE PROGRAM OUTCOMES/SPECIFIC RESULTS	PRECISE DEFINITION OF INDICATOR & UNIT OF MEASUREMENT	BASELINE YEAR & VALUE	PERFORMANCE TARGETS					CRITICAL ASSUMPTIONS
			1993	1994	1995	1996	1997	
Strategic Objective No 1 Improved Health of Children Under Five and Women of Child Bearing Age Indicators								
1 Total Fertility Rate	1 The average number of children that would be born alive to a woman during her lifetime if she were to pass through all her childbearing years conforming to the age specific fertility rates of a given year	1992 = 42					37	Socio political environment remains favorable toward family planning There are no major epidemics or natural disasters Economic conditions continue to improve
2 Infant Mortality Rate	2 Annual number of deaths of infants under the age of one per thousand live births	1992 = 57					50	
3 Child Mortality Rate	3 Annual number of deaths of children aged one through four years per total population of the same age	1992 = 20					17	

STRATEGIC OBJECTIVE PROGRAM OUTCOMES/SPECIFIC RESULTS	PRECISE DEFINITION OF INDICATOR & UNIT OF MEASUREMENT	BASELINE YEAR & VALUE	PERFORMANCE TARGETS					CRITICAL ASSUMPTIONS
			1993	1994	1995	1996	1997	
Program Outcome No 1 1 Increased Use of Effective MCH/FP Services								No major reorganizations of the MOPH disrupting services
1 Contraceptive Prevalence Rate	1 Percent of married women of child bearing age (15 49) currently using contraceptives disaggregated by long term/short term methods	1992 = 42 LT = 6 ST = 30					49 LT = 11 ST = 31	
1 1 Couple Years of Protection Public Sector	1 1 Measured using MOPH service statistics converting long term/short term products distributed to CYP sterilization = 10 CYP 1 Norplant = 3 5 CYP 1 IUD = 3 5 CYP 15 cycles of pills = 1 CYP 150 condoms = 1 CYP	1991 = LT = 207 396 ST = 733 357	LT = 222 622 ST = 736 792	LT = 265 576 ST = 738 510	LT = 287 054 ST = 740 228	LT = 308 531 ST = 741 945	LT = 330 008 ST = 743 663	
1 2 Couple Years of Protection Private Sector	1 2 Measured as in 1 1 for pills and condoms only sold by wholesalers to retailers using sales statistics	1991 = 263 000	289 901	303 352	316 803	330 253	343 704	
2 Contraceptive Use Effectiveness Rate	2 One minus the probability that a woman would get pregnant while using contraceptives	available 1993	TBD					
3 Percentage of pregnant women receiving qualified pre natal care	3 Percentage of women seeing an MD nurse or midwife at least once for pre natal care and receiving one tetanus toxoid injection	1992 = 32					54	
4 Percent of diarrheal disease cases provided with ORS	4 Percent of children under five who had diarrhea in the previous two weeks and who were treated with ORS sachet or home solution	1992 = 15					TBD	
4 1 Number of new diarrhea cases provided with rehydration therapy at MOPH facility	4 1 MOPH service statistics defining number of new diarrheal disease cases provided with	To be obtained	TBD					

STRATEGIC OBJECTIVE PROGRAM OUTCOMES/SPECIFIC RESULTS	PRECISE DEFINITION OF INDICATOR & UNIT OF MEASUREMENT	BASELINE YEAR & VALUE	PERFORMANCE TARGETS					CRITICAL ASSUMPTIONS		
			1993	1994	1995	1996	1997			
Program Outcome No 1 2 Increased Sustainability of MCH/FP Services Indicators 1 Number of MCH/FP visits per donor dollar 2 Percentage of FP users getting contraceptives in the private sector 2 1 Ratio of commercially distributed pills and condoms to MOPH provided pills and condoms translated to CYP 3 Percentage of target population completely vaccinated by MOPH	1 Number of MCH/FP visits to MOPH facilities for pregnancy and delivery FP diarrheal disease, nutrition surveillance and immunization services divided by the number of major donor dollars (USAID UNFPA UNICEF EEC) Donor dollars per annum will be calculated by averaging taking the grant divided by the number of years of each grant 2 FP users getting contraceptives in the private market as a percentage of total FP users 2 1 Ratio of commercially distributed pills and condoms to MOPH provided pills and condoms translated into CYP 3 Percentage of target population completely vaccinated with 3 DPT 1 measles 1 Polio 1 BCG	To be obtained 1992 = 37 1991 = 26 1992 = 76						Government will continue to support private sector provision of services Government continues to buy vaccines		
			28	29	30	31	32	47	76	76

NB DHS baseline data for 1992 represent an annual average for the period 1987 to 1992

Part Three:
Facilitation Skills

IMPROVING TEAM PERFORMANCE

A structured effort to improve team performance can reduce the predictable problems which diminish team results. In this process the team leader makes a concentrated effort to define, plan, and mobilize resources, including two dimensions: task functions, or what is to be done, and team building, or how it is to be done, which means melding the individual members into an effective organization. While the techniques are most effective if applied in a specific team planning meeting prior to the beginning of work on the assigned task, they can also be used as the work progresses. In either case the following functions should be addressed as early as possible in any team-improvement effort:

- 1 Setting the climate and sharing goals
- 2 Clarifying goals
- 3 Assessing the group's capabilities
- 4 Establishing teamwork procedures
- 5 Identifying potential problems and obstacles

As a part of the effort, team members are encouraged to address sensitive issues that, if not raised, may lead to counterproductive behavior. For instance, the issues of organizational representation and individual motivations are sometimes critical issues. This process helps to establish a team norm of collaboration and expectations for mutual support during and after the work day.

Clearly, if a team jointly tackles these issues up front, they will be better prepared to face the unexpected and will deliver better results.

As soon as possible in the life of the team, the leader should make an intensive effort to

- Become acquainted, share backgrounds, experiences, motivations, perceptions, and expectations
- Review the history of the assignment to understand how it fits into broader program and project activities
- Identify all "sponsors" and "clients" involved in the assignment, understand their relationships and legitimate interests and determine how the team fits into this picture
- Review team assignment and objectives so there is agreement and understanding by all team members
- Clarify and reach agreement on strategies, outputs, and modes of team operation
- Delegate specific tasks, and areas of responsibility Set schedule for completion of individual assignments
- Create guidelines and standards for ongoing evaluations of the effort, and steps for redirection if necessary
- Share personal preferences and expectations for the use of "private" time as well as work time
- Reach agreement on team norms so behavioral expectations are clear and comfortable to all
- Plan and coordinate administrative support

MAINTAINING TEAM EFFECTIVENESS

Keeping a team productive is a major effort. Most of your group work usually occurs in a meeting setting. The following suggestions for developing participative teams may be helpful.

- 1 Responsibility Members should identify with the team and its goals. Collectively and individually, they should accept responsibility for the team's successes and failures. (Everyone has a piece of the action!)
- 2 Communication Encourage open communication, spontaneous discussion, free exchange of information in an informal atmosphere. Make a point of talking directly with each team member every day, and get to know each one personally. Model the behavior yourself. Share all relevant -- even peripherally relevant -- information with the team.
- 3 Use methods that will allow as many members as possible to participate Let the team discuss frequently in small sub-groups. Bring out minority and individual opinions by asking frequent questions of group members.
- 4 Be flexible Be flexible in rules, agenda, and all processes within the group. Establish an agenda for your meeting, and modify it when the group requests modification. Procedural rules should change progressively as the needs and interests of the team change.
- 5 Encourage inclusion of all individual members Have members of the team become acquainted with one another as persons, separate from the members of cliques or friendship circles. Discuss the problem of status. Use sub-groupings to get members accustomed to talking in the team.
- 6 Continually evaluate the group's progress It is important to be aware of how the team is working. Observe team members and team process closely. Ask for feedback, either individually or as a group.

- 7 Be a cheerleader Praise the team lavishly for its successes Take every opportunity to promote and reinforce your vision of the group as a successful, high performance team If you must criticize, do it privately and balance it with lots of encouragement

HOW A TEAM LEADER CAN FACILITATE CONSENSUS

- 1 *Separate individual from the issue* Be alert to personality conflicts among team members, and between team members and licensee Seek to defuse adversarial relationships Deal with these problems as separate issues
- 2 *Focus on interests, not positions* Instead of arguing over whether or not a procedure is "safe" or "unsafe," try to reach agreement on what message you want to send (to the licensee, to NRC, to the public) and what outcome you want
- 3 *Arrive at a clear statement of the issue and each person's interest* Paraphrase the other person's view, and then get feedback, "Am I stating your point correctly?"
- 4 *Agree on objective criteria* If necessary, review NRC procedures and guidelines Then examine evidence systematically Does the evidence support the conclusion?
- 5 *Focus on information needs and develop a plan to satisfy those needs* Send team members out to gather specific evidence
- 6 *Listen to other team members* Give synergy a chance to work Actively solicit input from silent team members Be careful, however, that this process does not take on the character of a vote, in which one team member is out-voted You want each team member's expertise and observations, not just a vote You want all team members to be comfortable with the result
- 7 *Plan ahead for conflict resolution* Develop norms Clarify criteria Discuss process in initial team meetings Model behavior Make sure all team members are playing by the same rules
- 8 *Change the frame of reference* State the issue in a different context "Let's consider this from the public's point of view If you lived a couple of miles from this plant, how would you "

OBSTACLES TO TEAM'S SUCCESS

While team members often come equipped with first-class technical credentials, a complex, demanding, and uncertain environment can make the task difficult. Some of the most common obstacles a team must overcome are as follows:

- Team members are often from different disciplines and some from different organizations. They may or may not have worked together before. Their experience, expectations, and motivations can differ.
- Team members may hold different understandings of their team's goals and objectives.
- If the team fails to develop good rapport, the results can include inadequate exchange of information, generally poor communication, misunderstandings, and adversarial relationships.
- Time must be spent on logistics, getting organized, and administration. These activities can interfere with time allocated for task work.
- Pressure to perform in a limited time can cause competition, conflict, and dissension among team members. These dynamics can lower morale and diminish the quality of work.
- Pressure to reach consensus can result in distorted conclusions. This can either escalate standards or lower them unreasonably.

BUILDING STRONG TEAMS

Organizations building empowered teams can lose sight of the fact that teams are both business entities and social groups. Like families, teams consist of a number of partners that live together five days a week for eight or more hours a day. Unlike families, teams are composed of members with diverse attitudes, values, and backgrounds. Because of this diversity, learning to work together requires time, patience, and effort.

As teams mature, they pass through four stages of development: (1) Getting Started, (2) Going in Circles, (3) Getting on Course, and (4) Full Speed Ahead. These stages have been called different things by different team experts, but the point being made is the same: Teams mature and evolve over time.

The goal of teams can be stated as follows:

Highly effective teams are composed of groups of committed individuals who trust each other, have a clear sense of purpose about their work, are effective communicators within and outside the team, make sure everyone in the team is involved in decisions affecting the group, and follow a process that helps them plan, make decisions, and ensure the quality of their work.

Levels of Feeling Associated with Interpersonal Relations

JOY

HARMONY

AMUSEMENT

CONFUSION

FRUSTRATION

ANNOYANCE

DISTRUST

ANGER

RAGE

DEPRESSION

SOME HELPFUL HINTS ABOUT FACILITATIVE BEHAVIOR FOR TDY TEAMS

*"Softness triumphs over hardness
febleness over strength What is more
malleable is always superior over that
which is unmovable This is the principle
of controlling things by going along with
them of mastery through adaptation
Lao-Tzu*

FACILITATIVE ATTITUDES

Neutrality

Suspending or deferring your own thoughts, opinions and feelings about the task before the group is the basis for your credibility and effectiveness. It is your overview of where they are and where they want to go, separate from your opinion about either of them, that will enable you to assist them in accomplishing their tasks.

This should not be interpreted to mean that the facilitator should not make contributions of content or provide direction for the group. In areas of your expertise it is important that you act as an expert — while at the same time being attentive to the knowledge that group members can contribute. One way to walk this knife edge is to be clear about what role you are taking at any given moment. For example, you might present the content that you wish them to hear — and present it as an expert and then move into a more neutral role as the participants strive to understand the information you have shared — your role here is to facilitate their learning.

Win/Win Attitude

If you do not believe and do not demonstrate a belief that agreements are possible or desirable, they probably won't be. Your responsibility is to advocate for decisions that everyone is willing to support.

Flexibility

It is important for you to plan the TDY based on your knowledge and experience enriched by the data you have about the participants' needs and identify strategies and tools beforehand. It is equally important that you be able to let go of the preplanned roadmap and move with the group.

Being Non-Defensive

The mediating influence of a trainer depends on neutrality and a non-defensive attitude. When a trainer becomes defensive, he or she can easily become the focus for the session. At times you will be called upon to put the group's needs before your own and not allow your feelings to add another dynamic to a complex situation.

Key Points

The facilitator

- Is a neutral servant of the group
- Does not evaluate or contribute content ideas
- Helps the group focus all its energies on the task at hand
- Encourages everyone to participate
- Makes sure that members have a chance to participate
- Protects all members of the group from attack
- Suggests alternate methods and procedures
- Coordinates pre and post meeting logistics
- Explains role to group if they are new to using a facilitator
- Plans meeting beforehand with team leader
- Helps keep group within time constraints
- Paraphrases participants contributions as needed
- Repeats contributions to insure accurate recording when necessary
- Creates the group memory or directs the recorder in doing so
- Dresses in neutral manner
- Exhibits open and neutral body language
- Energizes or slows a group down as needed
- Helps a group summarize their accomplishments and evaluate the meeting
- Asks open ended process questions
- Recognizes strategic moments and helps a group make clear decision about immediate next steps

A SUMMARY OF CRITICAL FACTORS IN USING A FACILITATOR SUCCESSFULLY

1 Use of Time

A preplanned agenda that includes

- Outcomes or end products of the meeting
- Content and process steps to achieve outcomes
- Total time for the entire meeting
- Time allocated for each step

2 Leadership

Facilitator	Neutral meeting chauffeur who keeps participants focused on the agenda, makes process suggestions, protects individuals and their ideas, serves at the will of the group
Recorder	Captures participants ideas on flip chart paper in view of the group Also neutral and serves at the will of the group
Team Leader	Defines outcomes, decision making process and constraints, contributes ideas, keeps facilitator/recorder in their role, encourages participation, monitors follow-up and is the final decision maker
Group Member	Contributes ideas and opinions, listens to contributions of other members, participates in decision making, keeps facilitator/recorder in their role

3 Decision Making Explicit and clear process decided on in advance of meeting

4 Information Handling Facilitator/recorder takes accurate notes as meeting progresses in view of entire group This record or group memory can replace or complement traditional minutes

5 Steps/Procedures A recurring cycle of defining what, defining how and doing

5 Room Set Up All participants sitting in semi circle facing a large flat wall and away from the doors

6 Brief post-meeting evaluation by team members

KEY ELEMENTS OF THE ROLES

THE KEY ELEMENTS OF THE FACILITATOR'S ROLE ARE:	THE KEY ELEMMENTS OF THE RECORDER'S ROLE ARE:
<p>Neutrality</p> <p>Keeping the group focused on the task</p> <p>Protecting group members</p> <p>Making sure everyone has a chance to participate</p> <p>Making process suggestions</p> <p>Making a contract with group members and the team leader to keep you in your role</p>	<p>Neutrality</p> <p>Writing down the words of the participants Using key words and phrases</p> <p>Creating a record of the meeting</p> <p>Letting group know if you need to slow down</p> <p>Non-defensively adding anything missed in making your corrections</p> <p>Writing legibly</p> <p>Making a contract with group members agreeing to keep you in your role</p>
THE KEY ELEMENTS OF THE GROUP MEMBER'S ROLE ARE:	THE KEY ELEMENTS TO DEFINE FOR THE TEAM LEADER'S ROLE ARE:
<p>Participating in the meeting meeting</p> <p>Listening to and soliciting other's contributions</p> <p>Having a win/win attitude</p> <p>Keeping facilitator/recorder in role</p> <p>Being facilitative</p>	<p>Decision making method</p> <p>What the team leader wants from team members</p> <p>How he or she will behave during the meeting</p> <p>What the team leader expects from the facilitator/recorder</p> <p>The overall purpose of the meeting</p>

THE FACILITATOR GUIDE FOR THE JOURNEY

As the facilitator, you have a special responsibility which is different from anyone else at the meeting. Everyone else there will be working on the agenda, the issues YOU will be working on how the group is getting their job done. You are the PROCESS or TEAMWORK consultant during the meeting, staying neutral on the issues, and helping the Boss and the Group get the results expected.

BEFORE THE MEETING

Get with the Boss (your "client") and clarify the following:

- The purpose(s) for the meeting
- Time and place
- The physical arrangement for the meeting
- Support materials needed (paper, pens, easels, etc.)
- Agenda items from the Boss?
- Agenda items from the group members? How will they be received?
- Outcome(s) the Boss wants on each item (long and short term)
- Decision-making method for each issue/item
- Plan for Beginning and Ending the meeting
- How the Boss wants you to support the follow-through to results

AT THE BEGINNING OF THE MEETING

- Get to the meeting site early and make sure the room is set up the way you want and the materials you need are there
- Brief the Recorder as needed
- Follow your plan made with the Boss

- Summarize for the group how you plan to function, reminding them of
 - Your effort to remain NEUTRAL on issues
 - Your attention to the PROCESS
 - Your desire to get "called" whenever someone thinks you are no longer able to maintain neutrality

- Review the agenda items to date, the purpose of the meeting, and the TIME commitment

- Ask for other-late-breaking-agenda items from the group (see that they are recorded)

- Decide on a sequence of action with the group (or announce the one you and the Boss worked out)

ON EACH AGENDA ITEM

- State the issue and the action/outcome desired

If An Announcement By The Boss

- Give the floor to the Boss
- After the Boss is done, ask for and get an accurate paraphrase from the group
- Make sure the Boss is satisfied that he/she has been understood and that THE COMMITMENT HE/SHE NEEDS HAS BEEN GOTTEN
- Make sure it is on the Group Memory

If A Decision Is To Be Made By The Group

- Have the Boss state the issue and decision-making method to be used
- Make sure this gets recorded

- Start off the process of developing alternatives or generating ideas (Use Brainstorming or Sub-Group method)
- Develop criteria for evaluating alternatives
- Apply them to the alternatives/ideas (Use dots or hashmarks or discussion)
- Summarize the group's selection/recommendation/input
- Get the Boss' reaction if not already out

If A Problem Needs To Be Solved

- Have someone (the Boss or other "expert") state the problem situation
- Get a paraphrase from the group
- Make sure it is written on the Group Memory by the Recorder
- Keep going with this or another process (as above)

If Someone In The Group Has An Issue To Be Worked

- Have them state the issue and the action they desire
- Make sure it gets recorded
- Get an accurate paraphrase from the Boss and/or the group
- Have the Boss decide on how to approach the issue and make sure this is recorded, especially the decision-making method to be used
- Start the process using the appropriate sequence

If Someone In The Group Has An Announcement

- Have them say their piece
- Get an accurate paraphrase from the group
- Make sure it gets recorded

AT THE END OF THE MEETING

- Summarize or have others summarize the outputs/actions/decisions from the meeting
- Clarify out loud the commitments made and get a verbal acceptance/promise on them
- Ask the group for feedback on how you did as a facilitator
- Get feedback for the Recorder, too, especially if someone other than the facilitator did the recording
- Ask the group to assess how the Boss functioned against his/her goals (stated up front)
- Get an assessment of the success of the meeting, how to make it better next time, what went well this time, what could be celebrated
- Thank everyone for the experience

AFTER THE MEETING

- Huddle with the Boss (and Recorder if appropriate)
- Summarize the next steps
- Reflect privately and/or with a colleague from the meeting on what YOU could do to become more effective as a facilitator

INTERVENTIONS

General Approach	Specific Things You Can Say or Do
Boomerang	<p>Don't get backed into answering questions the group should be answering for themselves. Once you have presented information and had a question and answer session you will usually have the group begin to use the information through some activity. It is at this point that you want the group to answer its own questions, so Boomerang the question back to the group.</p> <p><i>Group member</i> "Trainer, which problem should we deal with first?"</p> <p><i>Trainer</i> "That's up to the group. Which do you think we should do first?"</p> <p><i>Group member, addressing the trainer</i> "What was the infusion rate for last year?"</p> <p><i>Trainer</i> "Who can answer that question?"</p> <p><i>Group member</i> "I don't like the tack we're taking here."</p> <p><i>Trainer</i> "What do you think we should do?" (See Don't be defensive)</p>
Maintain/regain focus	<p>"Wait a second. Let's keep a common focus here."</p> <p>"Just a moment, one person at a time. Joe, you were first and then Don."</p> <p>"I can't facilitate if we have two conversations going at once. Please try to stay focused."</p> <p>"Excuse me, Mary. Are you addressing the issue of _____?"</p> <p>"Let's work on one thing at a time."</p>
Play dumb	<p>When the group has gotten off track during a task or the group has broken down in some way, playing dumb is a way of getting the group to focus on its own process by having to explain it to you. It's a form of boomeranging and is easy to do when you are really confused.</p> <p>"Can someone tell me what is going on?"</p> <p>"I'm confused, what are we doing now?"</p> <p>"Where are we?"</p> <p>"I'm lost. I thought we were _____."</p>

Say what's going on

Sometimes, simply identifying and describing a destructive behavior to the group is enough to change that behavior. Be sure to "check for agreement" after your process observation.

"You are not letting John finish his presentation."

"I think you're trying to force a decision before you're ready."

"It seems to me that . . ."

"My sense is . . ."

Check for agreement

Almost any time you make a statement or propose a process, give the group an opportunity to respond. Don't assume they are with you.

"Do you agree?"

"Alright?"

"O K ?"

A powerful way of checking is to look for the negative. Make silence a sign of confirmation. Rather than saying, "Do you all agree?", ask

"Are there any objections?"

"If there are no objections (pause) . . . we'll move on to . . ."

"Is there anyone who can't live with that decision?"

Avoid process battles

Don't let the group become locked into arguments about which is the "right" way to proceed. Point out that you can try a number of things, deal with more than one issue. The issue is which one to try first. (See Preventions—Educate the group.)

"We can try both approaches. Which one do you want to try first?"

"Can we agree to cover both issues in the remaining time? O K , which do you want to start with?"

Enforce process agreements

Once the group has agreed to a procedure, your credibility and neutrality will be at stake if you don't enforce their agreement.

"Wait a second, you agreed to brainstorm. Don't evaluate ideas . . ."

"Harry, let Sandra finish."

"Sorry, Beth, I'm afraid your time is up."

Encourage

"Could you say more about that?"

"Why don't you try . . ."

"Keep going, I think this is useful . . ."

**Accept/legitimize/deal with/
defer**

This is a general method of intervening that works well for dealing with difficult people and emotional outbreaks of all kinds

"You're not convinced we're getting anywhere! That's O K , maybe you're right "

"Are you willing to hang on for 10 more minutes and see what happens?"

Don't be defensive

If you are challenged, don't argue or become defensive. Accept the criticism, thank the individual for the comment, and boomerang the issue back to the individual or to the group

"I cut you off? You weren't finished? I'm sorry. Please continue "

"You think I'm pushing too hard? (lots of nods) Thank you for telling me. How should we proceed from here?"

Use your body language

Many of these intervention and preventions can be reinforced, and sometimes even made, by the movement of your body or hands

For example, regaining focus by standing up and moving into the middle of the group

Enforcing a process agreement by holding up your hand to keep someone from interrupting

Encouraging someone by gesturing with your hands

Use the group memory

The group memory (all the flip chart paper) can also be used to reinforce many of the interventions and prevention. For example

Regaining focus can be facilitated by walking up to the flip chart and pointing at the agenda item the group should be dealing with

Getting agreement on content can be greatly supported by writing down on the flip chart or circling the subject to be discussed

Don't talk too much

The better you become at training, the fewer words you will have to use. When you have done a good job, the group may leave thinking that the training went so well the group can work on its own from now on

Use your hands, eye contact, and partial sentences to communicate economically

"I'm sorry. You were saying "

"Could you say that again "

"The point you were making was "

PREVENTIONS

General Approach	Specific Things You Can Say or Do
Stay neutral/stay out of the content	Don't get sucked into contributing your own ideas or opinions after you have presented material (see Boomerang) Remind the group of your role "As your trainer, I'm supposed to be neutral This is your project What do you want to do?" "I won't be able to help you work through this issue if start taking sides " "I'll share my personal opinion with you after the session " "Actually, I don't have a personal opinion about the issue yet "
Be positive (win/win attitude)	If you really believe a win/win solution can be found, you will increase the chances of it happening "I know this issue is quite emotionally charged for some of you, but if we take our time and work our way through the problem I'm sure we can find a solution you can all live with "
Suggest a process	"Why don't we try brainstorming?" "I would suggest looking at criteria before trying to evaluate options " "How about working backwards from the deadline?"
Educate the group (process commercials)	By offering short comments about why you are doing what your are doing and about the nature of the problem solving process, you can help the group work through difficult situations and become better at facilitating itself "There's no one right way to solve a problem Which way do you want to try first?" "You can't solve two problems at once " "If we don't agree on the problem, we'll never agree on a solution "

Get permission to enforce the process agreements

"If you want to get through all these reports by 11 00 I'm going to have to hold you to your five minute time limit Is that O K ? Any objections?"

"Is it alright with you if I push a little harder to get finished on time?"

You've agree not to bring up old history Do I have your permission to cut you off if you do?"

Get the group to take responsibility for its actions

"This is your project, not mine What do you want to do?"

"it's up to you to decide if you want to change the agenda "

"I can't make you reach an agreement You have to really want to find a win/win solution

Build an agenda

By working with your co-trainer to plan or re-plan your agenda for the training, you can anticipate and prevent many potential problems from occurring

Get ownership of the daily agenda

Even though an agenda has been prepared n advance, don't assume that everyone in the training group has agreed to it Check for additions, revisions and reordering of agenda items

"O K , that's the agenda for today Any additions or revisions?"

Once people have had a chance to revise or approve the agenda, then it becomes their agenda, not yours, and they are less likely to feel they have been manipulated

Set up the room

You can prevent a number of potential training problems from occurring, simply by how you arrange the room in advance

For example, if you want people to sit in the front rows, put fewer chairs than you think you will need People always tend to sit as far back as they can

Summary Facilitator Techniques Dealing With Difficult People

- Remain neutral
- Start with the most subtle intervention possible, e g , eye contact
- Use preventions first, e g , meet with the “difficult person” prior to the session
- Go for a win/win resolution whenever possible, i e , is there a way to resolve their concerns, issues?
- Only escalate your interventions if you need to and escalate slowly Remember to try and save their “face ”
- Use the intervention of Accept/Legitimize/Deal With/Defer
- Keep yourself grounded
- Maintain neutral body language
- Separate out the person from their behavior Privately give them specific feedback on observable actions without an interpretation of motivations or judgment

MANAGING FEELINGS

It is important for facilitators to be sensitive to and aware of how participants are feeling emotionally. Feelings which are not acknowledged go underground and interfere with the meeting process. Following are two suggestions about ways to help participants manage the sometimes surprisingly intense feelings they experience.

Sometimes people who feel badly about something that has happened in the session withdraw. If people get particularly quiet, or the whole group gets quiet, it is important to find out if they are upset. Ask them:

Sometimes when people feel overloaded by a presentation or topic, they begin to withdraw. If the group gets particularly quiet, ask them what is happening and what they need. The activities or techniques you select in response should be designed to bring out information you, as a facilitator, need in order to be able to remove the blocks to people being ready to continue with the task. This task of helping people be ready to continue work is part of facilitation. A major part of the facilitator's task is to facilitate a good meeting climate.

ACTIVITIES NEEDED FOR GROUP ACHIEVEMENT

TASK

Activities that forward the task of the group

- 1 Stating the problem clearly, pointing out problems that need attention, getting others to state problems
- 2 Recognizing the need for information, facts, data and giving them, or aid in securing them
- 3 Recognizing the need for opinions or feelings and getting them
- 4 Making suggestions, proposals for solving problems
- 5 Evaluating solutions and suggestions, testing for practicality
- 6 Summarizing group progress, or decisions, or disagreements
- 7 Making procedural suggestions to help coordinate activities, sub-committees, buzz groups, role play, list suggestions on flip chart, get group to assign priorities to agenda items, preventing "railroading"
- 8 Calling attention to time limits, amount of time remaining to get the job done, agenda still to be covered
- 9 Serving as "group memory", recording suggestions, decisions, being secretary

MAINTENANCE

Activities that forward cohesiveness and morale

- 1 Getting people acquainted, introducing, having informal gatherings
- 2 Meeting physical needs, temperature, rest breaks, food, comfort
- 3 Meeting emotional needs letting people tell you their story, complimenting a person, empathy
- 4 Gatekeeping, helping bring others into discussion, encouraging someone to participate
- 5 Supporting, listening attentively, showing interest, encouraging more details
- 6 Compromising, willing to give up one's own ideas when group objectives require it
- 7 Harmonizing, helping people reach agreement or understanding, reducing areas of conflict
- 8 Reminding group of standards it has set, rights of individuals, etc
- 9 Reducing emotional tension by humor, suggesting a break, etc

FACTORS WHICH CAN AFFECT THE DEVELOPMENT OF GROUP CLIMATE

NEGATIVE CLIMATE

Inappropriate leadership style

Task and purpose obscure or not communicated

Meeting agenda not in keeping with objectives

Group size ill-judged

Group composition not conducive to objectives

Time of sessions when members are tired or have "had enough"

No recognition given to what members may be "bringing in"

No attempt to surface "hopes and fears" or identify common purpose

Process vague, ill-defined
Irrelevancies pursued

Individuals or small groups dominate

Conflict "buried" or hidden

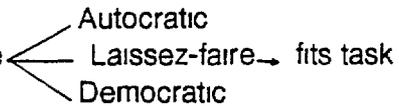
"Ground rules" not thought out nor communicated

Facilitator not alert to dynamics of group or skilled enough to deal with issues

Lightness not present or type of humor not appropriate

Low trust level—Group members feel ill at ease or feel the need to be defensive

POSITIVE CLIMATE

Leadership style 

Task well prepared and presented
Clarity of purpose

Meeting agenda in keeping with objectives

Size of group appropriate

Composition of group in line with objectives (e.g., is most appropriate for purpose, a peer group, self-selected group, diverse in terms of age, gender, race, culture, similar backgrounds, expectations and concerns, etc.)

Time of sessions well chosen
Time available fits the task

"Unfinished business" or members "baggage" cleared away

Contract worked out
Expectations surfaced

Clarity of purpose
Purpose pursued

Participation evenly distributed

Conflict (if present) brought out and dealt with

Ground "rules" outlined and accepted

Facilitator has necessary observation and group management skills

Humor used to "lighten" sessions at appropriate stages

High trust level (achieved by use of trust-building skills)

NEGATIVE CLIMATE

Competitive attitude and win/lose approach by members

Over-critical or attacking type feedback in evidence

Leadership likely to produce requirements or procedures which participants will be anxious about

"In" groups or "pairing" obvious
Facilitator(s) relate particularly to one or two members

Specialist or jargon language used and promotes alienation

No follow-up on group decisions

Feelings are not checked out—assumptions made by facilitator(s) on how members are feeling

Silence becomes threatening and creates awkwardness

POSITIVE CLIMATE

Collaborative and problem solving approach by group—win/win

Feedback skills properly employed

Leadership behaviors predictable

Group relationships shared
Facilitator(s) relationships evenly distributed

Language appropriate to the group

Action taken on group decisions

Feelings of individuals checked out at times during sessions

Silence used positively for thought and reflection

PHYSICAL FACTORS WHICH CAN AFFECT CLIMATE

Too much, too little or badly used space bringing feelings of being "lost", "crowded" or "split"

Seating—giving inappropriate messages and causing lack of contact and separation

Dull, dowdy, cluttered surroundings, Facilitator not easily contactable or adopting position inconsistent with style

Group victims of frustrating interruptions or distractions

Time chosen when members are tired or overloaded — too much or too little time for task

Space—comfortable amount to allow feeling of easiness and closeness

Seating—giving eye contact possibilities to facilitator(s) and all, and suggesting sharing

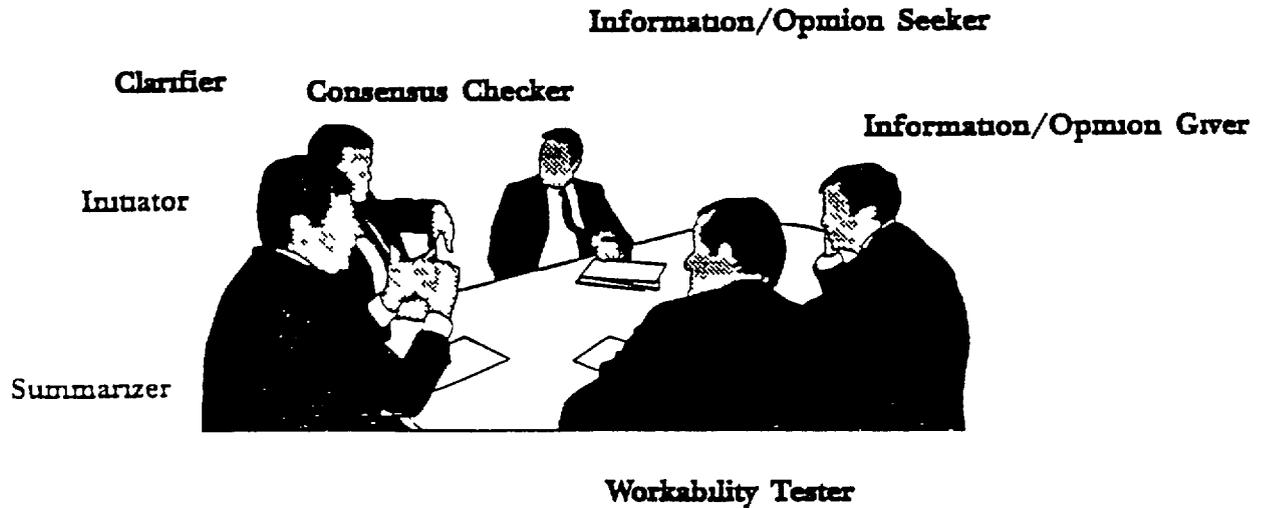
Brings encouraging environment
Facilitator position giving availability and appropriate to style

Group secure from outside distractions

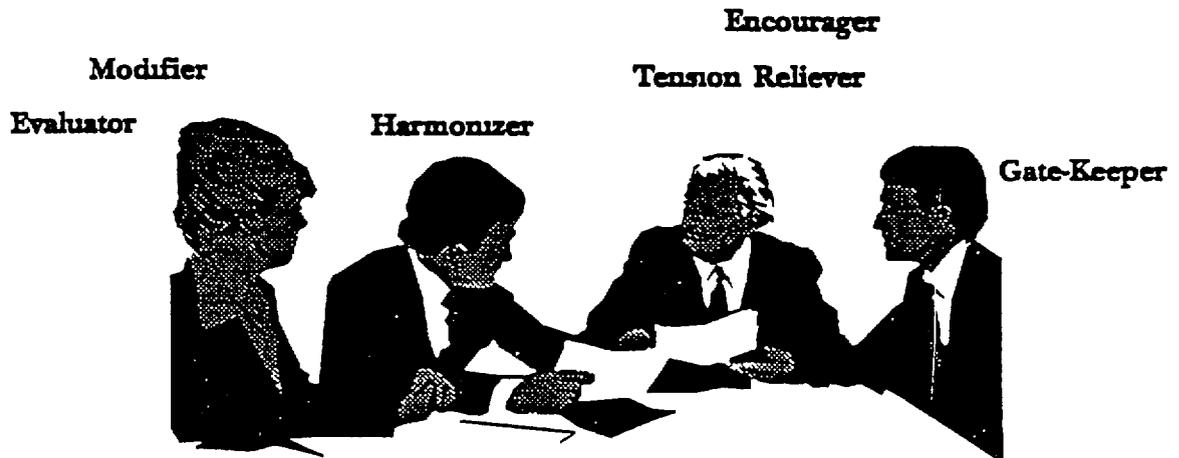
Time of event and amount of time available convenient to all and appropriate to task

HELPFUL GROUP AND FACILITATOR ROLES

TASK ROLES



COHESION ROLES



Resistance—What Are People Resisting When They Are Resisting You?

When you go out on a TDY for PRISM, you may be going to help the mission complete a task that someone else (usually A I D /W) has decided they have to do and that they may or may not see as valuable. It isn't that they aren't smart enough to do it. The reason they have not accomplished the task is that they have not seen it or seen it clearly. They are so close to the situation and have such an emotional investment in any possible outcomes, that they are in the position of needing an outsider to come and help them define the task and identify possible solutions. In the task or solution, there is some *difficult reality* that the mission will have a hard time seeing and confronting.

The *difficult realities* that they are likely to get stuck on will vary from mission to mission. Here are some possible ones:

- The political situation, both internally and externally, may be very risky and the director/managers may not want to make waves or take a position.
- The strategic plan and reporting system may render some people's positions or offices unnecessary or may require skills that do not exist in the organization now. This may mean getting rid of some people or reassigning them, which is always hard to do.
- The organization may be providing services to a declining market or to a rapidly changing one and this is too discouraging to deal with.
- A development project or program in which a lot of money is being invested may turn up some negative results. This means bad news would have to be sent up the line, and promises made earlier will be taken back.
- People at the mission may be very dissatisfied and the mission director may be reluctant to surface the dissatisfaction.
- The mission director or other managers may feel inadequate in some part of the job and not want to face that inadequacy.
- The mission director knows that he/she operates autocratically, doesn't want to change, yet sees the negative effects of it.
- Mission management may be part of the problem and the staff may not want to confront them.

The Faces of Resistance

Resistance takes many forms, some of them very subtle and elusive. In the course of a single meeting, you may encounter a variety of forms. As you begin to deal with it in one form, sometimes it will fade and reappear in a different body.

For technically oriented consultants—like health and population experts, agronomists, economists, computer and systems people—resistance can be very hard to identify. Our technical backgrounds so orient us to data, facts, and logic that when we are asked to perceive an emotional or interpersonal process, it is like trying to see the picture on a badly out-of-focus piece of movie film.

The following list of common forms of resistance, though incomplete, is intended to help bring the picture into focus.

Give us more detail—"When you put these worksheets together were those numbers written in red or blue ink?" No amount of information is seen as enough to satisfy them. They need to know what is going on but when you start to get impatient with the questions, even though you are able to answer them, that is the moment to start suspecting the request for detail is a form of resistance and not a simple quest for information.

Flood you with detail—This is a corollary to the request for detail. You ask someone how this got started and the response is, "Well, it all got started ten years ago on a Thursday afternoon in September. I think I was wearing a blue sweatshirt and the weather outside was overcast and threatening rain. I hope I am not boring you, but I think it is important for you to understand the background of the situation, etc, etc, etc." You find yourself getting more and more detail and understanding less and less. The moment you start to get bored or confused about what all this has to do with the problem at hand, you should begin to suspect that what you are getting is resistance and not just an effusive attempt to give you all the facts.

Time—"We don't have time for this!" or "This is the wrong time." "I don't have time to meet with you this week (or next week or ever)." This form of resistance can also be expressed by constant interruptions during your meetings. The whole time issue, which we all have to face every day, is most often resistance against having to tell you how he/she really feels about this project.

Impracticality—They keep reminding you that they live in the "Real world and are facing Realworld problems." This form of resistance accuses the team of being impractical and academic. As in many forms of resistance, there may be some truth in the statement, but then there is some truth in almost any statement. It is the intensity of the emphasis on "practicality" that leads you to suspect you are up against an emotional issue.

I'm not surprised—It is one of life's more amazing facts that for many people it is of primary importance to not be surprised. It seems that

whatever happens in the world is OK as long as they are not surprised. You tell the mission director or one of the mission managers after meeting with the entire mission staff that the building is going to collapse, the workers have all walked out, the chief financial officer has just run off with the assistant mission director, and the governor is knocking on the door, and the director's first response is, "I'm not surprised." The fear of surprise is really the desire to always be in control. When we run into it, it is kind of deflating. It can be seen as a signal that our work is really not that important. See the desire not to be surprised for what it is—a form of resistance and not really a reflection on your work.

Attack—the most blatant form of resistance is when they attack you. With angry words, a red face, pounding a fist on the desk, pointing a finger in your face, punctuating the end of every sentence they leave you feeling like a bumbling child who has not only done poor work, but has somehow violated a line or morality that should never be crossed. We often respond to such an attack by withdrawal or a response in kind. Both of these responses mean that we are taking the attack personally and not seeing it as one other form the resistance is taking.

Confusion—Sometimes the person you are working with may experience some legitimate confusion. This may not be resistance, but a desire for clarity. After things become clear to you, however, and you explain it two or three times, and they keep claiming to be confused or not understand, start to think that confusion may be their way of resisting.

Silence—This is the toughest of all. We keep talking but get very little response in return. "Keep talking, I don't have any problems with what you are saying. If I do, I'll speak up." Don't you believe it. Silence never means consent. If you are dealing with something important to the organization, it is not natural for the person to have no reaction. Silence means that the reaction is being blocked. For some people, withholding is a fight style. "I am holding on so tightly to my position and my feelings that I won't even give you words." If you think a meeting went well because the manager didn't raise any objections, don't trust it. Ask yourself if he/she gave you any real support or showed any real enthusiasm or got personally involved in the action. If there were few signs of life, begin to wonder whether the silence was the form the resistance was taking.

Intellectualizing—When a person shifts the discussion from deciding how to proceed and starts exploring theory after theory about why things are the way they are, you are face to face with intellectualizing as resistance. "That's really fascinating. I wonder if there is an inverse relationship between this situation and the last time we..." Spending a lot of energy spinning theories is a way of taking the pain out of a situation. It is a defense most of us use when we get into a tight spot. This is not to knock the usefulness of a good theory or the need to understand what is happening to us. It is a caution against colluding with the individual.

in engaging in ceaseless wondering when the question is whether you and he/she are going to be able to face up to a difficult situation. The time to suspect intellectualizing is when it begins at a high-tension moment or in a high-tension meeting. When this happens, your task is to bring the discussion back to actions and away from theories.

Moralizing—This type of resistance makes great use of certain words and phrases: “those people” and “should” and “they need to understand.” When you hear them being used, you know you are about to go on a trip into a world of how things ought to be, which is simply a moralizing defense against reality. People use the phrase “those people” about anyone who is not in the room at the time. It is a phrase of superiority used in describing people who (1) are usually at a lower level in the organization than the speaker, or (2) are unhappy about something the speaker has done or said and, therefore, “really don’t understand the way things have to be done.”

Phrases of superiority are actually ways of putting oneself on a pedestal. Pedestal sitting is always a defense against feeling some uncomfortable feeling and taking some uncomfortable actions.

The phrase, “they need to understand” means “I understand—they don’t. Why don’t they see things clearly and with the same broad perspective that I do?” Frequently, “those people” the speaker is talking about do understand perfectly. The problem is (for the speaker) that they don’t agree.

Moralizing can be very seductive. The moralizing manager is inviting you to join him or her in a very select circle of people who know what is best for “those people” and who know what they “need to understand.” This is an elite position and it is well protected—if the rest of the organization does not appreciate what you are doing, this is just further indication of how confused they are and how much more they need you! Resist the temptation with as much grace and persistence as possible.

Compliance—The most difficult form of resistance to see comes from the compliant manager who totally agrees with you and eagerly wants to know what to do next. It is hard to see compliance as resistance because you are getting exactly what you want—agreement and respect. If you can trust the concept that in every person there is some ambivalence about your help, then when you get no negative reaction at all, you know something is missing. Everyone you work with will have some reservations about a given course of action. If these don’t get expressed to you, they will come out somewhere else, perhaps in a more destructive way. You are getting this form of resistance any time there is almost total absence of any reservations and a low energy agreement. Beware the person who expresses a desire to quickly get to solutions without any discussion of

problems—also the person who acts very dependent on you and implies that whatever you do is fine

Methodology—If you have done a considerable amount of data collection in your consultation, the first wave of questions will be about your methods “Are these findings statistically significant at the .05 level?” Questions about methodology represent legitimate needs for information for the first ten minutes. That is enough time for you to establish the credibility of your work if the questions are really about information. As the questions go past the ten minute mark, you should cautiously begin to view them as resistance. Repeated questions about methods or suggestions of alternate methods can serve to delay the discussion of actions

Flight into health—This one is the most subtle form of resistance. It occurs when, somewhere in the middle or toward the end of your work, it appears that the mission no longer has any problems with the methodology that you have been using with them. You begin to hear things about how much better things seem to be going. This is similar to what happens when the fighting couple finally make an appointment with the marriage counselor. As the session approaches, they find they are getting along better and better. By the time of their session, they look at each other and say they aren’t quite sure what the issues were because they have been getting along quite well lately. Of course, there is nothing wrong with the situation in the mission improving, but most surface symptoms have underlying issues or problems that need attention. You need to be on the lookout for smoothing over what should be the real focus of your consultation

Pressing for solutions—This form takes the face of an intense desire for solutions—solutions—solutions. Since you are also eager to see them “do it right” some collusion can take place between you and the mission if the discussion of solutions is not held off a little. The desire to get it finished can prevent the mission from learning anything important about the nature of the strategic planning process and the reporting system. Recognize that the rush to solutions can be a defense and a particularly seductive form of resistance for you

Waste of time—This one is a variation on the time theme but is common in A I D Missions and often unspoken. “Strategic management systems come and go in A I D, depending on who is in charge. If we do the absolute minimum and weather this latest of fads, we’ll be fine. This isn’t going to lead to anything other than business as usual. You (the team) are spinning your wheels for little, if any, gain.” This covert (or overt, if spoken) resistance means that you will have to do some selling of this as an opportunity to improve mission management and get more of what they want, rather than less

When You Encounter Resistance Remember

Client resistance and defenses are not to be denied. In fact, they need clear expression. If suppressed, they just pop up later and more dangerously. The key is how you respond to the resistance and defenses. Resistance is inherent in the consulting process. There are two underlying concerns that cause most resistance—control and vulnerability.

Control Maintaining control is at the center of the value system of most organizations. There is a belief in control that goes beyond effectiveness and good organizational performance. Control is the coin of the realm in organizations. The whole reward system is geared around how much control, responsibility and authority you have. When you perform well, you don't get much more money, you get more control. At some point in history, organizations realized that you can't pay people enough money to commit themselves like they do, so instead, control is held up as the reward.

The message in all this is that control is very, very highly valued. There is nothing wrong with having control, and being out of control is a very anxious state to be in. When we get resistance, one good guess why is the manager feels he or she is going to lose control.

Vulnerability Concern that people will get hurt is the second major issue that gives rise to resistance. Organizations are systems that are competitive and political. It is very important to stay ahead of your peers, stay in favor with your boss, and maintain the loyalty and support of your subordinates. To do all three of these and get your job done is difficult. As you move up an organization and deal with people at higher and higher levels, you realize that the feeling of being judged and having to prove yourself again and again is part of every position in the organization, all the way up to the top.

Politics is the exercise of power. Organizations operate like political systems, except that there is no voting. The impact your consulting project has on the political situation and the power of your client(s) is a very important consideration. When you get resistance, it may be that you are unintentionally disturbing whatever political equilibrium has been established.

When you encounter resistance, try to understand it. Look for concerns about control and vulnerability.

➤ To deal with resistance you should be able to

- 1 Identify when resistance is taking place
- 2 View resistance as a natural process and a sign that you are on target
- 3 Support the client in expressing the resistance directly
- 4 Not take the expression of the resistance personally or as an attack on you or your competence

➤ **There are three steps for handling resistance**

Step 1 Identify what form the resistance is taking

Step 2 Name the resistance in a neutral, non-punishing way

Step 3 Be quiet, let the client respond

➤ **A couple of points to summarize**

- 1 Despite the words used the resistance is not designed to discredit your competence
- 2 Defenses and resistance are a sign that you have touched something important and valuable The fact is now simply coming out in a difficult form
- 3 Most questions are statements in disguise Try to get behind the question, to get the statement articulated This takes the burden off you to answer a phantom question
- 4 Give two good faith responses to every question The third time a question is asked, interpret it as a form of resistance

ACTIVE LISTENING—THE MOST ESSENTIAL FACILITATION SKILL

*"Give every man thine ear,
but few thy voice."*

*William Shakespeare
Hamlet*

Active listening is a commitment to understanding, being able, and helping others to

- **Give non-verbal acknowledgment**—Letting the other know you are listening and interested in what they are saying
Examples: Maintain eye contact
Lean toward the speaker
Be physically at the same level—if they are sitting—you sit
"Uh-huh "
- **Parrot**—Restating what the speaker has stated to check for accuracy
Examples: "So you want me to meet you tomorrow at noon at the corner of 23rd and Madison?"
"You think that collecting gender disaggregated data will be impossible in your project?"
- **Paraphrase**—Stating in your own way what the other's remarks convey to you
Examples: "Is this (statement) an accurate understanding of your idea?"
"Would this be an example of the point you made? (then stating a specific example)"
- **Check Perceptions**—Describing what you perceive to be the other's inner state in order to check whether you do understand what he/she thinks or feels
Examples: "You look like you felt hurt by my comment? Did you?"
"I get the impression you'd like to change the subject. Is that accurate?"
"You seem to be feeling more at ease now "

- **Own Feelings**—Reporting your own inner state as explicitly as you can—making sure the statement indicates the feelings are in you

Examples “I’m concerned ” “I’m pleased ” (naming the feeling)

“I feel embarrassed ” (naming the feeling)

“I feel like a tiny fish in a swimming pool ” (simile)

“I feel like hugging you ”(action urge)

“I’m redder than a cherry tree in July ” (figure of speech)

“I’m upset ” (naming)

- **Describe behaviors**—Reporting specific, observable actions of others without making accusations or generalizations about their motives, personality or character traits

Examples “That’s the third time you have said you agreed with a statement of mine and then added ‘but’ and expressed agreement with the opposite ”

“Jim and Harry have done nearly all the talking and the rest of us have said very little ”

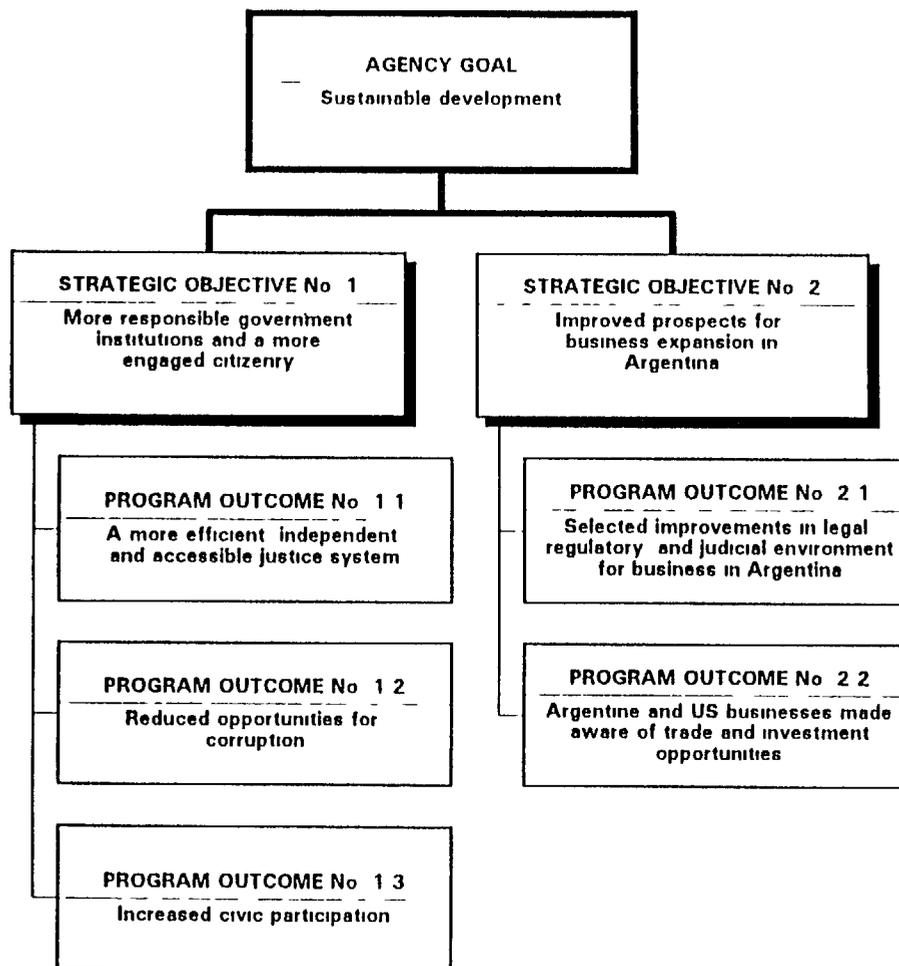
- **To understand the other as a person**

Check to make sure you understand what the person says ideas, information and suggestions as the individual intended them (*skill–paraphrase*)

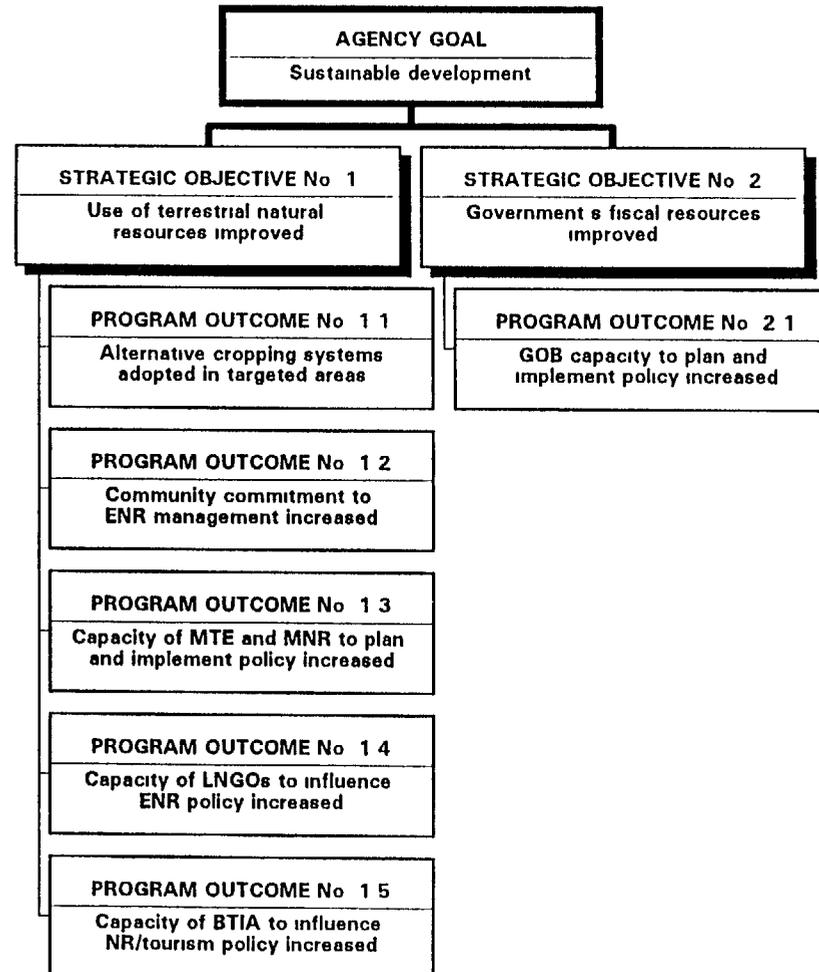
Check to make sure you accurately understand what the person feels—their inner state (*skill–perception checking*)

Part Four:
LAC Mission Objective Trees

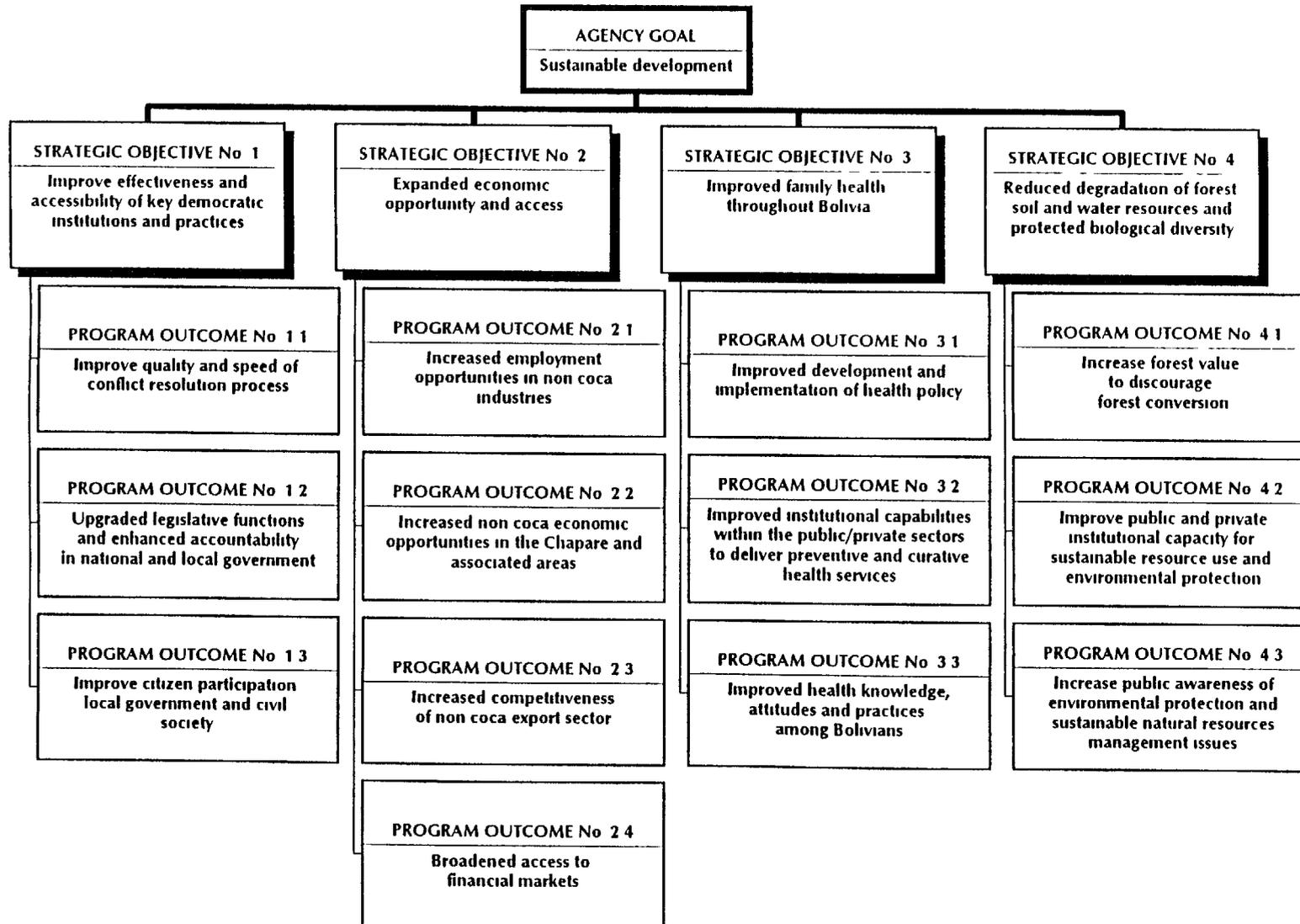
ARGENTINA



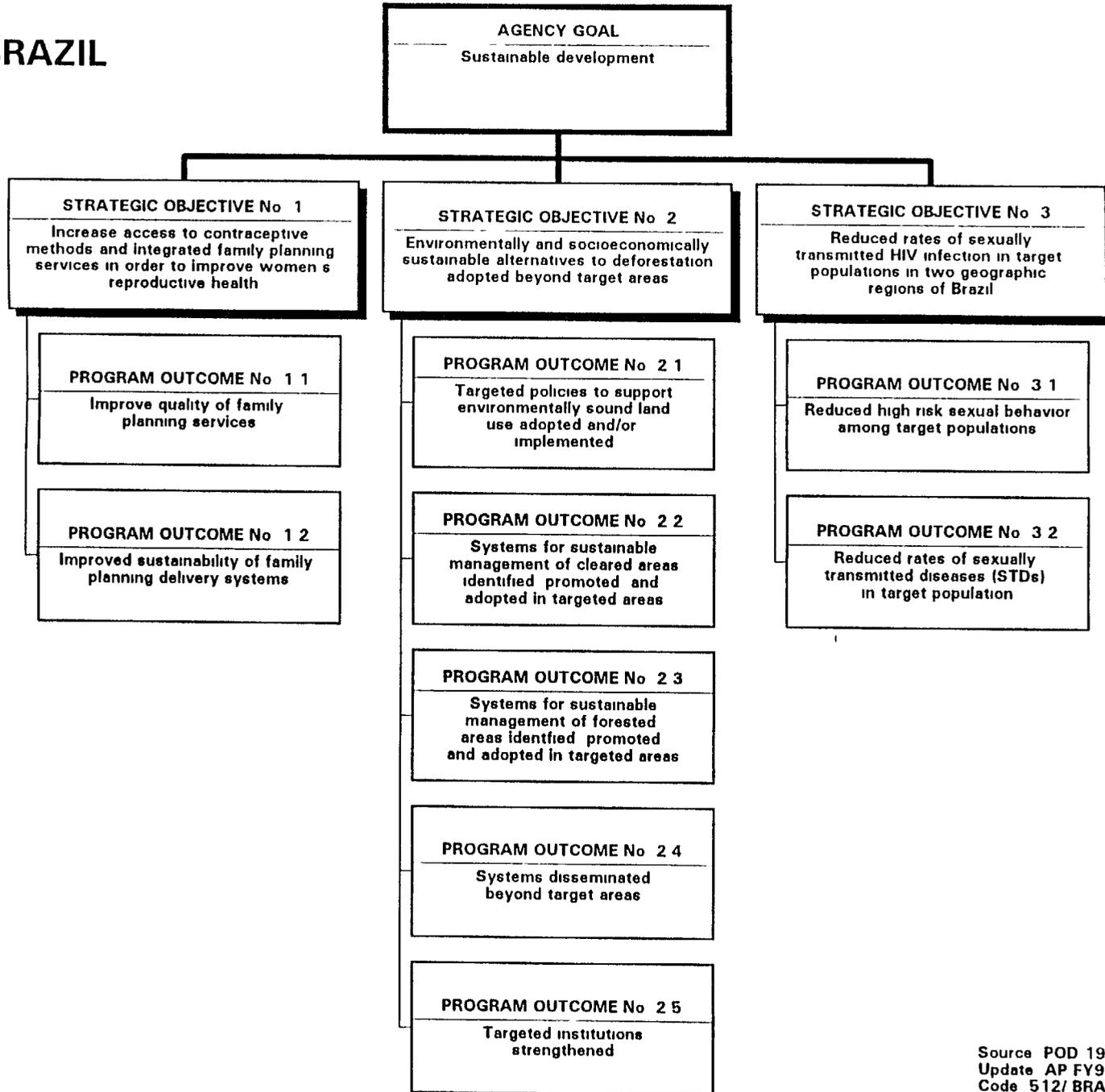
BELIZE



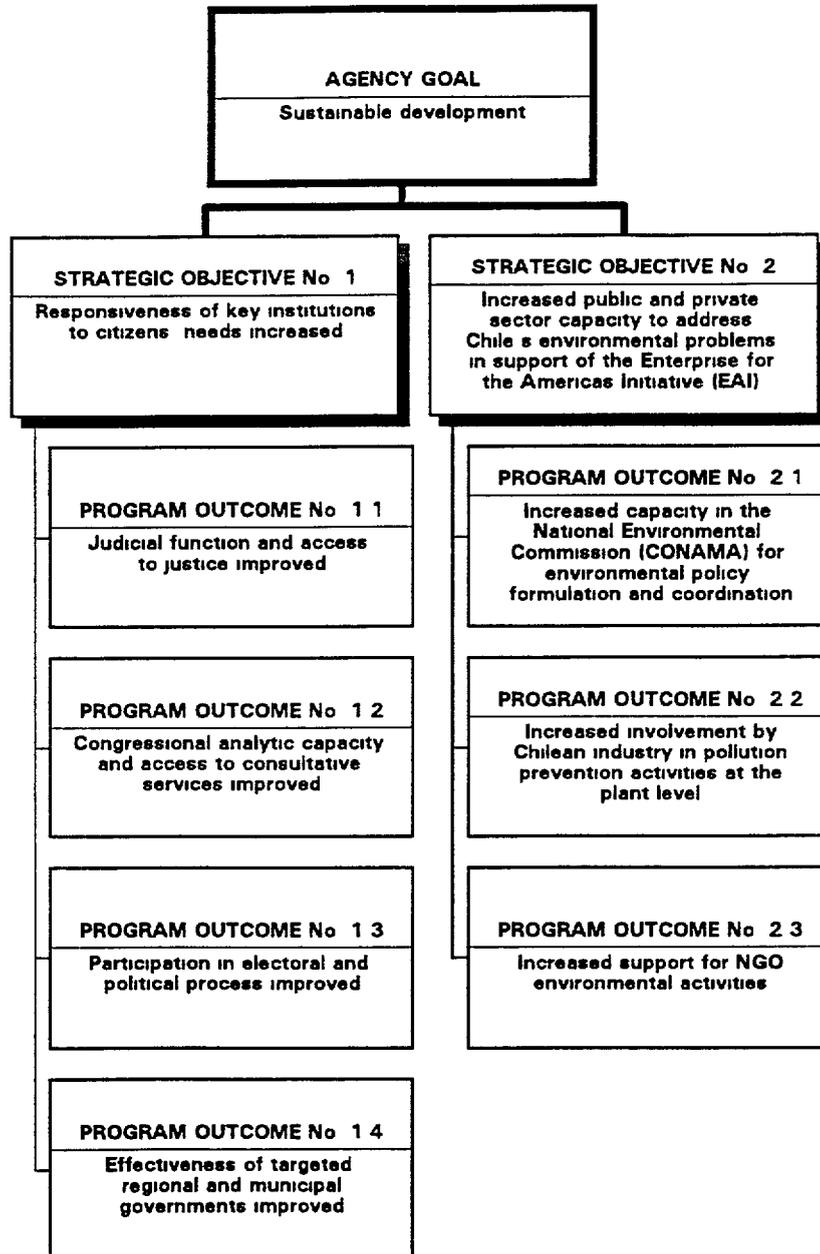
BOLIVIA



BRAZIL

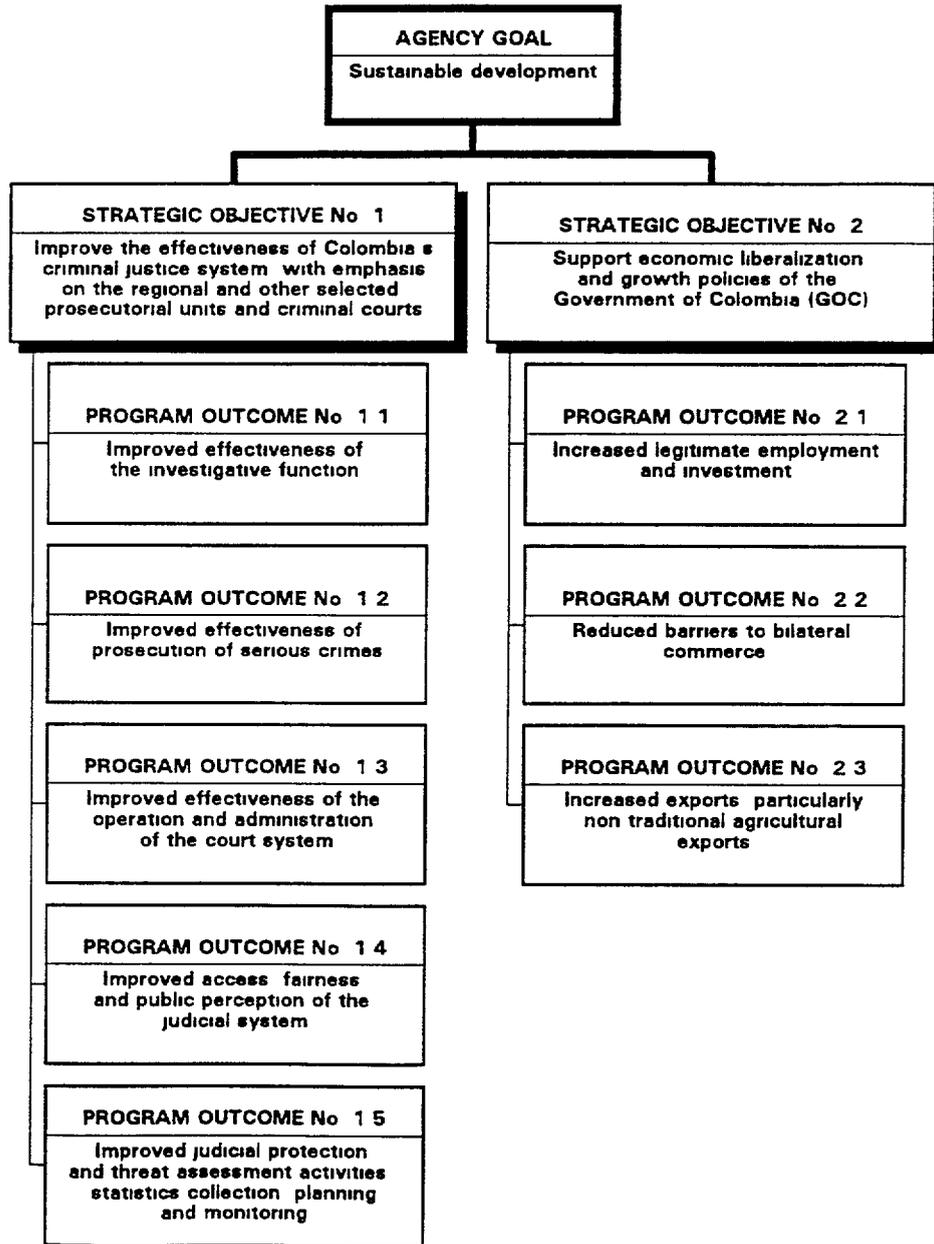


CHILE

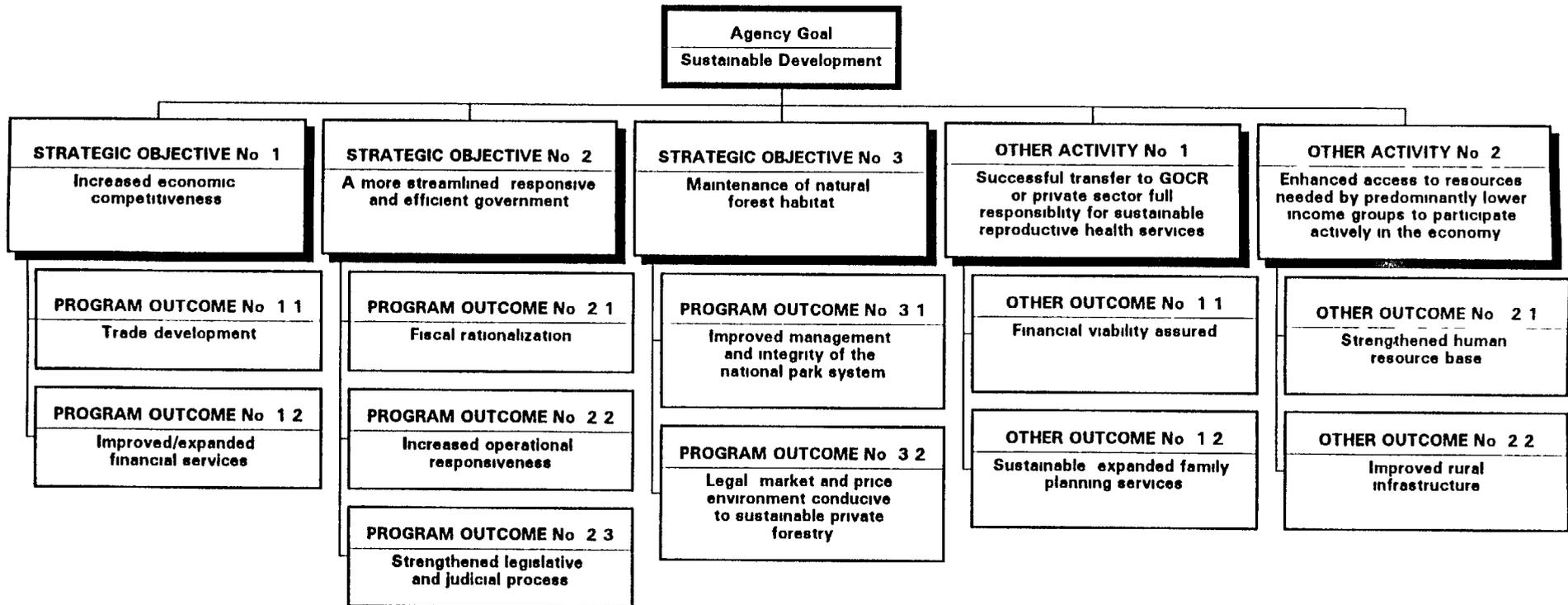


Source: POD 1993/94
Update: AP FY95/96
Code: 513/CHI

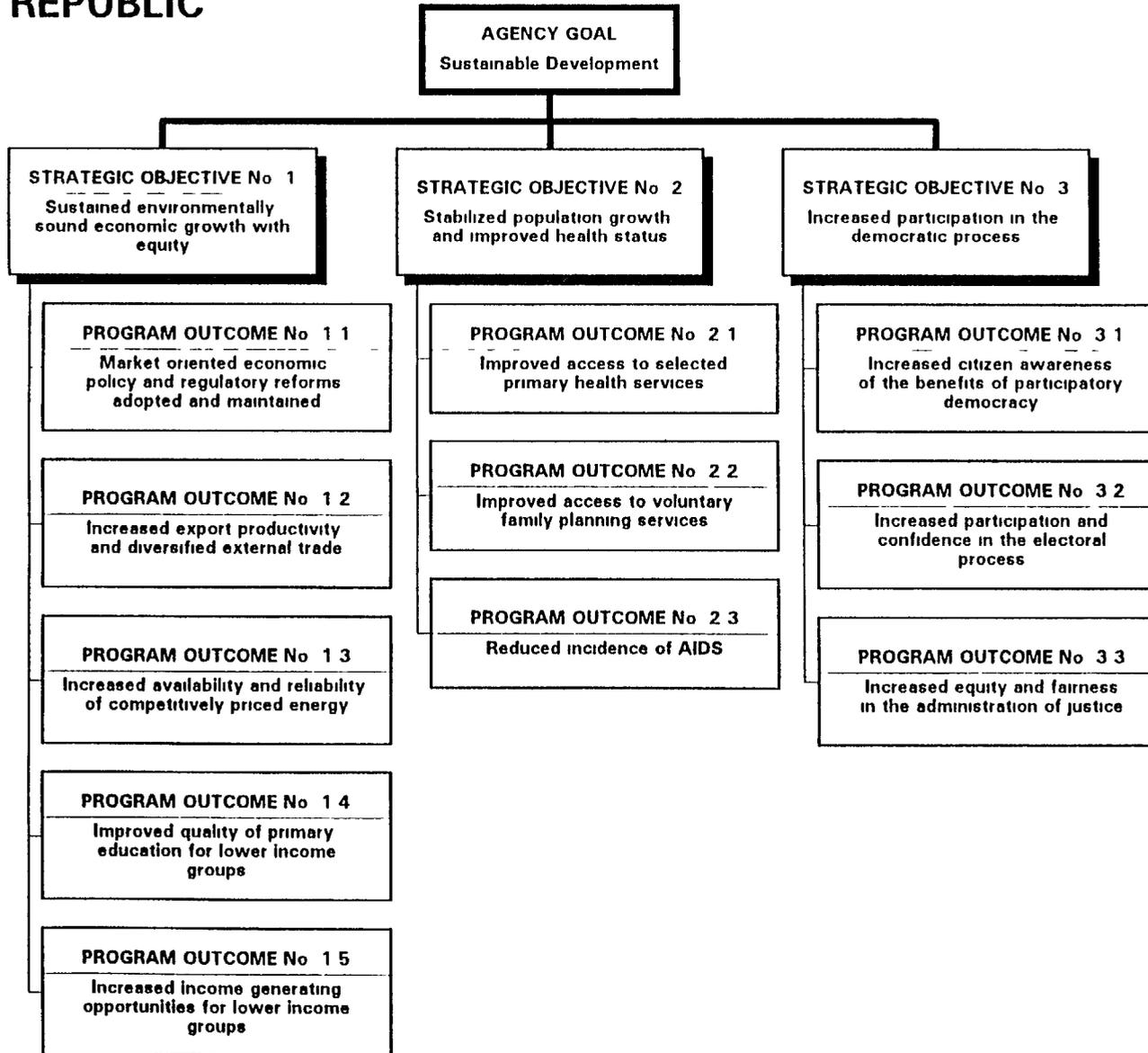
COLOMBIA



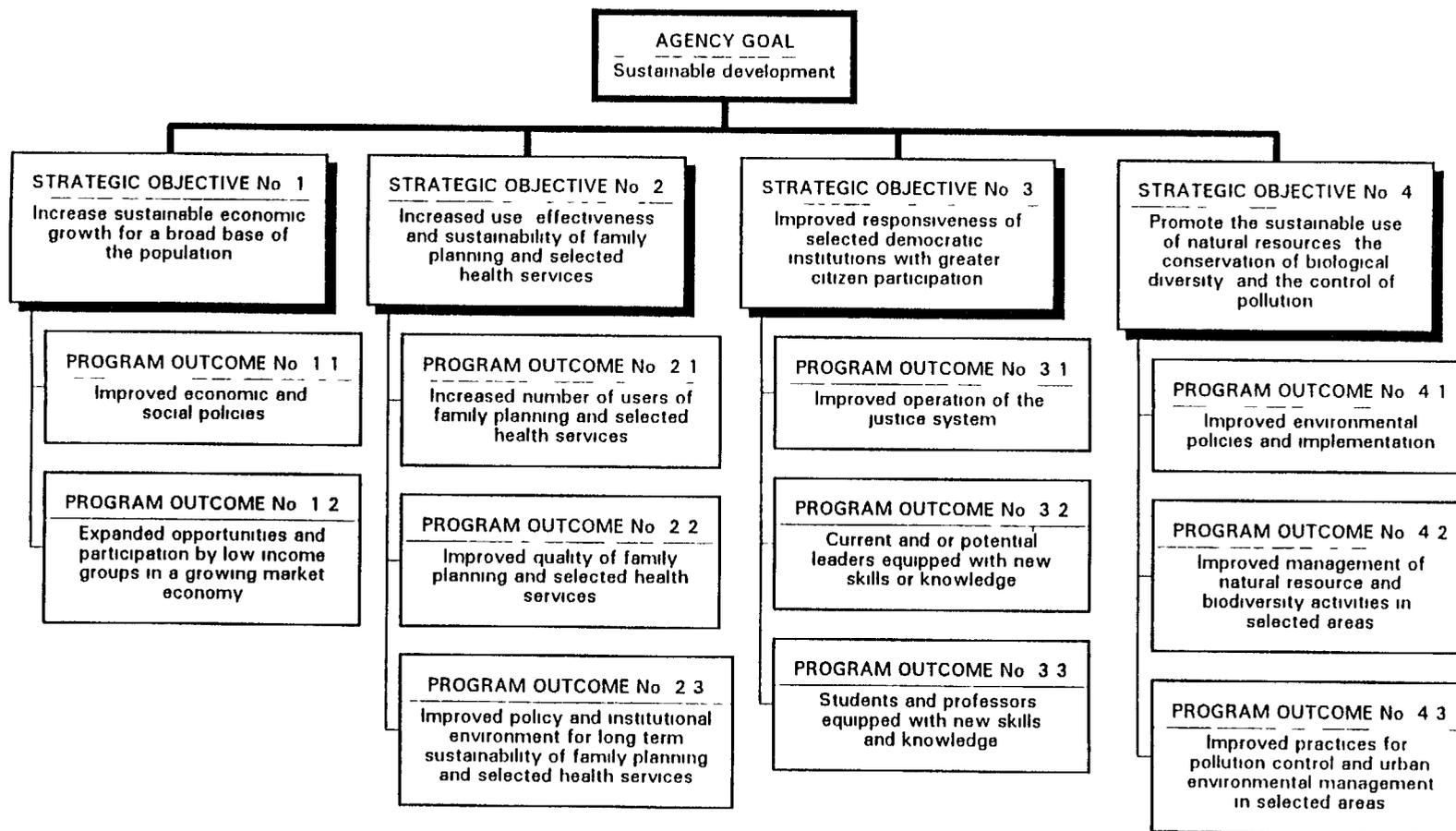
COSTA RICA



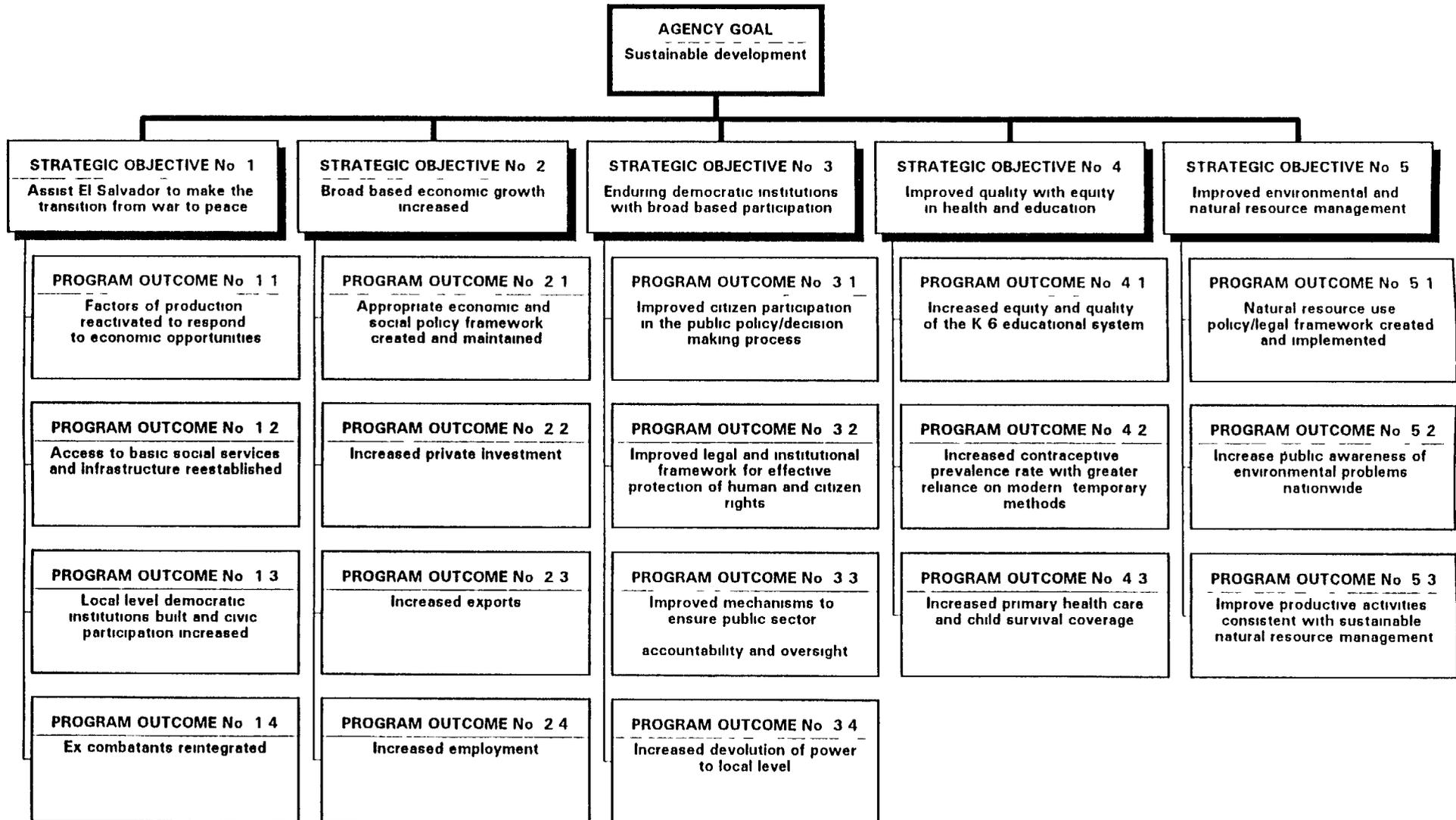
DOMINICAN REPUBLIC



ECUADOR

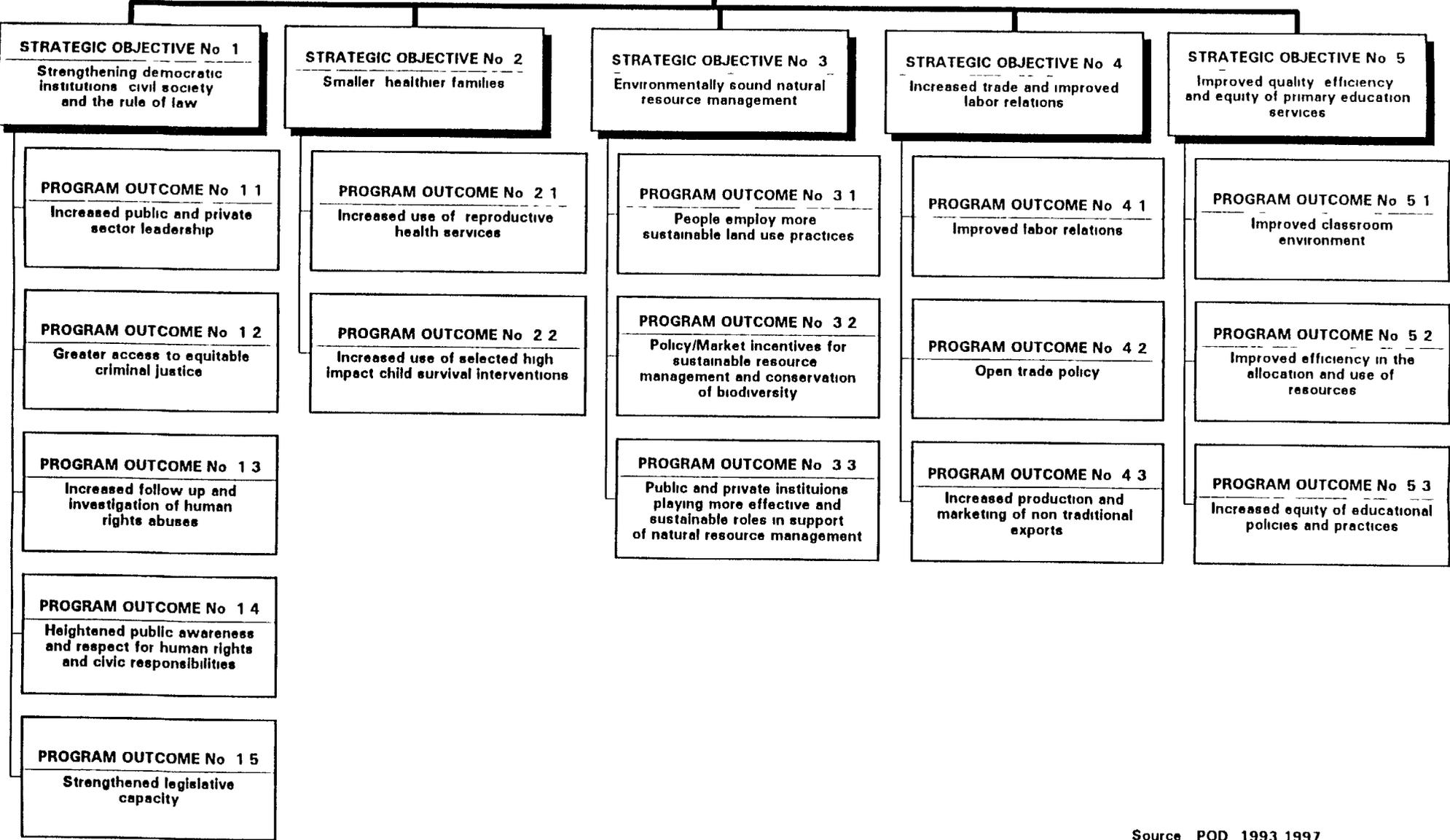


EL SALVADOR

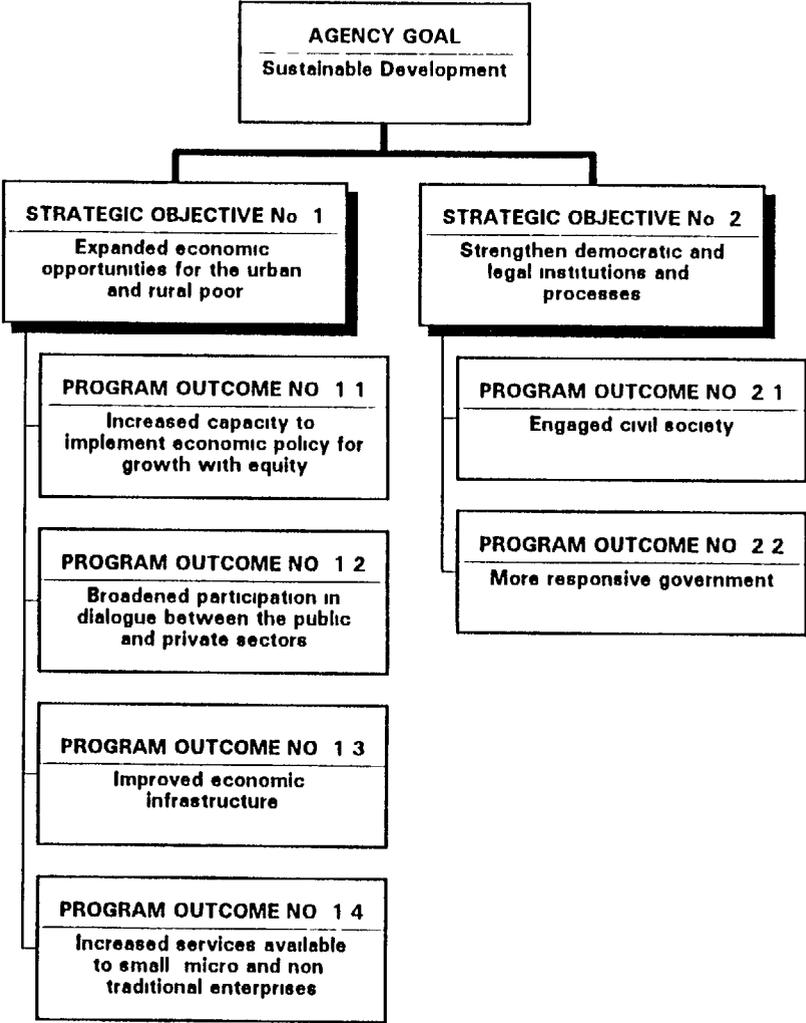


GUATEMALA

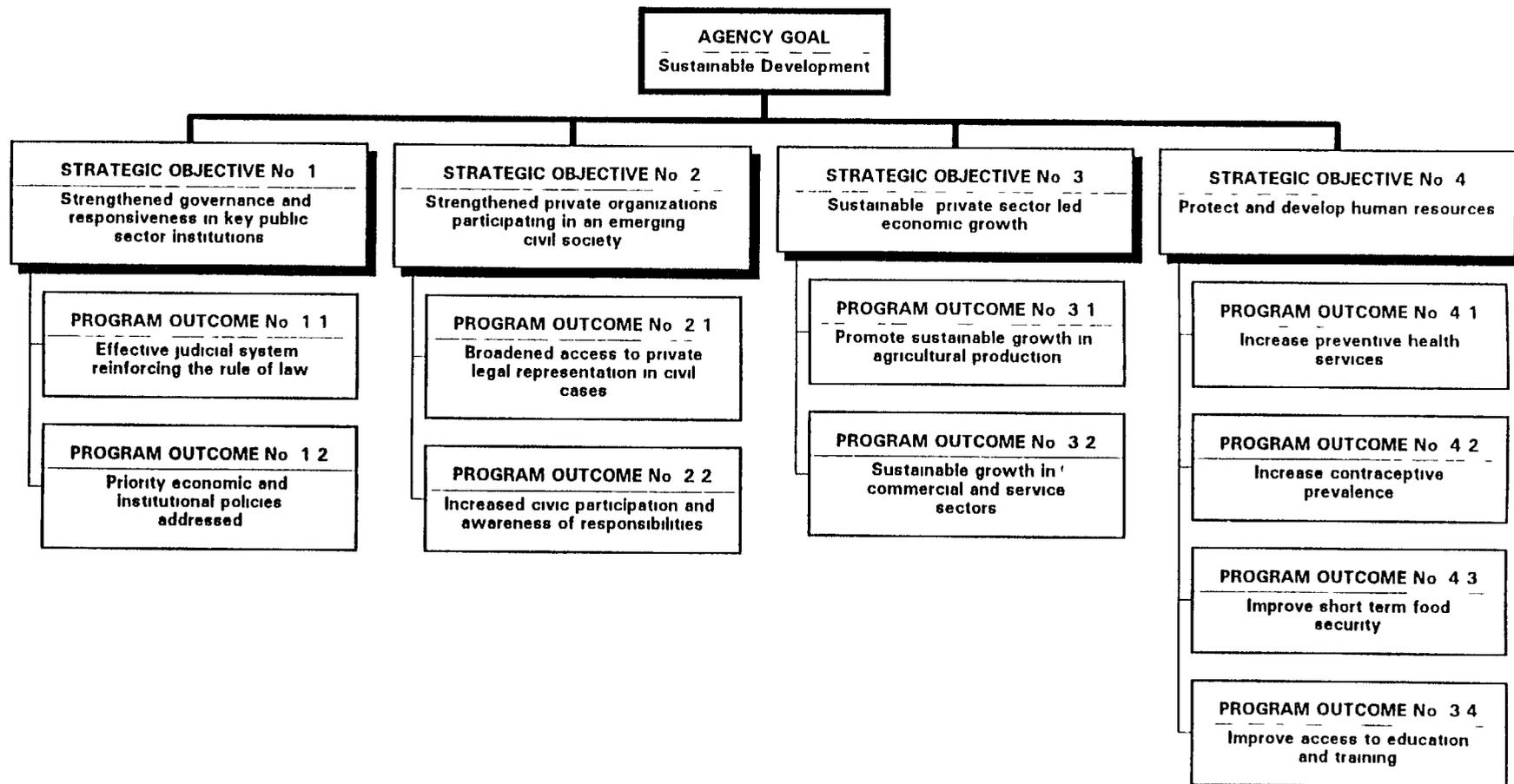
AGENCY GOAL
Sustainable development



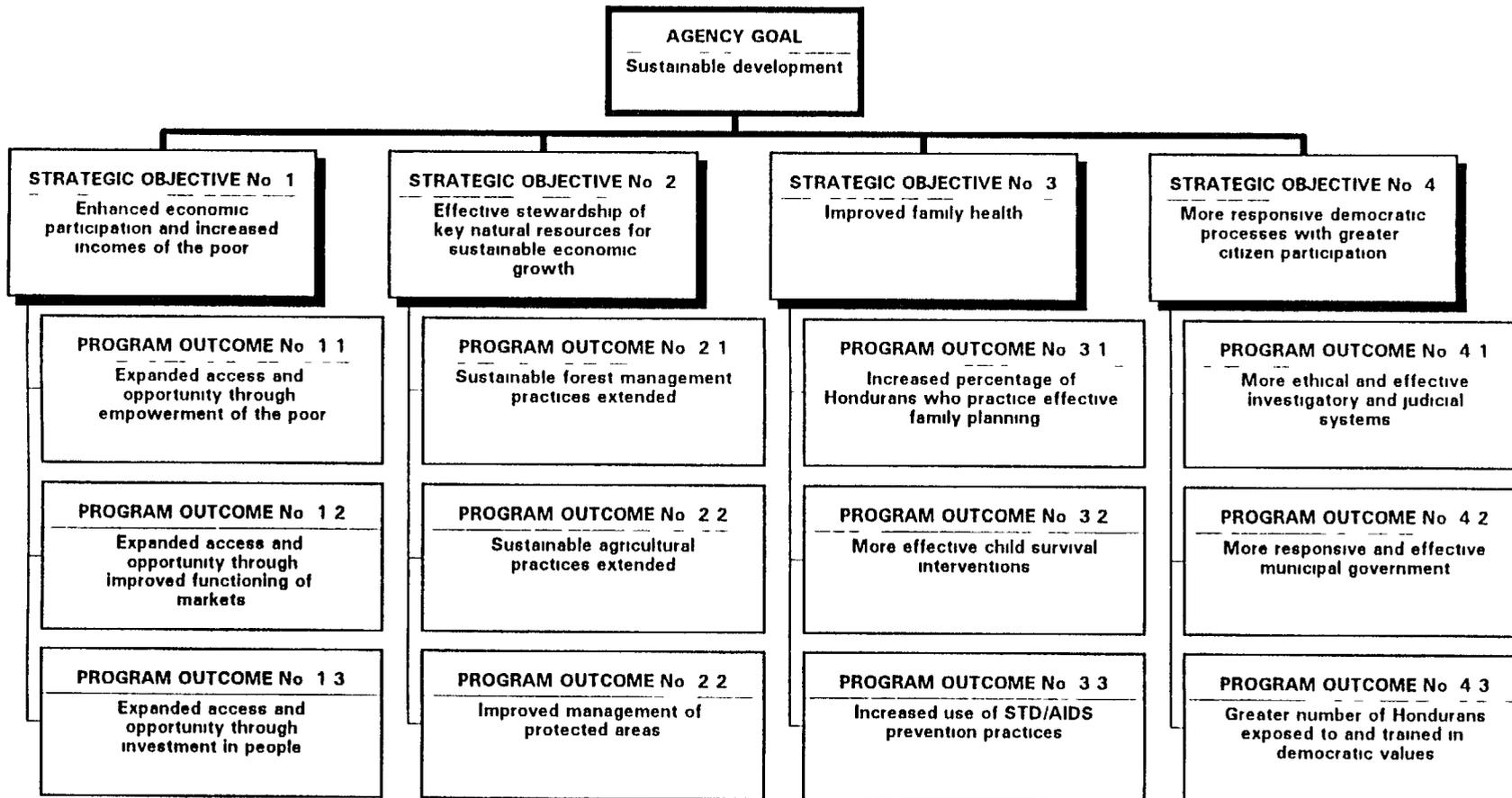
GUYANA



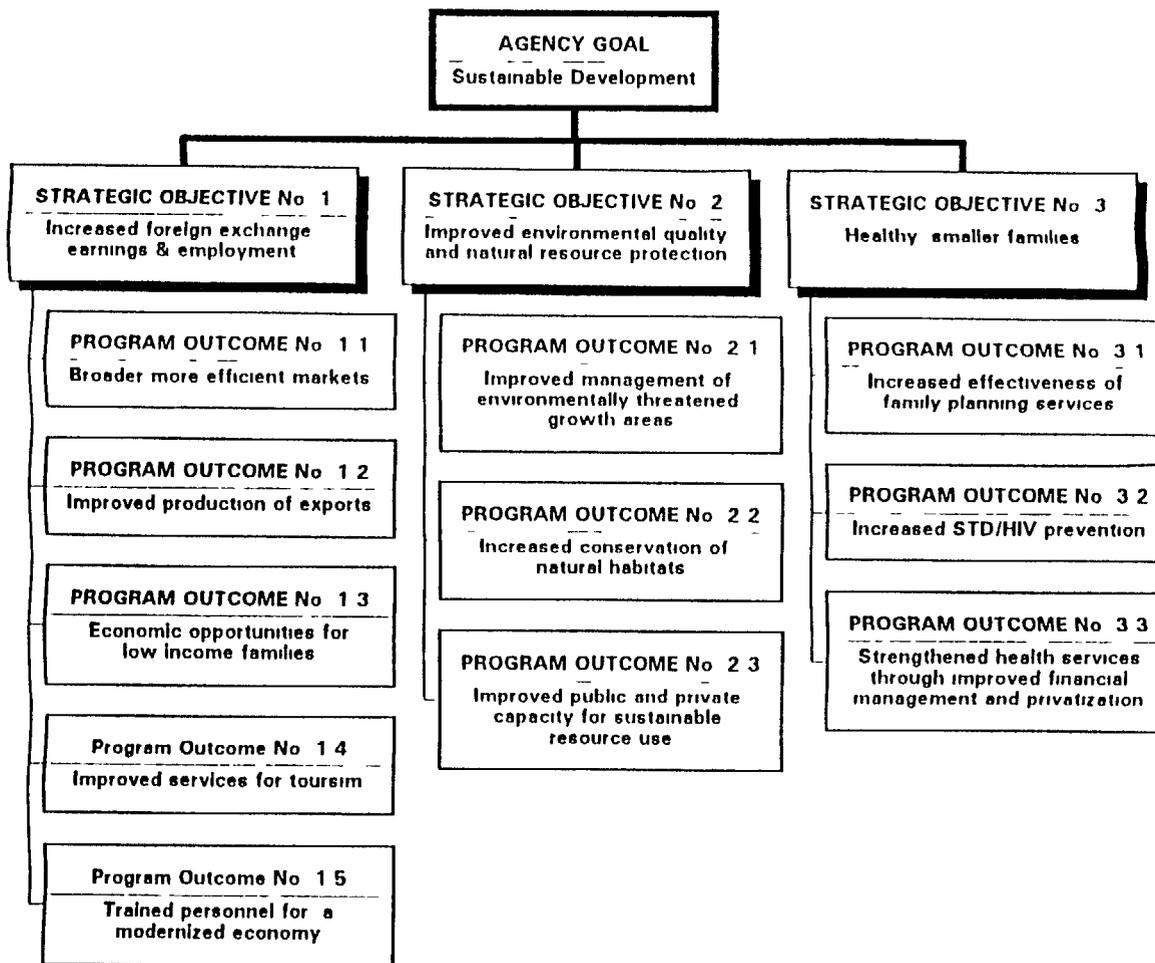
HAITI



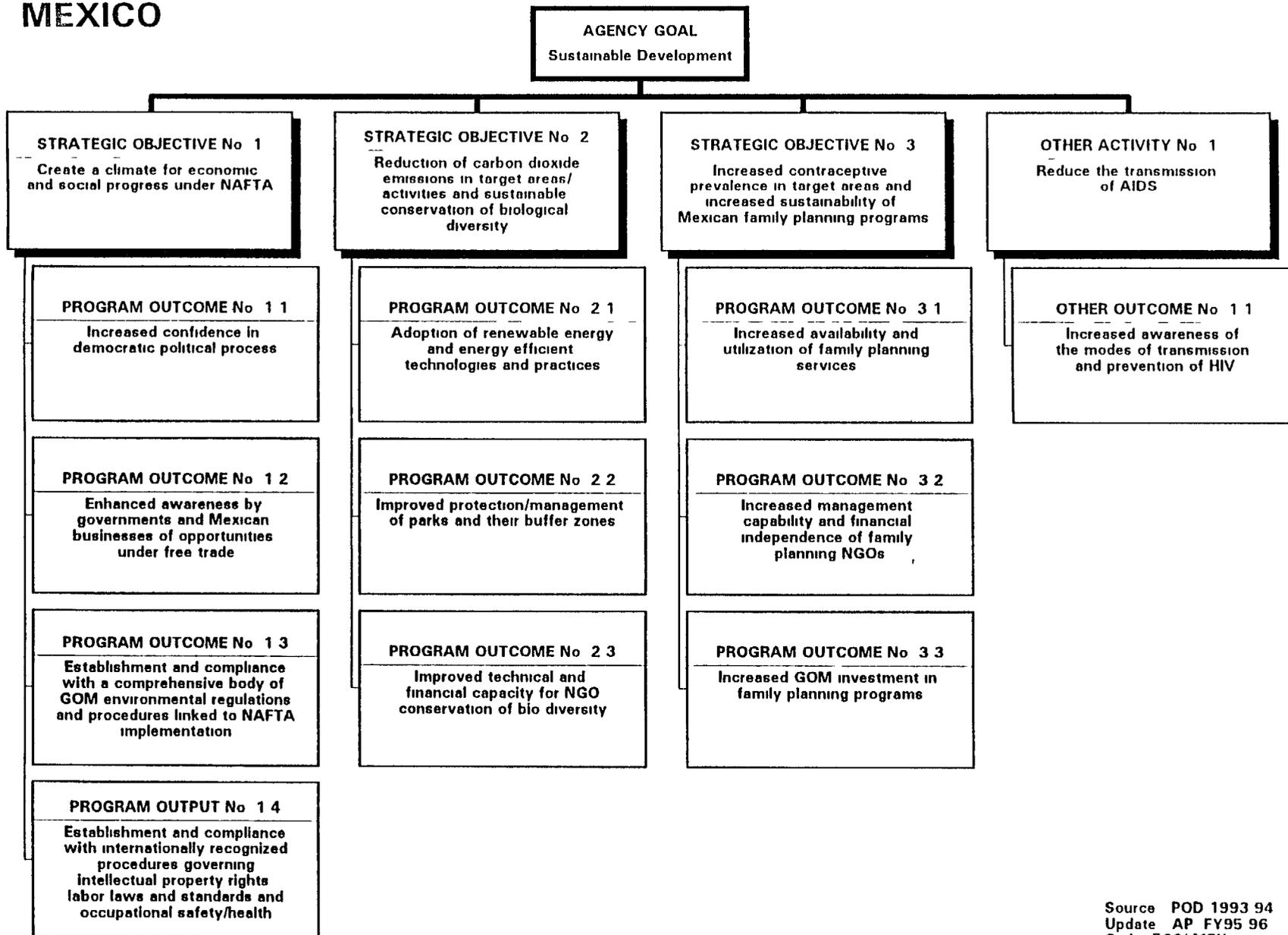
HONDURAS



JAMAICA

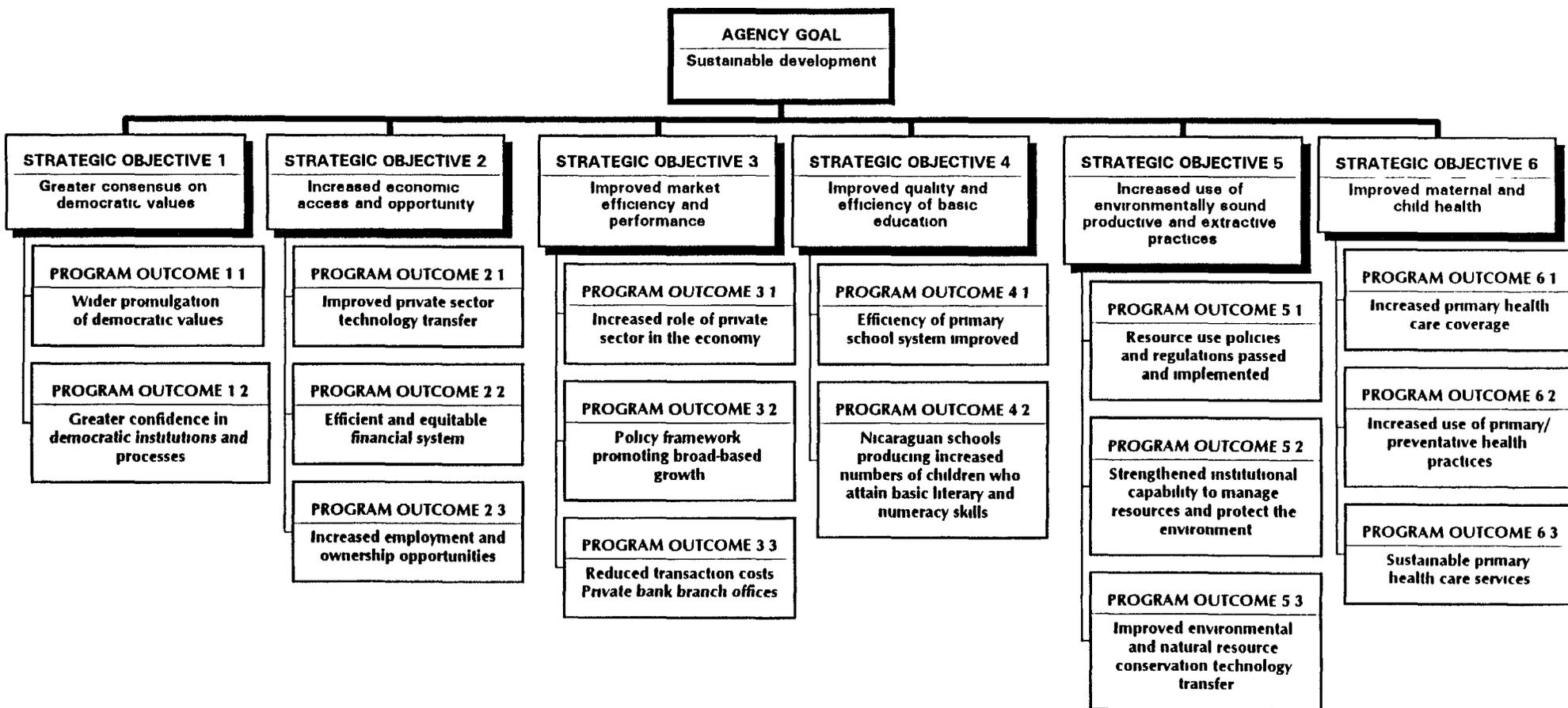


MEXICO

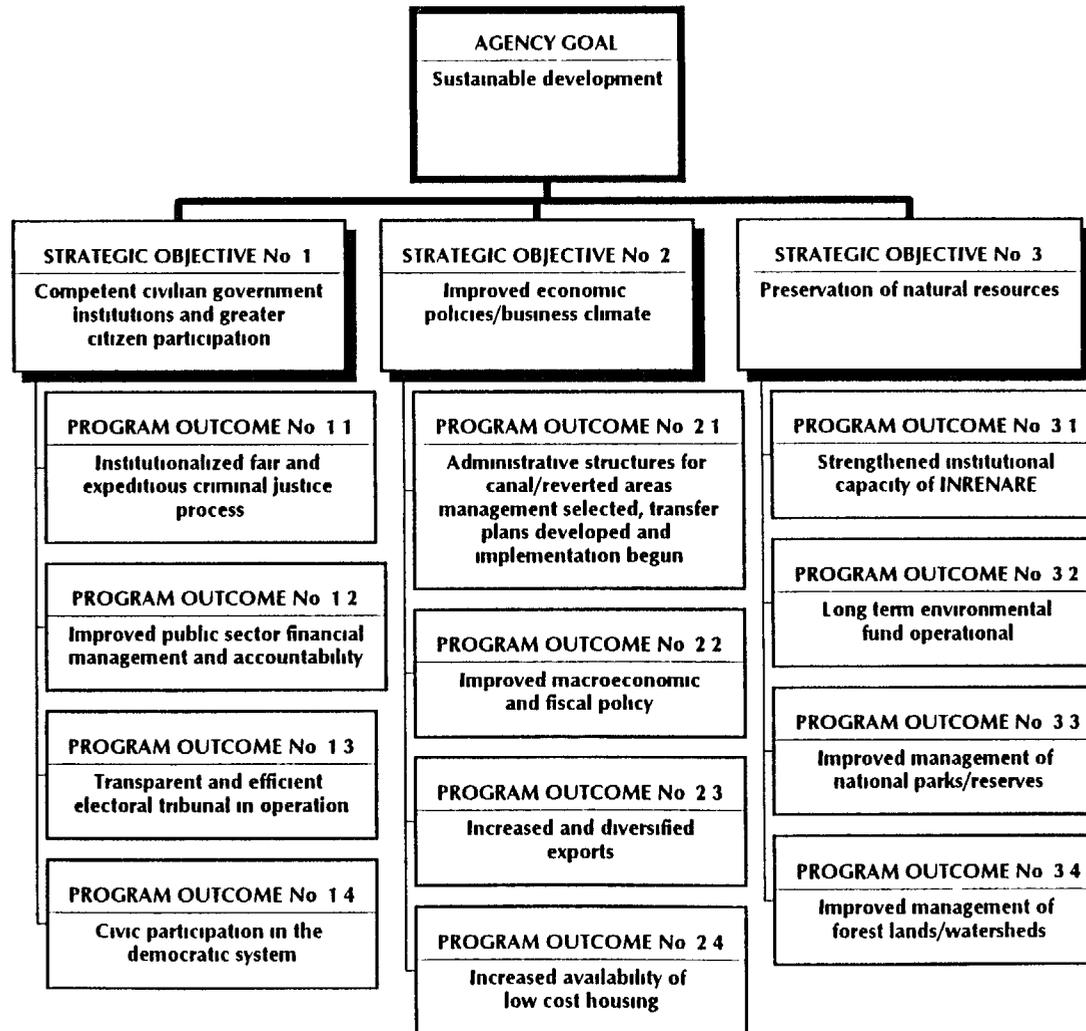


Source: POD 1993 94
 Update: AP FY95 96
 Code: 523/ MEX

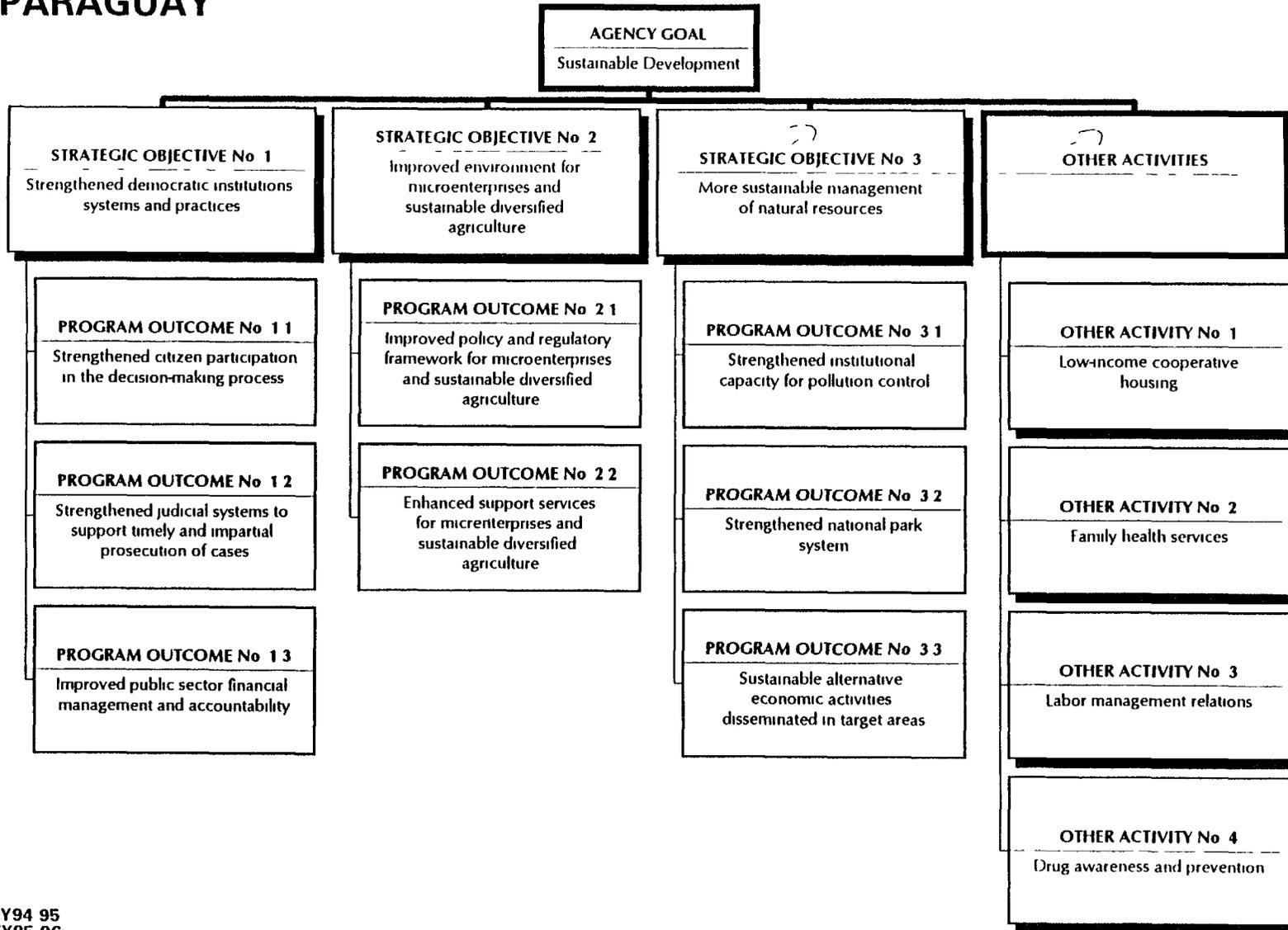
NICARAGUA



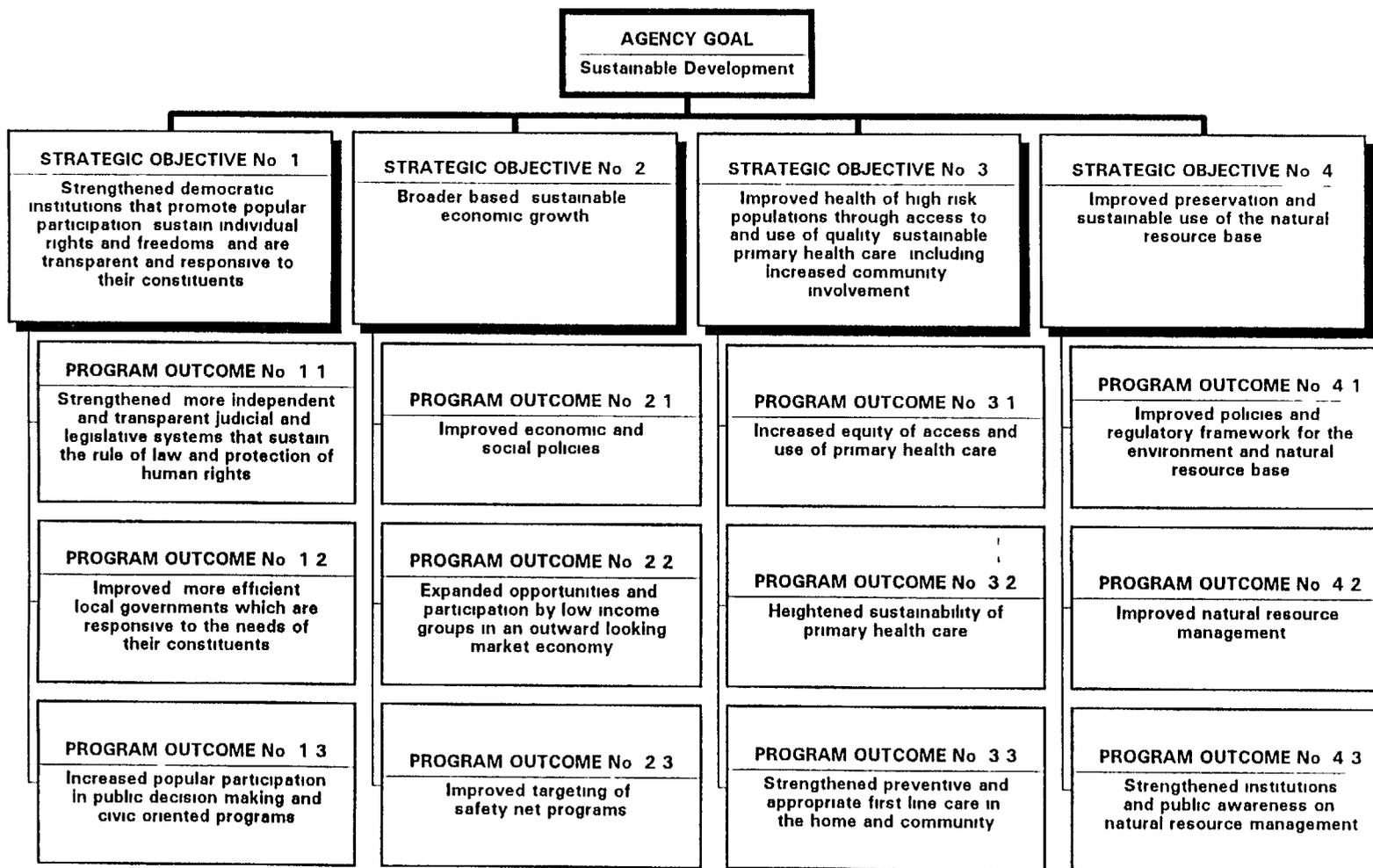
PANAMA



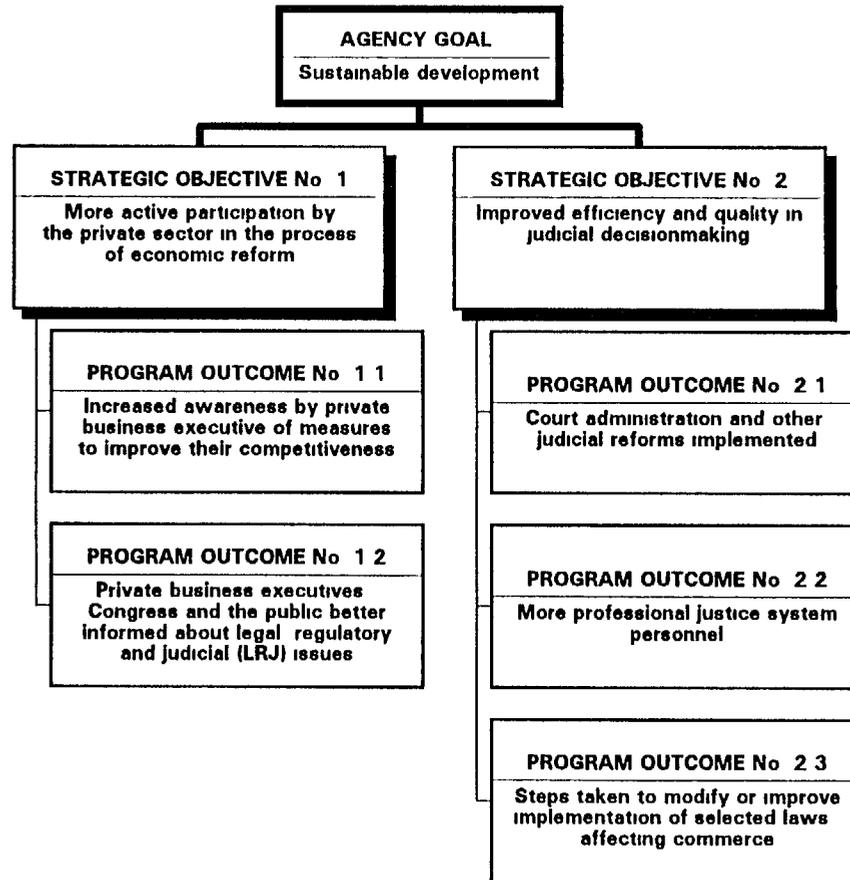
PARAGUAY



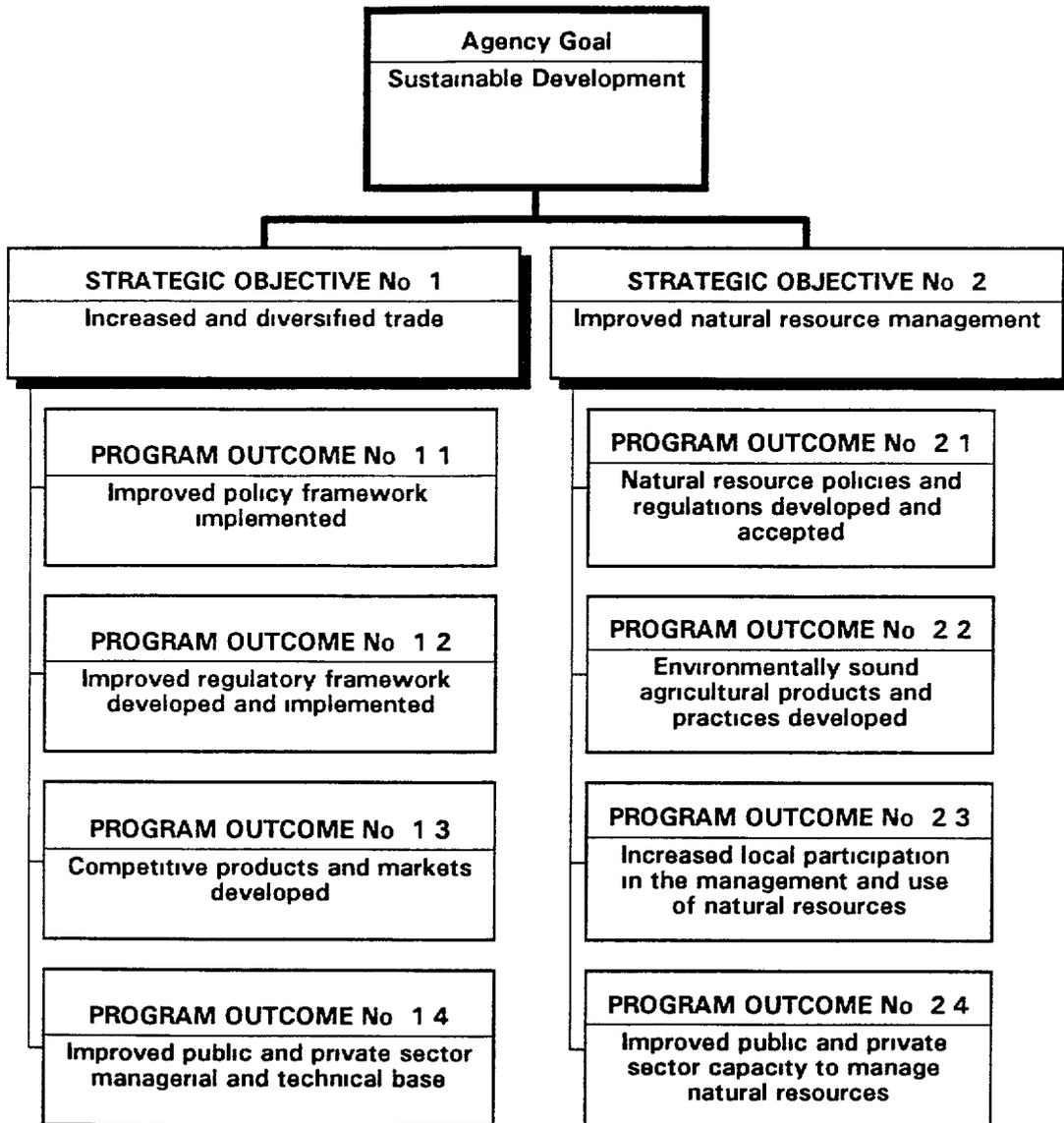
PERU



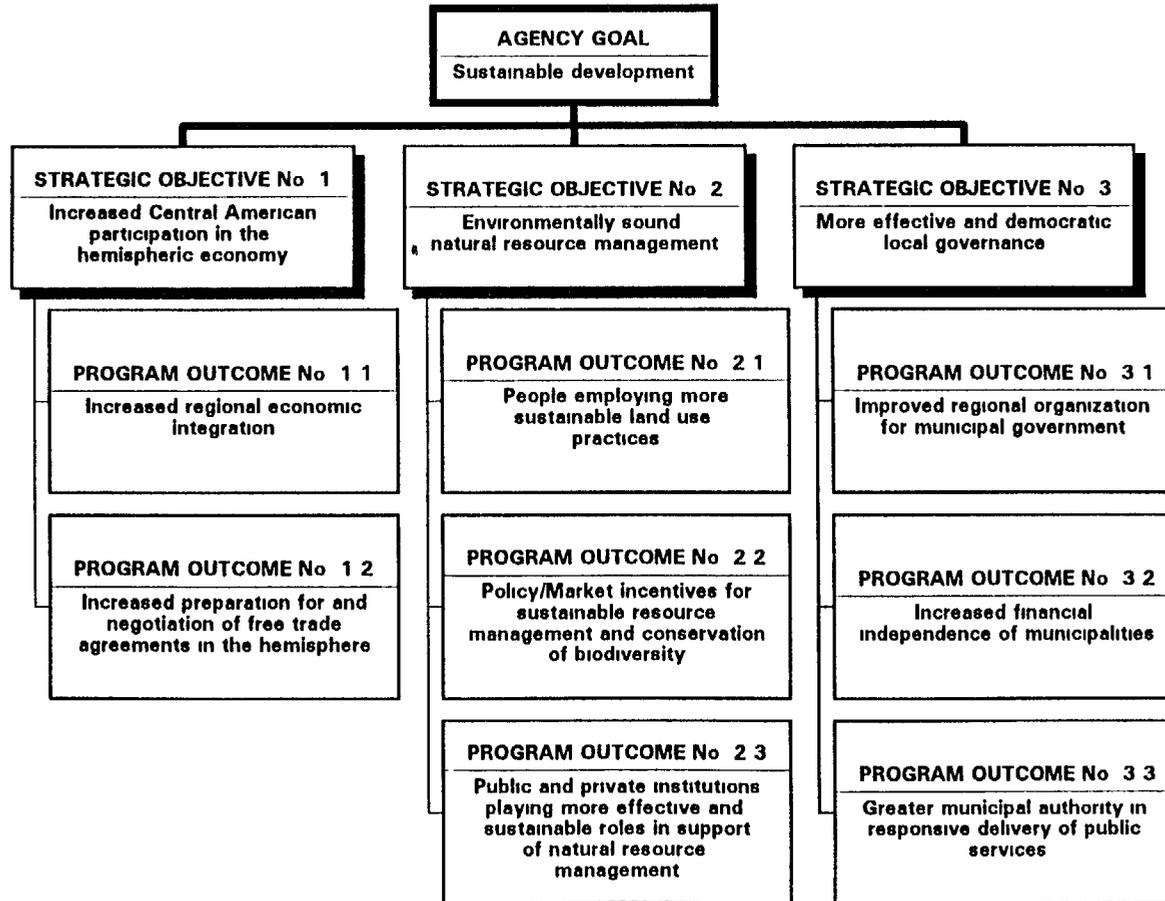
URUGUAY



RDO/C



REGIONAL OFFICE FOR CENTRAL AMERICAN PROGRAMS (ROCAP)



Part Five:
LAC Regional Action Plans

LAC Regional
Agency Goal Broad-Based Economic Growth
STRATEGIC OBJECTIVE NO 1 Increased investment climates and liberalized trade in LAC countries

PROGRAM OUTPUT NO 1 1 Increased Regional Harmonization of trade policy & regulatory reforms required for free trade	PROGRAM OUTPUT NO 1 2 Increased access to information for private and public sector regarding A I D Programs affecting trade opportunities
---	---

Projects (Number\Title)	Projects (Number\Title)
Trade and Investment Development, 598-0797	Trade and Investment Dev 598-0797
Free Trade Expansion 598-0822	

STRATEGIC OBJECTIVE NO 1 Improved investment climates and liberalized trade in LAC countries					
PROGRAM OUTPUT NO 1 1 Increased Regional Harmonization of trade Policy & Regulatory Reforms required for Free Trade					
Indicator 1 1 1 Increasing number of legal and regulatory reforms-related studies in LAC					
Unit	Number for studies		Year	Planned	Actual
Source	Missions, World Bank, IMF, IDB, Contractor Reports	Baseline		-----	
Comments			1992		
			1993	6	1
			1994	8	
		Target	1995	11	
PROGRAM OUTPUT NO 1 2 Increased Access to Information for Private and Public Sector Regarding USAID Programs Affecting Trade opportunities					
Indicator 1 2 1 Number of U S businesses assisted					
Unit	U S businesses		Year	Planned	Actual
Source	Contractor Report, LACBDC	Baseline		-----	
			1992		
			1993	40	90
			1994	40	
			1995	40	

LAC Regional
Agency Goal Broad-Based Economic Growth with Equity
STRATEGIC OBJECTIVE NO 2 Improved, Expanded and Equitable Financial Services for Small Business and Microenterprise in LAC Countries

PROGRAM OUTPUT NO 2 1 Increased Number of Sustainable Microenterprise Banks	PROGRAM OUTPUT NO 2 2 Increased SME Income and Productivity	
--	--	--

Projects (Number\Title)	Projects (Number\Title)	Projects (Number\Title)
598-0820 Sustainable Micro-finance (ACCION)	598-0820 Sustainable Micro-Finance (ACCION)	

STRATEGIC OBJECTIVE NO 2 Improved, Expanded and Equitable Financial Services for Small Business and Microenterprises in LAC Countries

PROGRAM OUTPUT NO 2 1 Increased Number of Sustainable Microenterprise Banks

Indicator 2 1 1 Number of Financial Intermediaries (NGOs) Restructuring Toward Achieving Sustainability

Unit	Number of Intermediaries		Year	Planned	Actual
Source	Grantee Reports, Mission SARs	Baseline		-----	
Comments			1994		
			1995		
			1996	1	
		Target	1997	2	

PROGRAM OUTPUT 2 2 Increased SME Income and Productivity

Indicator 2 2 1 Increased Number of SMEs Receiving Credit

Unit	Number of SMEs		Year	Planned	Actual
Source	Grantee Reports, SARs	Baseline		-----	
Comments	Baseline and targets to be provided under the proposed PVO activity		1994		
			1995		
			1996		
			1997		
			1998		
			Target	1999	

PROGRAM OUTPUT NO 2 2 Increased SME Income and Productivity				
Indicator 2 2 2 Increased SME Income				
Unit		Year	Planned	Actual
Source	Grantee Reports, SARs	Baseline	-----	
Comments	Baseline and targets to be provided under the proposed PVO activity		1994	
			1995	
			1996	
			1997	
			1998	
		Target	1999	

TABLE 2· STRATEGIC OBJECTIVE PROGRAM "TREE"

LAC Regional
Agency Goal Broad-based Economic Growth
STRATEGIC OBJECTIVE NO 3 Improved Human Resource Skills

PROGRAM OUTPUT NO 3 1 Mobilize Demand for Education Policy Reform in LAC Countries	PROGRAM OUTPUT NO 3 2 Strong, Trained Leadership within the Region	PROGRAM OUTPUT NO 3 3 Improved Effectiveness of NGO Volunteer Programs
---	---	---

Projects (Number\Title)	Projects (Number\Title)	Projects (Number\Title)
598-0659 EHRTS	598-0774 ATIE	598-0793, NAPA
598-0819 IAD	598-0661 CLASP II	
598-0823 PERA	598-0791 RTAC II	
	598-0810 RELATE	

STRATEGIC OBJECTIVE NO 3 - Improved Human Resource Skills				
Indicator 3 1 Education sector assessments linked with labor force analyses				
Unit		Year	Planned	Actual
Education sector assessments				
Source LAC/DR/EHR	Baseline	1991	-----	0
		1992	0	0
		1993	1	1
		1994	0	
		1995	1	
		1996	0	
		1997	1	
	Target	1998	0	
Indicator 3 2 Formation of country teams to initiate debate on educational reform				
Unit		Year	Planned	Actual
Number of Country Teams				
Source IAD Grantee	Baseline	1994	4	0
		1995	4	
Comments State of the art analysis of key education policy issues, set of policy briefs accessible to policy makers and non-specialists	Target	1996	4	

PROGRAM OUTPUT NO 3 1 - Mobilization of demand for human resources/education policy reform in LAC countries				
Indicator 3 1 1 Social marketing of human resource/education sector policy reform				
Unit		Year	Planned	Actual
LASER Storyboard and policy simulations	Baseline	1992	-----	0
Source LAC/DR/EHR and field missions		1993	3	10
		1994	7	0
		1995	10	0
		1996	10	0
		1997	10	0
	Target	1998	10	0
	PROGRAM OUTPUT NO 3 2 Strong, Trained Leadership within the Region			
Indicator 3 2 1 LAC trainees in CLASP, CASS, ATIE				
Unit		Year	Planned	Actual
Combined new enrollment starts	Baseline	1992	-----	1,840
Source Contractor/Grantee		1993	1,600	1,652
		1994	1,200	
		1995	1,300	
		1996	1,350	
		1997	1,300	
	Target	1998	1,300	

Indicator 3 2 2 Textbooks provided in CA and SA under RTAC Project						
Unit	Textbooks purchased/calendar year		Year	Planned	Actual	
Source	RTAC Contractor	Baseline	1992	-----	348,914	
Comments			1993	400,000	406,345	
			1994	450,000		
			1995	550,000		
			1996	625,000		
			1997	750,000		
			Target	1998	900,000	
Indicator 3 2 3 Long and short term CLASP/CASS trainees employed in LAC region						
Unit	Employment		Year	Planned	Actual	
Source	Contractor	Baseline	1992	-----	1,799	
Comments			1993	1,453	1,624	
			1994	1,056		
			1995	1,144		
			1996	1,188		
			1997	1,144		
			Target	1998	1,144	

PROGRAM OUTPUT NO 3 3 Improved Effectiveness of NGO Volunteer Programs					
Indicator 3 3 1 Regional workshops for NAPA long term planning and institutional management					
Unit	Workshops		Year	Planned	Actual
Source	Grantee	Baseline	1992	-----	8
Comments			1993	6	6
			1994	6	
			1995	6	
			1996	6	
			1997		
			Target	1998	
Indicator 3 3 2 Small development grants					
Unit	Small development grants		Year	Planned	Actual
Source	Grantee	Baseline	1992	-----	16
Comments			1993	16	16
			1994	16	
			1995	16	
			1996	16	
			1997		
			Target	1998	

Indicator 3 3 3 TA for planning, management evaluation and self financing programs						
Unit	TA visits		Year	Planned	Actual	
Source	Grantee	Baseline	1992	-----	163	
Comments			1993	164	164	
			1994	164		
			1995	164		
			1996	164		
			1997			
			Target	1998		

LAC Regional
Agency Goal Stabilizing Population Growth and Protecting Human Health
STRATEGIC OBJECTIVE NO 4 Increased effectiveness and efficiency of immunization services

PROGRAM OUTPUT NO 4 1 Improved norms for immunization and control of vaccine-preventable diseases	PROGRAM OUTPUT NO 4 2 Improved geographic targeting of immunization program resources	PROGRAM OUTPUT NO 4 3 Decreased reliance on donor financing for immunization services
--	--	--

Projects (Number\Title)	Projects (Number\Title)	Projects (Number\Title)
598-0786 Accelerated Immunization II	598-0786 Accelerated Immunization II	598-0786 Accelerated Immunization II

PROGRAM OUTPUT NO 4 4 Country ICCs functioning effectively

Projects (Number\Title)
598-0786 Acc Immunization II

STRATEGIC OBJECTIVE NO 4 Increased effectiveness and efficiency of immunization services

Indicator 4 1 Missed opportunities to vaccinate reduced 50% or more in LAC Child Survival Emphasis countries

Unit	Number of countries	Baseline	Year	Planned	Actual
Source	Missed opportunities studies coverage surveys, where conducted		1990		
Comments	This indicates efficiency of service delivery. A missed opportunity to vaccinate is a contact with the health system of a person needing vaccination which does not result in vaccination. The 9 targetted countries are the LAC region's Child Survival Emphasis countries: Peru, Bolivia, Ecuador, Guatemala, Honduras, El Salvador, Nicaragua, Haiti and the Dominican Republic.		1992	3	1
			1993	5	1
			1994	7	
			1995	9	
			1996	9	
		Target	1997	NA	

Indicator 4 2 LAC Child Survival Emphasis countries where 75% or more of municipios have 90% or higher coverage of first dose of polio or DPT vaccine

Unit	Number of countries	Baseline	Year	Planned	Actual
Source	Country MOH Reports to PAHO Coverage surveys, where conducted		1990	-----	0
Comments	This indicates increased effectiveness of vaccination system in reaching entire countries with some services. Both polio vaccine and DPT vaccine require 3 applications to be fully effective. Delivery of the first dose of either indicates that vaccination services reach that place. This indicator is changed to measure progress by Child Survival Emphasis countries, rather than the LAC region as a whole.		1992	NA	1
			1993	5	2
			1994	8	
			1995	9	
			1996	9	
		Target	1997	NA	

PROGRAM OUTPUT NO 4 1 Improved norms for immunization and control of vaccine-preventable diseases

Indicator 4 1 1 LAC Child Survival Emphasis country norms for immunization and control of vaccine-preventable diseases conform to regional standards

Unit	Number of countries	Year	Planned	Actual
Source	PAHO Staff Analysis	Baseline	-----	0
Comments	New indicator Better reflects impact than previous one PAHO will analyze national norms during next year	1992	0	0
		1993	9	
		1994	9	
		1995	9	
		1996	9	
		Target	1997	NA

PROGRAM OUTPUT NO 4 2 Improved geographic targeting of immunization program resources

Indicator 4 2 1 LAC Child Survival Emphasis countries where resources are allocated to districts with lower than average coverage or higher than average disease incidence

Unit	Number of countries	Year	Planned	Actual
Source	PAHO project reports, based on country annual workplans	Baseline	-----	0
Comments	This indicator measures whether program resources are being applied in proportion to the problem, rather than the size of the population	1992	0	0
		1993	3	Not yet avail
		1994	6	
		1995	9	
		1996	9	
		Target	1997	NA

PROGRAM OUTPUT NO 4 3 Decreased reliance on donor financing for immunization services					
Indicator 4 3 1 LAC Child Survival Emphasis countries with increased proportion of recurrent costs of immunization programs paid with national funds					
Unit	Number of countries		Year	Planned	Actual
Source	PAHO Project Reports, based on monitoring of country annual plans	Baseline	1991	-----	
Comments			1992	0	5
			1993	3	5
			1994	6	
			1995	9	
			1996	9	
		Target	1997	NA	
PROGRAM OUTPUT NO 4 4 Country ICCs functioning effectively					
Indicator 4 4 1 LAC Child Survival Emphasis countries where ICC meetings include NGO sector membership and are used to monitor program funding					
Unit	Number of countries		Year	Planned	Actual
Source	ICC Minutes	Baseline	1991	-----	0
Comments	This is a summary of several project output indicators ICC=Interagency Coordinating Committee, composed of donors and host country implementing agencies, all 9 Child Survival Emphasis countries have ICCs (There is also a regional one, without membership of implementing agencies)		1992	9	0
			1993	9	3
			1994	9	
			1995	9	
			1996	9	
		Target	1997	NA	

20

LAC Regional
Agency Goal Stabilizing Population Growth and Protecting Human Health
STRATEGIC OBJECTIVE NO 5 - Reduce HIV Transmission in the LAC Region

PROGRAM OUTPUT NO
5 1 - Decrease in rate of
HIV/AIDS Transmission in
LAC

Projects (Number\Title)
598-0824 Program to Reduce HIV/AIDS

STRATEGIC OBJECTIVE NO 5 Reduce HIV Transmission in the LAC Region					
Program Output No 5 1 Decrease in rate of HIV Transmission in LAC					
Unit	% Decrease in Transmission		Year	Planned	Actual
Source	Survey/project data	Baseline		-----	
Comments			1993	-	
			1994		
			1995		
			1996		
			1997		
			Target	1998	

LAC Regional
Agency Goal Protecting the Global Environment (Biological Diversity)
STRATEGIC OBJECTIVE NO 6 Improved management of critical LAC parks and protected areas from a variety of ecological zones

INDICATORS
* Area/number of parks and protected areas where immediate threats to ecological integrity are addressed (Disaggregated by ecosystem type, with targets)
* Area/number of parks and protected areas sustainably funded from non-USAID sources

<p>PROGRAM OUTPUT NO 6 1 Strengthened government capacity for on-site protection of targeted parks and protected areas</p> <p>-----</p> <p>INDICATORS</p> <p>* Adequately trained park guards and park rangers at all sites (according to plan)</p> <p>* Adequate infrastructure at each site (i e , guard houses, trails) constructed according to environmental guidelines (as needed)</p> <p>* Adequate personnel and equipment available for demarcating and patrolling essential park boundaries</p> <p>* Government funding of park site personnel and infrastructure (set target?)</p>	<p>PROGRAM OUTPUT NO 6 2 Strengthened capacity of targeted NGOs for long-term conservation of on-site biological diversity</p> <p>-----</p> <p>INDICATORS</p> <p>* Local NGOs receiving sustainable funding from fundraising, debt swaps, etc</p> <p>* # of NGOs effectively strengthened (according to TNC criteria)</p> <p>* # of local NGOs participating in development and implementation of improved government policies</p> <p>[* NGO Workplans which address threats to key ecological zones approved by USAID??]</p>	<p>PROGRAM OUTPUT NO 6 3 Community constituency developed to support long-term management of targeted parks and protected areas</p> <p>-----</p> <p>INDICATORS</p> <p>* # of people (by site, gender and ethnicity) aware of importance of local park site</p> <p>* # of people (by gender, ethnicity) participating in day-to-day planning and management of park sites</p> <p>[* # of people (by gender, ethnicity) gaining economic benefits from alternative sustainable economic activities at and around park sites??]</p>
---	---	--

Projects (Number\Title)	Projects (Number\Title)	Projects (Number\Title)
Parks in Peril (598-0782)	Parks in Peril (598-0782)	Parks in Peril (598-0782)

LAC Regional
Agency Goal Democracy
STRATEGIC OBJECTIVE NO 7 Support and Strengthen Regional Democracy Networks and Institutions

PROGRAM OUTPUT NO 7 1 Support and Strengthen Regional Democracy Institutions	PROGRAM OUTPUT NO 7 2 Support and Strengthen Regional Democracy Networks
---	---

Projects (Number\Title)	Projects (Number\Title)
598-0591 Human Rights Initiatives (IIDH/CAPEL)	598-0813 Partners/ Conciencia Civic Ed
598-0802 LA Journalism	598-0800 Accountability & Financial Management
	598-0826 LAC Regional Support (to Strengthen Democracy
	598-0828 Legislative Linkage Project

STRATEGIC OBJECTIVE NO 7 Support and Strengthen Regional Democracy Networks and Institutions				
PROGRAM OUTPUT 7 1 Support and Strengthen Regional Democracy Institutions				
Indicator 7 1 1 Lessened Dependence on USG funds				
Unit		Year	Planned	Actual
Source Recipient Financial Reports	Baseline		-----	
Comments This is one way to indicate the strength of a regional institution Targets to be established during upcoming year		1994	-	
		1995	-	
		1996	-	
		1997	-	
		1998		
	Target	1999		
Indicator 7 1 2 Involvement/Legitimacy of Regional Organizations				
Unit				
Source	Baseline		-----	
Comments Regional organizations actively involved in important issues in the region will become more knowledgeable and respected as organizations		1994		
		1995		
		1996		
		1997		
		1998		
	Target	1999		

PROGRAM OUTPUT NO 7 2 Support and Strengthen Regional Democracy Networks				
Indicator 7 2 1 Strengthened Judicial, Legislative, Civic Education, etc NGOs in LAC				
Unit		Year	Planned	Actual
Source	Baseline		-----	
Comments This indicator is very difficult to measure using quantitative indicators If local NGOs communicate and network with each other and achieve results, then the NGOs can be assumed to have been strengthened		1994		
		1995		
		1996		
		1997		
		1998		
	Target		1999	

AGENCY DIRECTIVE

**SETTING AND MONITORING
PROGRAM STRATEGIES**

**Bureau for Policy and Program Coordination
U.S. Agency for International Development
Washington, D.C. 20523**

May 27, 1994

SETTING AND MONITORING PROGRAM STRATEGIES

TABLE OF CONTENTS

	Page
I INTRODUCTION	1
Applicability	1
Purpose	1
Definitions	1
Responsibilities	3
Supplementary References	3
II SETTING PROGRAM STRATEGIES	3
Objectives	3
III ORGANIZATIONAL FRAMEWORK FOR SETTING PROGRAM STRATEGIES	4
Agency Policy and Program Guidance	4
Bureau-level Strategy Statements	4
Strategic Plans for Operational Units	4
Country-level Programs	4
Regional and Central Programs	5
Consultation and Participation	5
IV. FACTORS AFFECTING PROGRAM STRATEGIES	6
Development needs, constraints, and opportunities	6
USG assistance objectives	6
Potential for sustainable impact	6
Expected resource levels	6
V DOCUMENTATION REQUIREMENTS	7
Purposes	7
Periodicity	7
Contents	7
Operational bureau supplementary guidance	11
Changes in strategic plans	11

VI	REVIEW AND APPROVAL REQUIREMENTS	12
	USAID/W review and approval	12
	Recording agreement	13
	Host country review	13
VII	SPECIAL CASES	14
	Targets of Opportunity	14
	Rapid Response Programs	14
VIII.	MONITORING STRATEGY IMPLEMENTATION	15
	Objectives	15
IX.	REQUIRED ELEMENTS OF A STRATEGY MONITORING FRAMEWORK	15
	Clearly defined performance targets	15
	Established procedures for data collection and analysis	15
	Annual progress reviews	15
	-	
X	USAID/W PROGRAM PERFORMANCE REVIEWS	16
	Purpose	16
	Scope	16
	Periodicity	16
	Procedures and documentation	17
XI	PROGRAM PERFORMANCE ASSESSMENTS	17
<hr/>		
XII	ANNUAL AGENCY REPORT ON PROGRAM PERFORMANCE	17

SETTING AND MONITORING PROGRAM STRATEGIES

I. INTRODUCTION

APPLICABILITY

This directive on setting and monitoring program strategies is applicable to the full range of Agency assistance, with the exceptions of emergency disaster assistance, emergency food aid authorized under Title II of the Agricultural Trade Development and Assistance Act of 1954, as amended (P L 480),* and activities undertaken by the Office of Transition Initiatives. Other exceptions may be made by PPC, in consultation with the Administrator.

[*Applicability of these provisions to P L 480 Title II development programs is subject to prior consultation through the Food Aid Consultative Group]

PURPOSE

This directive establishes uniform terminology, standards, and requirements for defining strategic direction of Agency programs and monitoring progress in implementing those strategies. This directive supercedes Chapters 1-4 of Part I, Planning, in Handbook 2 and any previously issued Agency guidance on strategy document preparation (CDSSs and successor documents), and shall govern strategy development and monitoring of strategy implementation for all categories of assistance, as defined under Applicability, above

DEFINITIONS

Assistance A general term which refers to all the different ways in which the Agency transfers resources to support the purposes established in applicable foreign assistance legislation

Activity A USAID-funded assistance effort organized to contribute to a clearly-defined program outcome

Program A collection of USAID-funded activities which share a common set of program outcomes, usually within one sector, and, together, contribute toward achievement of a higher-order strategic objective

Project See Activity

Portfolio The sum of USAID-funded programs being managed by a single operational unit

Operational unit An organizational unit which has been delegated program management authorities for a portfolio of programs and activities. Usually a field mission or equivalent, a USAID/W functional office or center of excellence

Strategic plan: A delimitation of the strategic-level objectives an operational unit plans to pursue and description of how it plans to deploy resources to accomplish them, a strategic plan is prepared for each portfolio, whether it is managed at a country level, regionally, or centrally

Action plan. That section of a strategic plan which describes the actions needed to implement the strategy in the current fiscal year and the two successive budget years. It is updated annually, providing a "rolling" set of three-year plans for strategy implementation and serving as a basis for the development of the Agency's annual budget request.

Strategic objective A significant development result which can be achieved or toward which substantial progress can be made and for which the operational unit is held accountable in an approved strategic plan. Typically, the time-frame of a strategic objective is 5-8 years for sustainable development programs, but may be shorter for programs operating under conditions of uncertainty

Program outcome A measurable outcome of one or more activities which, in turn, contributes to a higher-order strategic objective, the intermediate level in the hierarchy of objectives linking specific activities to strategic objectives

Performance indicator A particular characteristic or dimension for measuring the change intended by a program strategy. Different indicators are developed to measure change at the levels of a strategic objective, a program outcome, and the outputs of a specific activity. Performance indicators are used to observe progress and to assess the actual result of a program strategy or activity compared to the intended progress and result

Strategy statement A summary statement of broad strategic direction and program goals at the Agency or operational Bureau level, a strategy statement provides the framework for the development of strategic plans by individual

operating units, and may set parameters on the selection of strategic objectives and/or programmatic approaches

RESPONSIBILITIES

Under the Administrator's overall strategic direction, the Bureau for Policy and Program Coordination (PPC) will issue the policy and program guidance for strategic planning, coordinate strategy reviews with all concerned bureaus and offices, clear all strategic plans, and authorize any exceptions to Agency-wide standards or requirements

Operating bureaus will set the overall direction for bureau programs, ensure that strategic plans conforming to agency and bureau priorities are in place for each operational unit, and ensure that monitoring and progress reviews are conducted in accordance with these directives

Missions and USAID/Washington offices with program-funded portfolios will develop strategic plans in accordance with these directives, pursue, monitor and report on them, and redirect resources as indicated by analysis of program performance

SUPPLEMENTARY REFERENCES

Refer to guidance on strategic planning and program performance measurement provided by PPC/CDIE, and to annual programming guidance to operational units provided by PPC and the Bureau for Management (M)

II. SETTING PROGRAM STRATEGIES

Objectives

The objectives of strategic planning in USAID are -

(i) to provide a vehicle for making program choices through a participatory process involving relevant stakeholders,

(ii) to focus the Agency's assistance efforts so as to achieve tangible development results, and

(iii) to establish a planning framework for allocating Agency resources and for monitoring the progress and effectiveness of the Agency's programs in accomplishing their objectives

III ORGANIZATIONAL FRAMEWORK FOR SETTING PROGRAM STRATEGIES

Agency policy and programming guidance Broad program priorities and related guidance on implementing Agency program policy shall be established by USAID/W from time to time in the form of policy directives and programming guidance. These may apply to programs Agency-wide, or to a single bureau or sector of assistance. In all cases, they must be issued or cleared by the AA/PPC.

Bureau-level strategy statements Within the parameters of such Agency-wide policy and programming guidance, individual operating bureaus may wish to issue strategy statements to establish program priorities specifically directed to the portfolios under their management authority. Such statements, which are optional, provide progressively greater focus to the strategic choices to be made by individual operating units. They may delimit how specific problems should be addressed, or they may offer a menu of program priorities. These statements shall be cleared by the AA/PPC to ensure consistency with Agency policy.

Strategic plans for operating units. Within the parameters established by Agency-wide and bureau-level strategy statements, and any other country-specific planning guidance issued by PPC, individual operating units shall develop strategic plans for programs under their direction. All strategic plans shall be subject to USAID/W review (see Section VI).

Country-level programs Strategic plans will normally be formulated at the country level, except where programs are transnational in scope or require centralized management (see following paragraph). Strategic plans for country-level programs shall define the relationship between country-level and Agency priorities and shall cover all USAID-funded activities in the respective country, including those funded by USAID/W (such as non-emergency food aid and centrally managed field support resources) as well as those funded by the field mission. These plans shall clearly delineate the types of support the mission program requires from USAID/W bureaus, the mission's management responsibility for the execution of centrally funded activities in that country, and

any additional resources required to support centrally funded activities in the field

Regional and central programs. Agency assistance objectives may be pursued through regional or central programs formulated and managed by USAID/W, or by regional missions in the field, where the following conditions apply

(a) where, due to the nature of the assistance objective, program management cannot be disaggregated to the country level without significant loss of impact and/or efficiency (e g , transnational problems, regional institutional support, some kinds of research),

(b) where reliance on country-level programming is unlikely to meet USG assistance policy objectives (e g , incorporating new policy priorities), or

(c) where limitations of staff positions or technical capacity in the field require that strategies for assistance programs be developed and implemented centrally by USAID/W staff

Strategic plans for regional and central programs shall be developed by the operational unit which has program management responsibilities for those activities, and shall cover all activities handled by that unit. These plans shall be tailored to the nature of the programs managed by that unit and clearly distinguish between those developmental objectives for which the unit is accountable, and the management and technical services to be provided in support of mission strategic objectives

Consultation and participation All program strategies shall be developed, updated, and monitored in consultation with relevant development partners. Development partners include (a) parties that play a significant role in host-country approval and the implementation of USAID-supported programs, (b) representatives or recognized spokespersons for people likely to be affected by USAID-supported policies or programs, ranging from business, professional, and civic associations, to poor and marginalized groups, and (c) other donors, research and educational centers, and other institutions addressing objectives similar or complementary to those of USAID in the country

IV FACTORS AFFECTING PROGRAM STRATEGIES

Development needs, constraints, and opportunities

The development needs and opportunities present in that country, region, or sector are at the center of the strategy development process and are critical in determining fundamental strategic choices. These are determined after consultation and analysis of the development performance to date in that country, region, or sector, and the relevant development constraints and options.

USG assistance objectives

Host country, regional, or sectoral development needs must be seen in the context of the US government's assistance objectives. Those objectives may be stated in legislation, Executive Orders, National Security Directives, or other policy statements issued by the legislative or executive branch. Those objectives frame the Agency's response to the development needs and opportunities in any given program portfolio.

Guidance on these factors will be provided by PPC in its policy and program guidance, and may be supplemented in bureau-level strategy statements.

Potential for sustainable impact

Program strategies should focus in those areas where it is thought that Agency assistance can, within the manageable interest of the operating unit, achieve significant program results within the planning period and where those results can be expected to produce sustainable development impact. This requires focussing on a limited number of development constraints selected on the basis of a realistic assessment of (i) the Agency's experience and/or comparative advantage in that programmatic approach and ability to respond appropriately to those needs, (ii) the expected role and contribution of other donors working in that country or sector, and (iii) the likelihood that the necessary and sufficient country or regional conditions for a successful program are or can be met.

Expected resource levels

The volume and stability of projected resource flows should be considered in selecting program strategies, as well as the level of staff resources available to manage and technically guide the program. Guidance on these factors should be provided by the operational bureau, in consultation with PPC.

V DOCUMENTATION REQUIREMENTS

Purposes For each portfolio of country, regional, or central programs, a strategic plan shall be prepared which meets four purposes

- 1 To define what strategic objectives will be pursued in the program portfolio, how they will be achieved, and what level of program and staff resources will be required to achieve them
- 2 To provide a stable planning framework for directing the work of operational staff, setting budgets, and identifying required USAID/W and other support services over the planning period
- 3 To define how progress toward broad development objectives will be measured and reported
- 4 To continue to build support for the choices made during the strategic planning process by informing others, both within and outside USAID, about the objectives and content of the program portfolio

Periodicity Except as provided in Section VII, all operational units are expected to have a strategic plan in place at all times. The strategic plan for an operational unit shall be revised as necessary (see Changes in Strategic Plans, page 11) and in such cases, is subject to USAID/W review

The Action Plan section of the strategic plan (see page 10) shall be updated annually. These Action Plan updates will be submitted to USAID/W for approval. Adjustments to or refinements of current strategies may be made in the context of these annual Action Plan updates.

Contents. A strategic plan shall include three sections, or parts, as described in the following pages and only the information needed to meet the purposes described under Purposes, above. Page length will vary depending upon the nature of the program, and normally, should not exceed 30 pages. In some instances, strategic plans may not need to be more than two-three pages.

Part I - Summary Analysis of Assistance Environment Part I shall provide a brief narrative describing key features of the assistance environment, including (i) significant macro-economic and socio-political trends, (ii) overall development prospects, (iii) an analysis of constraints and opportunities, (iv)

other donor programs, (v) the accomplishments of and lessons learned from prior experience in the country or region, or, for central programs, respective development sector, (vi) the accountability environment, and its strengths and weaknesses, and (vii) for bilateral assistance programs, an assessment of when and under what conditions the bilateral assistance program is expected to phase-out

Sections (iii) - (vi) may be limited to an analysis of the sectors and/or sub-sectors in which Agency assistance will be directed. Selection of sectoral focus shall be guided by prevailing Agency policy priorities and, for country and regional programs, informed by a broad overview of the economy and the potential role of that sector in that country or region in meeting development goals, derived from consultations with development partners (see Section III, above) as well as from other information sources and analyses

This material is not germane to field support activities, since those are derived from country-level programs. This section, then, may be dropped for those portfolios which are exclusively devoted to field support.

Part II Proposed Strategy, Rationale, and Key Assumptions This section should be a summary of the proposed program strategy, and shall include the following

(a) a statement of strategic objectives and brief rationale for their selection
The strategic objectives which are selected for each portfolio shall set the direction for the selection and design of the assistance activities to be carried out in that portfolio over the time-frame of the plan

The selection of a strategic objective shall be informed by all the factors listed in Section IV. It should represent a correspondence between development needs and USG assistance priorities, in a program area where USAID, in concert with the host country and other donors, can bring to bear appropriate kinds of expertise and levels of financial resources to have a measurable impact

For central and regional strategic plans, this section should be appropriately adapted to include field support, research, and/or global program objectives in that portfolio, and the considerations which influenced their selection

The number of strategic objectives a mission, functional office, or center of excellence may identify for its portfolio will depend most importantly on the

expected program and staffing levels over the planning period. Other factors will include the absorptive capacity of targeted program sectors and the need to meet current and on-going program commitments. Generally an operational unit will have between one and five strategic objectives. More specific guidance on the number of strategic objectives may be provided by the cognizant bureau.

(b) a summary description of the key problem areas to be addressed in order to achieve the strategic objectives, the programmatic approaches the operating unit proposes to address those problems, and the specific program outcome(s) to be accomplished as a result. In selecting an appropriate programmatic approach for achieving a strategic objective, a mission or office shall consider the following:

- (i) the nature of the problems which need to be addressed if the strategic objective is to be achieved,
- (ii) the feasibility and appropriateness of the proposed programmatic approach to those problems,
- (iii) USAID's comparative advantage and experience in that programmatic approach and the issues implicit in that approach,
- (iv) consistency or complementarity with other donor activity in related areas,
- (v) commitment and political will of the host country and/or other development partners to support the approach, and
- (vi) the availability of institutional partners and suitable delivery mechanisms

For any selected set of programmatic approaches, a corresponding program outcome must be defined. The program outcome represents the intermediate level in the hierarchy of objectives which link specific assistance activities to accomplishment of an approved strategic objective. Program outcomes must be specific, measurable, and achievable within a defined time-frame. When applicable, this section should advise how achievement of the proposed program outcomes may be related to other donor assistance.

(c) the performance indicators and targets against which progress in implementing the strategy can be measured. Operational units will identify a

few, select indicators and corresponding targets for monitoring and evaluating progress toward the agreed-upon strategic objectives and program outcomes. These indicators and targets shall represent a clear statement of what changes the operational unit expects to see if the strategy is successfully implemented (definition of success), the time-frame within which these changes are expected, the methods to be used for measuring progress, and the periodicity of measurement tools. Performance indicators and targets will constitute the basis for assessing the performance of an operational unit's portfolio and for reporting on the development results being achieved, or, in the case of field support, the management efficiencies gained.

(d) key assumptions which underlie the expectations that the proposed programs will be successful and will contribute to the stated strategic objectives. The purpose of this section is to highlight the risks implicit in the proposed strategy, particularly those risks in the external environment over which USAID exercises no control. An assessment of these risks will be central to analysis of the feasibility of the proposed strategy.

Part II shall also include a Program Logframe, Objectives Tree, or equivalent analytical tool to present in summary fashion the hierarchy of objectives in the strategic plan.

(e) brief description of the consultations used, and how the strategy document was influenced by these consultations.

Part III Action Plan

This section of the strategic plan shall describe the actions needed to implement the strategy in the current fiscal year and the two successive budget years. It shall be updated every year, providing a "rolling" set of three-year plans for strategy implementation and serving as a basis for the development of the Agency's annual budget request. It shall include the following:

(a) for each strategic objective and related program outcome(s), a list of the assistance activities proposed for funding in the next two budget years, specifying the proposed type of assistance and approximate time-frame for each,

(b) resource requirements to carry out the strategy over the current and subsequent two years, including program dollars, OE dollars, FTEs, and USAID/W technical or other support,

(c) **update on other donor programs** underway in the country or sector which relate to the implementation of USAID's proposed strategy,

(d) **a plan for monitoring and reporting on progress of strategy implementation** over the current and subsequent two years, including program performance indicators and targets,

(e) **alternative programming scenarios**, if appropriate or requested, to accommodate likely contingencies (e.g., possible political or policy shifts in the country, upward or downward adjustments in program or staffing levels, etc.), and,

(f) **for central bureau portfolios, a plan for coordinating activities with field missions** for those components of their strategic plans which will require consultation with and/or management support from field missions

Part III shall also include a summary table listing the proposed activities and the implementation timeline for each, to illustrate the phasing of strategy implementation

Operational bureau supplementary guidance

Operational bureaus, at their option, may request additional information in the strategic plans to meet special legislative requirements or to respond to other compelling needs unique to their bureau. These requests should be made only on an exceptional basis.

Operational bureaus may also, at their option, provide more specific guidance on the required contents and format for the geographic or sectoral program strategic plans, provided such guidance is consistent with the above requirements.

Any supplementary guidance pertaining to the development, documentation, and review of program strategic plans must be cleared by the AA/PPC before it is issued.

Changes in strategic plans

All program managers are expected to strive for continuity in the strategic direction of their programs. However, changes may be required in the event of (i) dramatic changes in country conditions, (ii) persistent patterns of unsatisfactory program performance, or (iii) major shifts in Agency program policy. In such cases, Missions or Offices shall be authorized by the cognizant

operating bureau AA to revise their strategic plans accordingly, and resubmit them for USAID/W review

VI REVIEW AND APPROVAL OF STRATEGIC PLANS

USAID/W review and approval

All strategic plans must be reviewed and approved by USAID/W. The purpose of the USAID/W review is to build and assure support for the operational unit's strategic plan. In meeting this purpose, USAID/W review will (i) assess the clarity, logic, and feasibility of the strategy, (ii) ensure its compliance with Agency policy, and (iii) evaluate its appropriateness in light of expected resource availabilities.

Each USAID/W bureau will review strategic plans with a special emphasis, as follows:

- (i) regional bureaus seek consistency with geopolitical and regional objectives,
- (ii) PPC ensures support for Agency-wide priorities and the adequacy of plans for measuring performance and documenting impact,
- (iii) M assures that resources can be made available,
- (iv) G (Bureau for Global Programs, Field Support and Research) assures technical support for the program strategies.

The review of country or regional strategic plans will be managed by the respective geographic bureau and chaired by the AA or DAA. Responsibility for chairing the reviews of strategic plans for small country programs may be redelegated by the AA or DAA to the respective geographic office director or other designee.

Reviews of strategic plans for central programs will be managed by the respective central bureau and chaired by the AA or DAA.

Reviews of country or regional strategic plans shall include participation from appropriate USAID/W functional offices. Reviews of strategic plans for central programs shall include participation from geographic bureaus.

In addition, PPC, M, and GC will be invited to participate in the reviews. Participation by other USAID offices or by other government agencies will be on an as-needed basis, as determined by the AA of the cognizant operating bureau.

Final review and approval authority for all strategic plans will rest with the operational bureau AA with concurrence from PPC and M on matters concerning appropriateness of expected resource levels and compliance with Agency policy. In the event of a disagreement among PPC, M or the cognizant operating bureau that cannot be resolved among the parties, the issue will go to the Deputy Administrator for resolution.

Recording Agreement

USAID/W approval of a strategic plan shall represent a management contract with the director of the cognizant operational unit. This contract shall be understood to obligate the mission, office, or center director to pursue the strategic plan as approved and to obligate USAID/W management to provide the requested level of resource support, subject to Agency-wide resource constraints.

These mutual obligations shall be documented in a memorandum of understanding issued to mission and office directors, or some appropriate equivalent, to constitute the formal authority to implement a given strategic plan.

Host Country Review

As part of a process of on-going collaboration, strategic plans for country and regional programs and for central programs which anticipate sponsoring activities in a given country should be shared with host country senior government officials and other development partners (see Consultation and Participation, page 5).

Where country or regional strategic plans cannot be shared, mission and office directors will nevertheless be expected to provide senior host country officials and other development partners a statement of the approved strategic objectives for the country or regional program and to engage those development partners in an ongoing exchange of views on progress toward those objectives.

VII SPECIAL CASES

Targets of Opportunity Under exceptional circumstances, a mission or office may wish to include activities in its portfolio which do not contribute to any of the selected strategic objectives but which meet other USG assistance objectives. These may be justified if one or more of the following criteria are met

- (i) the activity represents a response to a legislated earmark or special interest which cannot otherwise be readily met,
- (ii) it is a continuation of an activity initiated prior to the strategic plan which needs additional time for orderly phase-out,
- (iii) it is a pilot activity in a new program area which merits further exploration or which responds to new developments in the country, region, or sector; or
- (iv) it is a research activity unrelated to the country portfolio but which has merit on other grounds

These activities must be documented in a mission or office's strategic plan and action plans, and their impact should be monitored and reported together with other program activities

Rapid response programs

Programs that are authorized in response to an immediate humanitarian, economic, or political crisis may be designated "rapid response" programs and be exempted from any or all of the requirements stated above. This designation may apply to an entire portfolio or to portions of a portfolio. This action will be taken by the AA/PPC at the request of the respective operational bureau AA and documented in a formal action memorandum

A program designated as a "rapid response" program under this authority may retain this designation for up to 12 months, unless otherwise agreed to by the AA/PPC

VIII MONITORING STRATEGY IMPLEMENTATION

Objectives

The objectives of monitoring strategy implementation are to

- 1 Ensure that satisfactory progress is being made toward achievement of development results, as a basis for making subsequent resource allocations to those activities and programs,
- 2 Provide an information base for reporting to Congress and other oversight agencies on the impact of Agency programs, in compliance with extant reporting requirements, and
- 3 Document the Agency's experience in implementing its assistance activities and programs, as a basis for identifying lessons learned and improving the quality of assistance in future years

IX. REQUIRED ELEMENTS IN A STRATEGY MONITORING FRAMEWORK

Every operational unit shall have in place a framework for monitoring the performance of its program strategy. This framework shall include the following

Clearly defined performance targets. Performance targets shall be measurable and shall correspond to the strategic objectives and program outcomes established in the approved strategic plan. Targets shall be established which can demonstrate whether there is an impact on a strategic objective over both the medium-term (3-5 years) and long-term (6-10 years) Annual interim indicators shall be established to demonstrate whether or not progress is being made towards achieving the desired impact

Established procedures for data collection and analysis Each operational unit shall define procedures to ensure systematic collection and analysis of data required to assess progress toward achievement of performance targets. These procedures shall ensure that satisfactory baseline data are collected for each key performance target

Annual progress reviews Each operational unit shall conduct progress reviews at least once a year to determine whether satisfactory progress is being made toward achieving its strategic objectives. These reviews shall assess the

cumulative performance for each strategic objective against the medium- and long-term targets for that objective defined in the strategic plan or updated in a more recent action plan. A written record of these progress reviews shall be retained in the mission or office files. In the case of field missions, a copy of this record should also be forwarded to the cognizant USAID/W bureau.

X USAID/W PROGRAM PERFORMANCE REVIEWS

Purpose

The primary purpose of USAID/W reviews of program performance is to provide a forum for the Agency's senior management to review jointly with operational units progress being made toward the achievement of the strategic objectives for each of the Agency's major portfolios and to identify any emerging issues which may warrant senior management attention.

Secondarily, by providing senior managers a broad understanding of the impact to date of the Agency's operational programs, program performance reviews will also contribute to (i) informing Agency decisions about overall program planning and resource allocation, and (ii) meeting accountability requirements to report on the effectiveness of Agency programs.

Scope

Each USAID/W bureau shall periodically conduct program performance reviews of the portfolio of each of the operational units under its respective jurisdiction. These reviews will assess the progress of all the programs being managed by that unit toward that unit's stated strategic objectives and program outcomes. They shall utilize, wherever possible, information already compiled by missions and offices for their own internal progress reviews pursuant to Section IX, above. Such reviews shall be conducted at the Office Director level or above PPC, including CDIE, and M will be invited to participate in each review.

Periodicity

Program performance reviews shall be conducted every year for major program portfolios (i.e., those units with programs exceeding, on average, \$10 million in annual OYB). Smaller program portfolios may be reviewed less frequently. The exact timing of these reviews is at the discretion of the cognizant bureau, bearing in mind the purposes set forth in Purpose, above.

Procedures and Documentation

USAID/W performance reviews shall be conducted in accordance with the procedures established for that purpose in the cognizant bureau. The AAs and DAAs of cognizant bureaus are accountable for the integrity and quality of the review process.

A summary of each program portfolio performance review shall be forwarded to the bureau AA, with information copies sent to the AA/PPC, to CDIE, and to the mission or office director responsible for the subject portfolio.

XI PROGRAM PERFORMANCE ASSESSMENTS

To supplement the routine program performance reviews conducted by operational units and USAID/W bureaus, the Agency shall periodically conduct in-depth assessments of the performance of specific program strategies. These assessments may address the performance of a specific mission or USAID/W office portfolio or they may examine the performance of a sample of similar programs across a range of differing country conditions.

CDIE shall have principal responsibility for conducting these assessments. An agenda of such assessments shall be developed under the direction of PPC, with the active participation of the USAID/W operating bureaus.

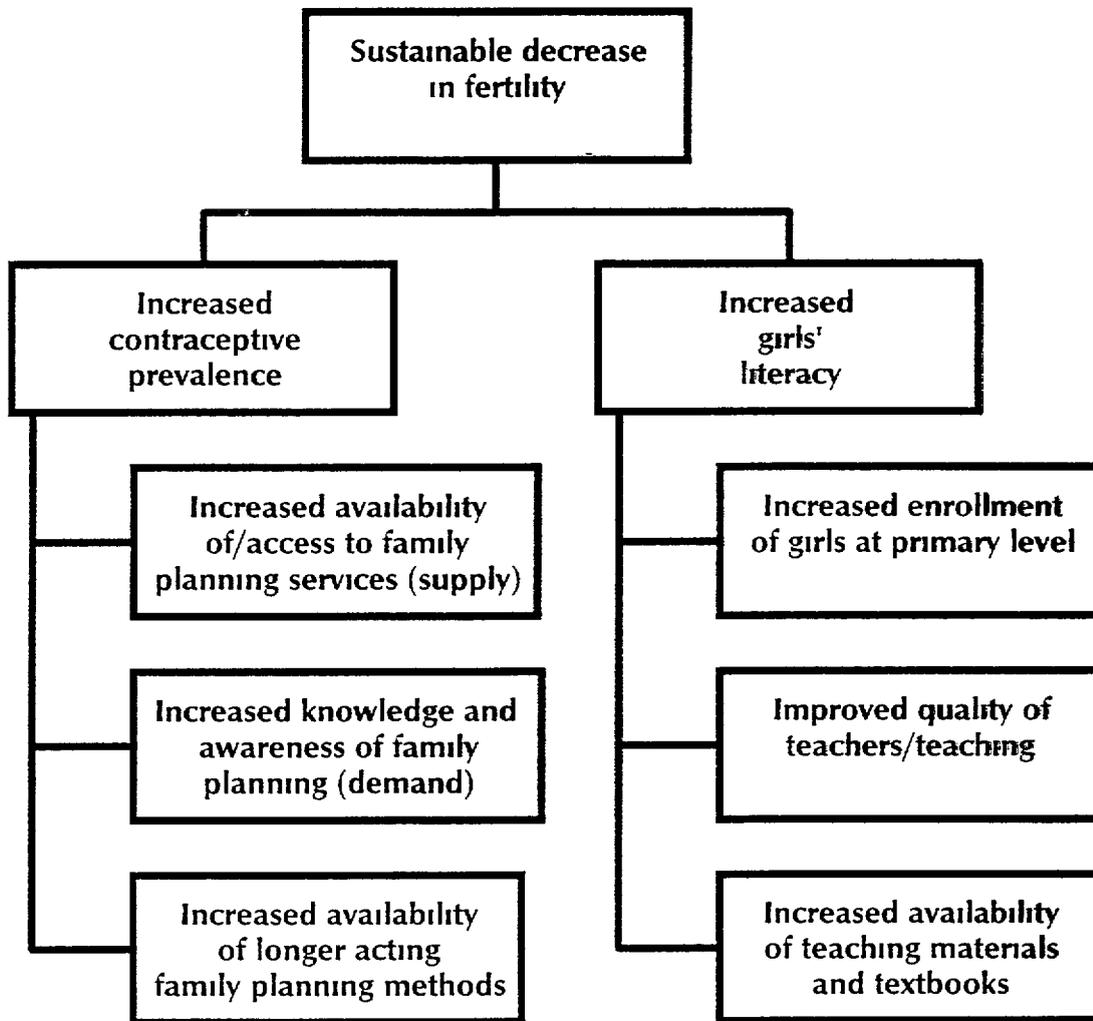
Operating bureaus may also choose to undertake special program performance assessments as appropriate, in consultation with CDIE.

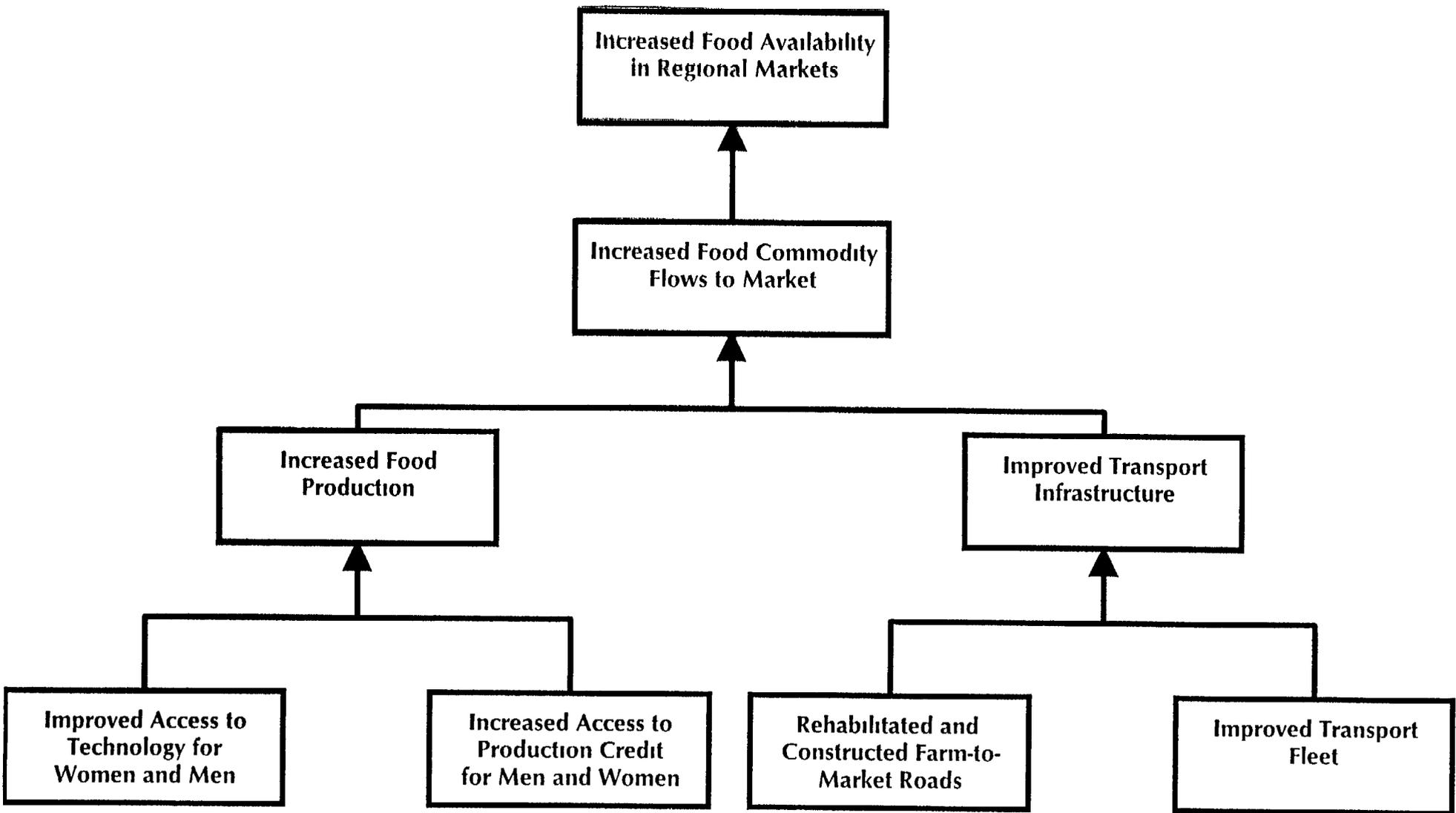
The results of program performance assessments shall be appropriately reflected in Agency policy and program guidance and, as needed, in individual operating units' strategic plans.

XII ANNUAL AGENCY REPORT ON PROGRAM PERFORMANCE

Drawing on the results of the progress reviews described in Section X and the performance assessments described in Section XI, the Agency shall prepare, annually, a consolidated report on the progress its programs are making toward achieving the objectives that have been established for them. This report shall be prepared by PPC, in consultation with all operating bureaus, and serve as a basis for meeting Agency reporting requirements under the Chief Financial Officers (CFO) Act of 1990 and the Government Performance and Results Act (GPRA) of 1993.

**Day One, Morning Exercise No. 1:
Reconstructing Objective Trees**





**Day One, Morning Exercise No.2:
Critiquing LAC Mission Objective Trees**

TABLE 1: STRATEGIC OBJECTIVE PROGRAM "TREE"

AGENCY GOAL Building Democracy		
STRATEGIC OBJECTIVE Improved effectiveness and accessibility of key democratic institutions and practices		
PROGRAM OUTCOME Improved quality and speed of the conflict resolution process	PROGRAM OUTCOME Upgraded legislative functions and enhanced accountability in national and local government	PROGRAM OUTCOME Increased citizen participation in local government and civil society
Projects (Number-Title)	Projects (Number\Title)	Projects (Number\Title)
0610 Democratic Institutions	0610 Democratic Institutions	0610 Democratic Institutions
0626 Administration of Justice	0626 Administration of Justice	0611 Bolivian Peace Scholarship Program
0611 Bolivian Peace Scholarship Program	0631 Human Resources Development	0634 Democratic Development and Citizen Participation
0634 Democratic Development and Citizen Participation	Administration System for Financial and Governmental Control (SAFCO)	Urban Development Initiative (PROA)
	0634 Democratic Development and Citizen Participation	American Institute for Free Labor Development (AIFLD)
		0623/ Special 0633 Development Activities I and II

TABLE 2 STRATEGIC OBJECTIVE PERFORMANCE

Bolivia				
STRATEGIC OBJECTIVE Improved effectiveness and accessibility of key democratic institutions and practices				
Indicator Percent of cases completed within legally prescribed time periods in first level criminal courts (Santa Cruz, Tarija, national)				
Unit	Percent	Year	Planned	Actual
Source	Court records, MSD reports	Baseline	1994	SC 0 T 0 N 0
Comments	Report will be by district National report expected in 1996 SC = Santa Cruz T = Tarija N = National This replaces last years indicator "Proportion of criminal cases disposed of prior to final judgement"		1992	N/A
			1993	N/A
			1994	SC 0 T 0 N 0
			1995	SC 30 T 30 N 10
			1996	SC 50 T 50 N 20
		Target	1997	SC 75 T 75 N 40
		STRATEGIC OBJECTIVE Improved effectiveness and accessibility of key democratic institutions and practices		
Indicator Number of alternative dispute resolution (ADR) centers established				
Unit	Number of ADR centers (cumulative)	Year	Planned	Actual
Source	DID	Baseline	1992	0
Comments	Target includes 3 commercial arbitration centers and 17 community conflict resolution centers This replaces "number of alternative dispute resolution fora and processes practiced" indicator from last years Action Plan		1993	3
			1994	5
			1995	10
			1996	15
		Target	1997	20

Target	1997	20	
--------	------	----	--

STRATEGIC OBJECTIVE Improved effectiveness and accessibility of key democratic institutions and practices					
Indicator Percent of laws originating in Congress					
Unit	Percent (cumulative)		Year	Planned	Actual
Source	Official Gazette and Congress Records	Baseline	1994	2%	
Comments This is a new indicator Most laws will continue to originate with the Executive Over time, legislators will be able to turn their own or their constituents' ideas into legislative proposals with the assistance of the new legislative support services			1992	N/A	
			1993	N/A	
			1994	2%	
			1995	4%	
			1996	6%	
			Target	1997	6%
STRATEGIC OBJECTIVE Improved effectiveness and accessibility of key democratic institutions and practices					
Indicator Valid vote totals					
Unit	Million		Year	Planned	Actual
Source	National Electoral Court reports	Baseline	1991 M	---	1 4
Comments After FY1993 USAID will no longer track this indicator because of the measurable success of our election assistance efforts Focus will shift to popular participation at the local level G General M Municipal			1992	No elections	
			1993 G	1 8	1 6
			1993 M	1 5	1 1
			1994	No elections	
			1995	N/A	
			1996	No elections	
		Target	1997	N/A	

012

STRATEGIC OBJECTIVE Improved effectiveness and accessibility of key democratic institutions and practices					
Indicator Percent of functioning municipalities incorporating popular participation					
Unit	Percent (cumulative)		Year	Planned	Actual
Source	Popular Participation Unit or Ministry	Baseline	1996	20%	
Comments	This is a new indicator		1992	N/A	
			1993	N/A	
			1994	N/A	
			1995	N/A	
			1996	20%	
		Target	1997	30%	
STRATEGIC OBJECTIVE Improved effectiveness and accessibility of key democratic institutions and practices					
Indicator Percent nationally aggregated municipal income spent per year					
Unit	Percent		Year	Planned	Actual
Source	Congress Budget Office, Secretary of Finance, DID	Baseline	1997	40%	
Comments	Data will be initially collected from a representative sample of 30 out of 300 municipalities After 1997 the number of municipalities providing data will gradually increase until most of the country is covered		1993	N/A	
			1994	N/A	
			1995	N/A	
			1996	N/A	
		Target	1997	40%	***

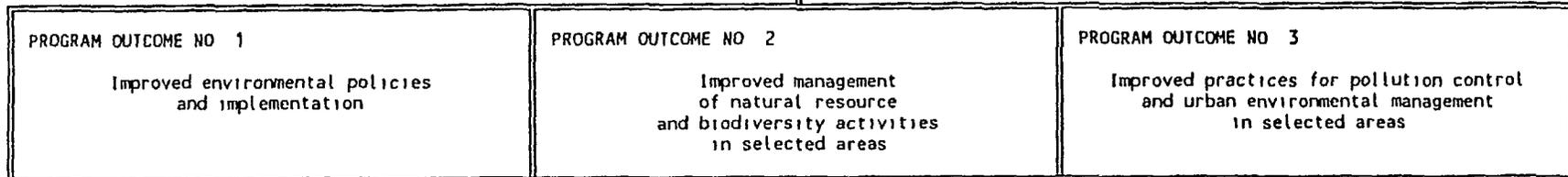
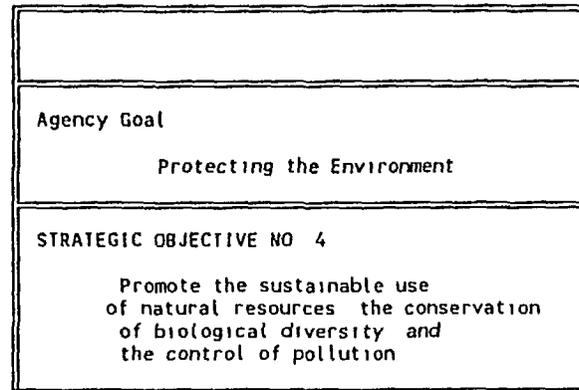
STRATEGIC OBJECTIVE Improved effectiveness and accessibility of key democratic institutions and practices				
PROGRAM OUTCOME Improved quality and speed of the conflict resolution process				
Indicator District court case tracking and/or judicial planning statistical systems				
Unit Number (cumulative)		Year	Planned	Actual
Source Court records, MSD reports	Baseline	1993	1	1
Comments Planned figure revised to indicate cumulative number		1992	N/A	
		1993	1	1
		1994	2	
		1995	3	
		1996	4	
		Target	1997	5
STRATEGIC OBJECTIVE Improved effectiveness and accessibility of key democratic institutions and practices				
PROGRAM OUTCOME Improved quality and speed of the resolution process				
Indicator Number of courts presided by judges (J) and managed by court administrators (A) trained under project-assisted training program				
Unit Number (cumulative)		Year	Planned	Actual
Source Court records, MSD reports	Baseline	1994	J 40 A 2	
Comments This indicator replaces last year's judges/court administrators trained in court management		1992	N/A	
		1993	N/A	
		1994	J 40 A 2	
		1995	J 80 A 4	
		1996	J 120 A 6	
		Target	1997	J 160 A 10

STRATEGIC OBJECTIVE Improved effectiveness and accessibility of key democratic institutions and practices					
PROGRAM OUTCOME Upgraded legislative functions and enhanced accountability in national and local government					
Indicator Congressional committees ⁽¹⁾ using new legislative support services ⁽²⁾					
Unit	Number of committees (cumulative)		Year	Planned	Actual
Source	Legislative support service records	Baseline	1993	4	2
Comments ⁽¹⁾ The new legislative support services include budget analysis, bill drafting, legislative research and constituency outreach ⁽²⁾ Assistance will center on Upper and Lower House Finance and Justice Committees, but other committees will require fiscal, legal and constitutional support for their own work. Although effective legislative work is best measured at the committee level, an attempt will be made to keep records of individual members requesting and receiving assistance from the legislative support services			1992	N/A	
			1993	4	2
			1994	4	
			1995	6	
			1996	8	
	Target		1997	10	
	PROGRAM OUTCOME Upgraded legislative functions and enhanced accountability in national and local government				
Indicator Public entities having an effective SAFCO Law compliance mechanism					
Unit	Numbers		Year	Planned	Actual
Source	Controller General's Reports	Baseline	1993	14	9
Comments This indicator was changed from last year's 'Percent public resources audited'. Planned figures may have to be lowered in future years if the GOB's capitalization program were to reduce the number of state enterprises. Delays due to change in administration and reorganization of Controller General's Office after the previous Controller General completed the ten year term of office.			1992	N/A	N/A
			1993	14	9
			1994	30	
			1995	60	
			1996	90	
	Target		1997	120	

243

PROGRAM OUTCOME Increased citizen participation in local government and civil society				
Indicator Citizen-jurors trained for election day				
Unit	Thousands	Year	Planned	Actual
Source	National Electoral Court	Baseline	1992	No elections N/A
Comments	Total universe of non-alternate electoral jurors is about 60,000 for general elections. Alternate jurors may range from 60,000 to 120,000. USAID will no longer track this indicator because of the measurable success of our election assistance efforts. Focus will shift to popular participation at the local level.		1993	24 98
			1994	No elections
			1995	N/A
			1996	No elections
		Target	1997	N/A
PROGRAM OUTCOME Increased citizen participation in local government and civil society				
Indicator Eligible voters registered for general and municipal elections				
Unit	Millions	Year	Planned	Actual
Source	National Electoral Court	Baseline	1991 M	--- 1 7
Comments	Number of eligible voters registered in 1993 is exaggerated because registry rolls still include a) deceased registrants from previous elections and b) multiple registrants due to changes of address across departments. USAID will no longer track this indicator due to the measurable success of our election assistance efforts. Future assistance will shift focus to popular participation mechanisms at the local level.		1992	No elections
			1993 G	2 0 2 4
			M	1 5 2 2
			1994	No elections
			1995	N/A
			1996	No elections
	Target	1997	N/A	
G General M Municipal				

Strategic Objective Program "Tree"



Projects (Number\Title)	Projects (Number\Title)	Projects (Number\Title)
936 5517 Environmental Action Plan	518 0069 Sustainable Uses Bio Resources	518 0117 Env Education/Tech Transfer
518 0069 Sust Uses Biological Resources	518 0107 Charles Darwin	518 0076 Shelter Sector Technical Assistance
518 0117 Environmental Ed/Tech Transfer	518 0117 Env Education/Tech Transfer	518 0118 Training for Development
518 0076 Shelter Sector Technical Assistance	936 5517 Environmental Action Plan	
518 0118 Training for Development	518 0019 Non Traditional Ag Exports	
	PL 480	
* 936 5839 Env Ed Comm (GREENCOM)	* 936 0782 Parks in Peril	* 936 5839 Env Ed Comm (GREENCOM)
* 936 5559 Env Pollution Prevention (EP3)	* 518 0780 The Tagua Initiative	* 936 5559 Env Pollution Prevention (EP3)
* 598 0807 LAC TECH	* 936 4198 Sust Agri Systems (SANREM/CRSP)	
	* 598 0605 Environmental Mgt System	

* Centrally or Regionally funded projects

Strategic Objective Performance

STRATEGIC OBJECTIVE NO 4					
Promote the sustainable use of natural resources, biological diversity conservation, and the control of pollution					
SD Indicator No 1 Completion and implementation of Environmental Action Plan					
Unit	Status of Plan		Year	Planned	Actual
Source	Mission Monitoring	Baseline	1993	Begun	Begun
Comments	Percentages refer to the percentages of Plan recommendations implemented		1994	Completed	
			1995	50%	
			1996	75%	
		Target	1997	90%	
SD Indicator No 2 Change in abundance and distribution of species in and around selected protected areas					
Unit	Rate of change		Year	Planned	Actual
Source	Inventory of key species	SUBIR and Charles Darwin	Baseline	1994	TBD
Comments	Botanical inventories one 1 0 ha plot established around Yasuni one 1 0 ha plot established in Sinangue (Cayambe Coca) two 1 0 ha plots established in San Miguel are (Cotacachi Cayapas) Data have been collected and analyzed in 1993 One 1 0 ha plot started in 1993 in Playa de Oro (Cotacachi Cayapas) MAXUS oil company is financing botanical inventories in Yasuni, along road construction Zoological inventories mammal bird reptile and amphibian inventories completed in Playa de Oro and San Miguel areas Other zoological inventories are more than 50 percent complete Establishment of baseline still in process and will be completed by December 1994		1995	Rate established	
			1996	No data to be collected	
		Target	1997	Depends on rate	

Strategic Objective Performance

STRATEGIC OBJECTIVE NO 4 Promote the sustainable use of natural resources, biological diversity conservation, and the control of pollution				
PROGRAM OUTCOME NO 1 Improved environmental policies and implementation				
PO Indicator No 1 1 Fees collected from users of national parks and dedicated to park management				
Unit US dollars		Year	Planned	Actual
Source National Institute of Forests and Natural Areas	Baseline	1992	\$500,000	\$500,000
Comments The Mission's efforts in raising the tourist and berth fees resulted in increases from \$500,000 in 1992 to \$2 300 000 in 1993 The number of tourists decreased in 1993 due to the increase in park entrance fees The number of people visiting Protected Areas for 1992 was 283,000 and in 1993 was 254 000		1993	\$2,000,000	\$2,400,000
		1994		
		1995		
	Target	1996		
PO Indicator No 1 2 Modern cost accounting system used by water and sewage authorities and approved by the Controller General				
Unit Number of modern accounting systems		Year	Planned	Actual
Source Controller General Reports and OIKOS Foundation	Baseline	(Year)		
Comments		1992		
		1993		
		1994	1	
		1995	1	
		1996	1	
	Target	1997	1	

Strategic Objective Performance

242

STRATEGIC OBJECTIVE NO 4 Promote the sustainable use of natural resources, biological diversity conservation and the control of pollution					
PROGRAM OUTCOME NO 2 Improved management of natural resource and biodiversity activities in selected areas					
PO Indicator No 2 1 Number of communities adopting models of non-destructive natural resource use					
Unit	Number of communities		Year	Planned	Actual
Source	Technical reports, extension agents' workplans	Baseline	1992	0	0
Comments	Indicator is the number of communities adopting each model summed across models For 1995 and beyond indicator, depends on the structure of SUBIR Phase II		1993	12	20
			1994	20	
			1995		
			1996		
		Target	1997		
PO Indicator No 2 2 Number of local organizations managing biological resources effectively					
Unit	Number of organizations		Year	Planned	Actual
Source	Monitoring and evaluation of SUBIR	Baseline	1993	0	3
Comments	"Effectiveness" is defined in terms of standards developed from the diagnostic study conducted during the design of SUBIR Organizations in Cuellaje, Coca (Quichua Federation), and Borja are managing biological resource activities		1994	10	
			1995		
			1996		
		Target	1997		

Strategic Objective Performance

242

STRATEGIC OBJECTIVE NO 4				
Promote the sustainable use of natural resources, biological diversity conservation and the control of pollution				
PROGRAM OUTCOME NO 3 Improved practices for pollution control and urban environmental management in selected areas				
PO Indicator No 3 1 Local and regional sewer and solid waste authorities using modern financial management systems				
Unit Modern management information systems		Year	Planned	Actual
Source Reports from Controller General, RHUDO, Municipalities and OIKOS Foundation	Baseline	(Year)		
Comments Local and Regional sewer and solid waste authorities using modern financial management systems The indicator will track the use of modern accounting and management information systems by municipal enterprises to improve the provision of environmental services (water, sewerage, waste disposal)		1992		
		1993		
		1994	1	
		1995	2	
		1996	2	
	Target	1997	5	
PO Indicator No 3 2 Three cities with improved solid waste collection system				
Unit Number of Municipalities		Year	Planned	Actual
Source Reports from Municipalities, RHUDO, and OIKOS Foundation	Baseline	(Year)		
Comments The indicator will measure the development of plans for improvements to solid waste systems in selected municipalities. The plans will advocate expanding service through lower cost/higher quality options for collection and disposal		1992		
		1993		
		1994	1	
		1995		
		1996		
	Target	1997		

TABLE 1: STRATEGIC OBJECTIVE PROGRAM "TREE"

AGENCY GOAL: Stabilizing Population Growth and Protecting Health		
STRATEGIC OBJECTIVE. Improved Family Health Throughout COUNTRY		
PROGRAM OUTCOME Improved development and implementation of health policy	PROGRAM OUTCOME Improved institutional capabilities within the public/private sectors to deliver preventative and curative health services	PROGRAM OUTCOME Improved health knowledge, attitudes, and practices among <i>CITIZENS</i>
Projects (Number\Title)	Projects (Number\Title)	Projects (Number\Title)
0616 Technical Support for Policy Reform	0607 Self-Financing Primary Health II	0568 Reproductive Health
0568 Reproductive Health	0608 HIV/STDs Prevention and Control	0594 Community and Child Health
0594 Community and Child Health	0620 PVO Child Survival II	0613 Drug Awareness
0607 Self-Financing Primary Health II	0568 Reproductive Health	0618 CARE Community Development
0608 HIV/STDs Prevention and Control	0594 Community and Child Health	0619 Interactive Radio Learning
936-3023 Macro/DHS	0613 Drug Awareness Control	Urban Development Initiative (PROA)
936-3031 Development Associates Int	0618 CARE Community Development	0607 Self-Financing Primary Health II

936-3035 Population Policy Initiatives OPTIONS II	936-3030 Strategies for Improving Services Delivery	0608 HIV/STDs Prevention and Control
936-3054 International Population Fellows Program	936-3038 Family Planning Logistic Management	0620 PVO Child Survival
936-3062 Pathfinder Int.	936-3045 Training in Reproductive Health JHPIEGO	598-0786 Accelerated Immunization
936-3065 Expansion of Family Planning (IPPF/WHR)	936-3049 Association for Voluntary Surgical Contraception	936-3031 Family Planning Training for PAC IIB
936-5991 Data for Decision Making	936-3050 Population Council Program Grant	936-3046 Demographic Data Initiatives (RAPID IV)
	936-3055 Family Planning Management Development	936-3051 Contraceptive Social Marketing
	936-5122 Program to Eradicate Micronutrient OMNI	936-3052 Population Communication Services
	936-5600 Computer Aided Identification of American Sandflies	936-3057 Central Contraceptive Procurement
	936-5948 Vector Biology and Control	936-3061 Initiatives in Natural Family Planning
	936-5970 T A in AIDS and Child Survival (TAACS)	936-5966 Mothercare/JSI
	936-5991 Data for Decision Making	
	936-6006 Basic Support Inst Child Survival (BASICS)	

TABLE 2: STRATEGIC OBJECTIVE PERFORMANCE

Bolivia				
STRATEGIC OBJECTIVE Improved family health throughout <i>country</i>				
Indicator Infant mortality rate				
Unit	Deaths per thousand births	Year	Planned	Actual
Source	National Population and Housing Survey (NPH), 1988, Demographic Health Survey (DHS), 1989, UNICEF, Estado Mundial de la Infancia, 1994 (UNICEF), (Actual, 1992)	Baseline	1984	----- 100
Comments	Actual baseline figure for 1984 is based on an average of the NPH & DHS Planned figures are derived from time series analyses based on these sources The target of 60 for 1997 is the official GOB target New data will be available from 1994 DHS		1992	89 80
			1993	76
			1994	72 ***
			1995	68
			1996	64
		Target	1997	60
STRATEGIC OBJECTIVE Improved Family Health Throughout <i>country</i>				
Indicator Child mortality rate				
Unit	Deaths per thousand births	Year	Planned	Actual
Source	DHS, 1989, UNICEF (Actual, 1992)	Baseline	1984	----- 142
Comments	Actual baseline figure for 1984 is based on an average of the NPH & DHS Planned figures are derived from time series analyses based on these sources The target of 78 for 1997 is the official GOB target New data will be available from 1994 DHS		1992	125 118
			1993	103
			1994	96 ***
			1995	90
			1996	84
		Target	1997	78

STRATEGIC OBJECTIVE Improved Family Health Throughout <i>country</i>				
Indicator Maternal mortality				
Unit	Deaths per hundred thousand live births	Year	Planned	Actual
Source	DHS, 1989	Baseline	1982	----- 480
Comments	The 1994 DHS will contain a nationwide maternal mortality survey, the first of its kind in This survey will provide baseline data for 1994, from which USAID/ will project future planned levels for this indicator The 1997 target is the GO target		1992	342
			1993	
			1994	***
			1995	
			1996	
		Target	1997	240
Indicator Contraceptive prevalence - modern				
Unit	Percent	Year	Planned	Actual
Source	DHS, 1989	Baseline	1989	----- 12 2
Comments	The most reliable data for this indicator is available every 5 years, through the DHS The 1994 DHS is underway Planned figures were derived through a time series analyses based on 1989 DHS The 1997 target is the GO target		1992	17 0
			1993	18 6
			1994	20 2 ***
			1995	21 8
			1996	23 4
		Target	1997	25 0

STRATEGIC OBJECTIVE Improved Family Health Throughout <i>SCOUNTRY</i>					
Indicator Contraceptive prevalence - total					
Unit	Percent	Year	Planned	Actual	
Source	DHS, 1989	Baseline	1989	----- 30 3	
Comments	The most reliable data for this indicator is available every 5 years, through the DHS. The 1994 DHS is underway. Planned figures were derived through a time series analyses based on 1989 DHS. The 1997 target is based on the target value for contraceptive prevalence-modern, and on the assumption that the proportion of some modern methods will increase.		1992	37 9	
			1993	40 4	
			1994	42 9	***
			1995	45 5	
			1996	48 0	
		Target	1997	50 5	
		Indicator Adequate Nutritional Status			
Unit	Percent of 3-36 month olds with 2 or more standard deviations below median weight for age	Year	Planned	Actual	
Source	"Maternal & Child Health in ' , a secondary analysis of 1989 DHS	Baseline	1989	----- 13 3	
Comments	The most reliable data for this indicator is available every 5 years, through the DHS. The 1994 DHS is underway. The 1997 target value is the target adopted by the GOB.		1992	11 7	
			1993	11 2	
			1994	10 6	***
			1995	10 1	
			1996	9 5	
		Target	1997	9 0	

STRATEGIC OBJECTIVE Improved family health throughout <i>country</i>				
PROGRAM OUTCOME Improved the development and implementation of health policy				
Indicator MOH design and implementation of a health care cost recovery strategy				
Unit	GO health cost recovery strategy	Year	Planned	Actual
Source	GO		-----	
Comments This indicator on cost recovery policy may be revised over the next year based on GO plans for Health Sector reform Present plans under development call for decentralization of health service delivery responsibility and a new financing system	Baseline	1992		No strategy
		1993		No strategy
		1994		
		1995	Begin implementation	
		1996	Continue extension	
	Target	1997	Strategy in place nationally	
STRATEGIC OBJECTIVE Improved family health throughout <i>country</i>				
PROGRAM OUTCOME Improved institutional capabilities within the public/private sectors to deliver preventive and curative health services				
Indicator Diarrheal disease cases appropriately treated by ORT				
Unit	Percent	Year	Planned	Actual
Source	DHS, 1989	Baseline	-----	23 4
Comments Baseline figure is from the 1989 DHS, the most reliable source for this indicator The 1993 actual figure is based on a national government survey from health facilities Planned figures were calculated based on program effort and baseline data The GO has not yet established targets for this indicator		1992	38	
		1993	41	23
		1994	43	***
		1995	46	
		1996	49	
	Target	1997	52	

STRATEGIC OBJECTIVE Improved family health throughout <i>country</i>					
PROGRAM OUTCOME Improved the development and implementation of health policy					
Indicator One year old children immunized against DPT					
Unit	Percent of one year olds receiving third dose		Year	Planned	Actual
Source	Secretariat of Health (SNS), National EPI Program	Baseline	1989	-----	23 4
Comments	Actual data comes from SNS vaccination program yearly reports. Planned targets have been revised, and are reported in 1994 UNICEF publication "Mothers and Children in , Situational Analysis"		1992	80	64
			1993	85	81
			1994	85	
			1995	90	
			1996	90	
		Target	1997	90	
Indicator One year old children immunized against Measles					
Unit	Percent of one year olds		Year	Planned	Actual
Source	See DPT above	Baseline	1987	-----	17
Comments	See DPT above		1992	80	68
			1993	85	81
			1994	85	
			1995	90	
			1996	90	
		Target	1997	90	

STRATEGIC OBJECTIVE Improved family health throughout <i>country</i>					
PROGRAM OUTCOME Improved the development and implementation of health policy					
Indicator One year old children immunized against Polio					
Unit	Percent of one year olds receiving third dose		Year	Planned	Actual
Source	See DPT above	Baseline	1987	-----	15
Comments	See DPT above		1992	80	67
			1993	85	83
			1994	85	
			1995	90	
			1996	90	
			Target	1997	90
Indicator Children immunized against TB					
Unit	Percent of one year olds		Year	Planned	Actual
Source	See DPT above	Baseline	1987	-----	30
Comments	See DPT above		1992	80	83
			1993	85	88
			1994	85	
			1995	90	
			1996	90	
			Target	1997	90

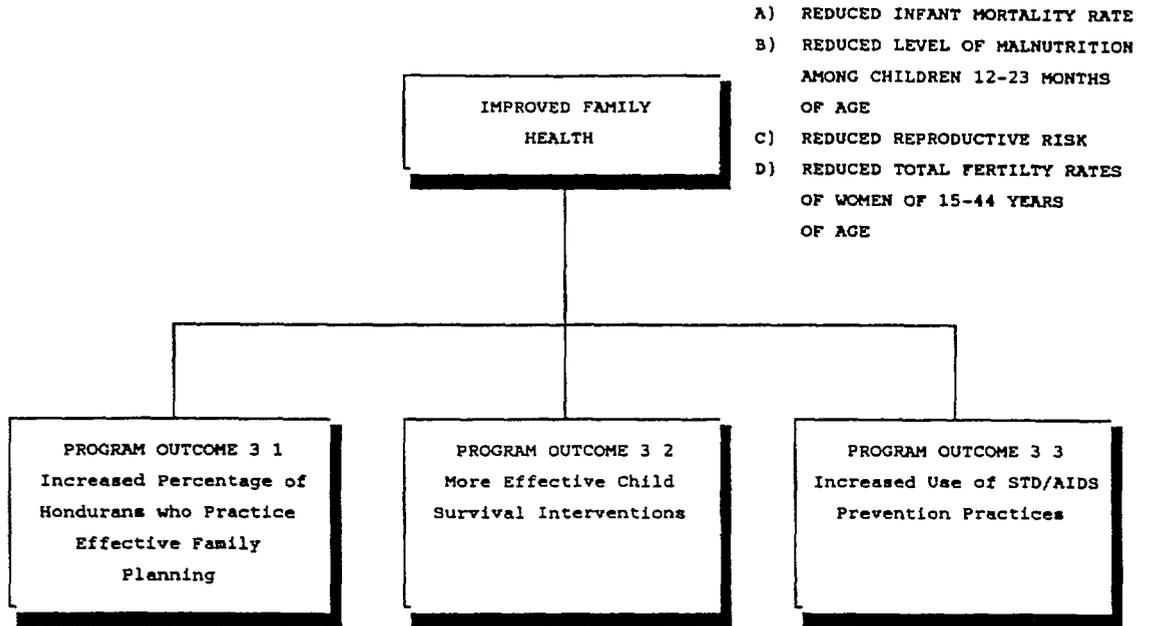
STRATEGIC OBJECTIVE Improved family health throughout <i>country</i>					
PROGRAM OUTCOME Improved the development and implementation of health policy					
Indicator Women of reproductive age immunized against Tetanus					
Unit	Percent of women receiving second dose of TT		Year	Planned	Actual
Source	UNICEF (1994)	Baseline	1987	-----	2
Comments Planned figures come from revised GOB plans published in 1994 Actual figure for 1992 comes from 1994 UNICEF report on Bolivia *GO data for 1993, however, show a coverage rate of 19% This indicator will be confirmed in the 1994 DHS			1992	80	60
			1993	90	*
			1994	90	***
			1995	95	
			1996	95	
	Target		1997	95	
Indicator Access to Improved Water					
Unit	Percent of population, urban/rural		Year	Planned	Actual
Source	"Agua para todos Plan Nacional de Agua Potable y Saneamiento" 1992, Ministry of Urban Affairs (Baseline)	Baseline	1990	-----	74 2/29 7
Comments Actual figures are from the National Directorate of Basic Sanitation, Min of Human Development This report shows no changes from 1991-1993 indicating that no national surveys were done during this period			1992	73 9/32 9	74/31
			1993	74 3/35 2	74/31
			1994	74 9/37 9	
			1995	75 6/40 8	
			1996	76 3/44 0	
	Target		1997	77 2/47 7	

STRATEGIC OBJECTIVE Improved family health throughout <i>1970-75</i>				
PROGRAM OUTCOME Improved the development and implementation of health policy				
Indicator Exclusive breastfeeding for three to four months				
Unit Percent		Year	Planned	Actual
Source "Maternal and Child Health in ", a secondary analysis of 1989 DHS	Baseline	1989	-----	42 7
Comments Baseline and planned figures are based on analysis of 1989 DHS The 1994 DHS is underway		1991	44 5	
		1992	47 5	
		1993	50 0	
		1994	53 0	***
		1995	56 0	
		1996	57 0	
	Target	1997	60 0	

STRATEGIC OBJECTIVE Improved family health throughout				
PROGRAM OUTCOME Improved health knowledge, attitudes, and practices among <i>1970-75</i>				
Indicator Indicators for this program outcome are the same as those for the previous program outcome				
Unit Units for these indicators are the same as those for indicators under previous outcome		Year	Planned	Actual
Source DHS, 1989			-----	Indicators are the same as previous outcome
Comments Baseline and planned figures are based on the 1989 DHS, the most reliable source for this indicator Data available every five years		1992		
		1993		
		1994		
		1995		
		1996		
	Target	1997		

**Day One, Afternoon Exercise:
Critiquing LAC Mission Performance Indicators**

PERFORMANCE INDICATORS



- A) REDUCED INFANT MORTALITY RATE
- B) REDUCED LEVEL OF MALNUTRITION AMONG CHILDREN 12-23 MONTHS OF AGE
- C) REDUCED REPRODUCTIVE RISK
- D) REDUCED TOTAL FERTILITY RATES OF WOMEN OF 15-44 YEARS OF AGE

PROGRAM INDICATORS

- | | | |
|---|---|--|
| <ul style="list-style-type: none"> a) Increased Contraceptive Prevalence in Women of 15-44 Years of Age in Union b) Increased Percentage of Rural Women who had a Prenatal Visit at a Health Center During her Last Pregnancy (Within the Last 5 Years) | <ul style="list-style-type: none"> a) Increased Percentage of Children 2 - 3 99 Months who were Breastfeed Only During the Previous 24 Hours b) Increased Percentage of Children Under One Vaccinated for Selected Diseases (DPT Measles Polio and Tuberculosis) c) Increased Percentage of Women Aged 12-49 Vaccinated with a Second Dose of Tetanus Toxoid within the Last 3 Years d) Cholera Fatality Rate (Reduced to Less than One Percent of Reported Cholera Cases) e) Reduced Percentage of Outpatient Visits of Children Under Five to Health Centers Due to Diarrhea f) Improved Treatment for Diarrhea g) Increased Number of Rural Residents Benefitting from USAID-Supported Water and Sanitation Systems | <ul style="list-style-type: none"> a) Reduced Seroprevalence Rate in Commercial Sex Workers and Women Attending a Prenatal Clinic in San Pedro Sula b) Increased Total Number of Condoms Distributed (Sold and Handed Out) |
|---|---|--|

TABLE 2 STRATEGIC OBJECTIVE PERFORMANCE

Honduras				
STRATEGIC OBJECTIVE NO 3 Improved Family Health				
Indicator 3 A Reduced Infant Mortality Rate				
Unit		Year	Planned	Actual
Infant Deaths per Thousand Live Births				
Source EFHS* 1991/1992, EFHS 1995	Baseline	1989	---	50
Comments EFHS Survey in 1995 will provide actual data for 1993 Actual data for 1991 1992, 1994, and 1996 will not be obtained The infant mortality information comes from the national surveys carried out every 4 years. Because the infant mortality figure is the result of an indirect calculation (Brass method), the surveys provide an estimate based on retrospective data provided by the mothers when interviewed. The 1987 survey provided an estimate for the year 1985 (61/1000) and the 1991/92 survey provided an estimate for the year 1989 (50/1000)		1991	48	---
		1992	45	---
		1993	44	Not Available
		1994	43	---
		1995	42	***
	Target	1996	41	---

Indicator 3 B Reduced Level of Malnutrition Among Children 12 - 23 Months of Age				
Unit		Year	Planned	Actual
Percent of Children 12 - 23 Months of Age at Level 2 or Worse Malnutrition (Weight/Age) ⁴				
Source National Nutrition Survey 1987 *EFHS 1991/1992 EFHS 1995	Baseline	1987	---	20.2
Comments This indicator is modified from last year's Action Plan. The data is only available from periodic national surveys. The next survey will be in 1995.		1991	19.5	20.5
		1992	19.0	---
		1993	18.5	---
		1994	18.0	---
		1995	17.5	***
	Target	1996	17.0	---

*EFHS Epidemiology and Family Health Survey

⁴ Level 2 or worse malnutrition is two standard deviations below the median for age and sex

77

Honduras					
STRATEGIC OBJECTIVE NO 3 Improved Family Health					
Indicator 3 C Reduced Reproductive Risk					
Unit	Number of Maternal Deaths per 100,000 Live Births		Year	Planned	Actual
Source	Studies on Maternal Mortality	Baseline	1989	---	221
Comments	The Mission will explore the feasibility of establishing sentinel surveillance sites. These sites would be used to monitor trends in maternal mortality rates by applying the 'sisterhood' method of data gathering. This method, however, cannot be used to infer maternal mortality rates at the national level.		1991	207	---
			1992	193	---
			1993	179	---
			1994	165	---
			1995	150	---
		Target	1996	145	***

Indicator 3 D Reduced Total Fertility Rates of Women of 15 - 44 Years of Age					
Unit	Average Number of Children Born Alive to a Woman During her Lifetime		Year	Planned	Actual
Source	EFHS* 1991/1992 EFHS 1995	Baseline	1987	---	5.6
Comments			1991	5.1	5.1
			1992	5.0	---
			1993	4.9	---
			1994	4.8	---
			1995	4.7	***
		Target	1996	4.6	---

*EFHS Epidemiology and Family Health Survey

Honduras						
STRATEGIC OBJECTIVE NO 3 Improved Family Health						
PROGRAM OUTCOME NO 31 Increased Percentage of Hondurans Who Practice Effective Family Planning						
Indicator 31 a Increased Contraceptive Prevalence in Women of 15 - 44 Years of Age, in Union						
Unit	Percent Sexually Active Women of Reproductive Age, in Union Using Family Planning Methods (Total, Modern Methods Traditional Methods)		Year	Planned	Actual	
Source	EFHS* 1991/1992, EFHS 1995	Baseline	Total	1987	---	41
		Modern Meth			---	33
		Traditional Meth				8
Comments		Total		1991	47	47
		Modern Meth			35	35
		Traditional Meth			12	12
		Total		1992	47	---
		Modern Meth			35	---
		Traditional Meth			12	---
		Total		1993	48	---
	Modern Meth			36	---	
	Traditional Meth			12	---	
	Total		1994	49	---	
	Modern Meth			37	---	
	Traditional Meth			12	---	
	Total		1995	50	***	
	Modern Meth			38	***	
	Traditional Meth			12	---	
	Target	Total		1996	51	---
	Modern Meth				39	---
	Traditional Meth				12	---

*EFHS Epidemiology and Family Health Survey

Honduras					
STRATEGIC OBJECTIVE NO 3 Improved Family Health					
PROGRAM OUTCOME NO 31 Increased Percentage of Hondurans Who Practice Effective Family Planning					
Indicator 31 b Increased Percentage of Rural Women Who Had a Prenatal Visit at a Health Center During Her Last Pregnancy (Within the Last Five Years)					
Unit	Percent Women Who Made a Prenatal Visit to a Health Center		Year	Planned	Actual
Source	EFHS* 1987 EFHS 1991/1992 EFHS 1995, MOH Records	Baseline	1991	---	67.1
Comments	This is a new indicator. To obtain more frequent data than that collected through the EFHS, the Mission will work with the Ministry of Health to determine the availability of valid data on prenatal visits from its ongoing information system.		1992	70.6	---
			1993	74.1	---
			1994	77.6	---
		Target	1995	80.1	***

PROGRAM OUTCOME NO 32 More Effective Child Survival Interventions					
Indicator 32 a Increased Percentage of Children 2 - 399 Months who Were Breastfed Only During the Previous 24 Hours					
Unit	Percent of Children		Year	Planned	Actual
Source	*EFHS 1987, EFHS 1991/1992, EFHS 1995	Baseline	1987	---	19.8
Comments	This indicator was modified from last Year's Action Plan (See Annex A)		1991	25.0	23.2
			1992	28.0	---
			1993	32.0	---
			1994	36.0	---
			1995	38.0	***
		Target	1996	40.0	---

*EFHS Epidemiology and Family Health Survey

Honduras					
STRATEGIC OBJECTIVE NO 3 Improved Family Health					
PROGRAM OUTCOME NO 3 2 More Effective Child Survival Interventions					
Indicator 3 2 b Increased Percentage of Children Under One Vaccinated for Selected Diseases (DPT Measles, Polio and Tuberculosis)					
Unit	Percent Coverage		Year	Planned	Actual
Source	Ministry of Health Annual Reports D= DPT M= Measles P= Polio T= Tuberculosis	Baseline DPT Measles Polio Tuberculosis (BCG)	1990	-----	D= 84 M= 90 P= 87 T= 71
Comments	This indicator has been changed to reflect children under one only. The under ones are the target group for the Health Sector II Project's immunization program. Changes on an annual basis in this group's coverage represent changes in the functioning of the program.		1991	D= 90 M= 88 P= 90 T= 90	D= 94 M= 86 P= 93 T= 100
			1992	D= 91 M= 90 P= 91 T= 91	D= 93 M= 89 P= 94 T= 91
			1993	D= 92 M= 95 P= 92 T= 92	D= 94 M= 94 P= 95 T= 95
			1994	D= 93 M= 95 P= 93 T= 93	***
			1995	D= 95 M= 95 P= 95 T= 95	***
		Target	1996	D= 95 M= 95 P= 95 T= 95	***

Honduras					
STRATEGIC OBJECTIVE NO 3 Improved Family Health					
PROGRAM OUTCOME NO 3 2 More Effective Child Survival Interventions					
Indicator 3 2 c Increased Percentage of Women Aged 12 - 49 Vaccinated With a Second Dose of Tetanus Toxoid (T T) Within the Last 3 Years					
Unit	Percent Vaccinated		Year	Planned	Actual
Source	Ministry of Health Annual Reports	Baseline	1990	---	25
Comments	This indicator has been revised and modified at the national level. The plan to eliminate neonatal tetanus began in 1990. Prior to that year, only pregnant women were vaccinated, but this activity was not properly documented. In November 1993, a data collection system was established which covered vaccinations since 1990. The coverage rates are based on the accumulative number of second doses of Tetanus Toxoid.		1991	72	38
			1992	75	62
			1993	80	85
			1994	95	***
			1995	100	***
		Target	1996	100	***

PROGRAM OUTCOME NO 3 2 More Effective Child Survival Interventions					
Indicator 3 2 d Cholera Fatality Rate (Reduced to Less than One Percent of Reported Cholera Cases)					
Unit	Percent of Reported Cholera Cases that Are Fatal		Year	Planned	Actual
Source	Ministry of Health (MOH) Annual Reports	Baseline	1992	Less than 1	4 2
Comments	The currently high Cholera Case Fatality Rate (CFR) is due to 1) the novelty of the disease in Honduras, and 2) the restrictive case definition (requiring laboratory confirmation) previously used by the MOH.		1993	Less than 1	2 6
			1994	Less than 1	***
			1995	Less than 1	***
		Target	1996	Less than 1	***

Honduras				
STRATEGIC OBJECTIVE NO 3 Improved Family Health				
PROGRAM OUTCOME NO 3 2 More Effective Child Survival Interventions				
Indicator 3 2 e Reduced Percentage of Outpatient Visits of Children Under Five to Health Centers Due to Diarrhea				
Unit	Percent of Total Outpatient Visits of Children Under Five to Health Centers Due to Diarrhea	Year	Planned	Actual
Source	Ministry of Health Annual Reports	Baseline	1990	---
Comments	The goal was reached sooner than expected, probably due to 1) health education campaign related to cholera, and 2) more home treatment of diarrhea with ORS. However, we will continue monitoring activities to ensure that the targeted percentage is maintained		1991	15 7
			1992	12 4
			1993	12 7
			1994	***
			1995	***
		Target	1996	***

PROGRAM OUTCOME NO 3 2 More Effective Child Survival Interventions				
Indicator 3 2 f Improved Treatment for Diarrhea				
Unit	Percent Children Under Five With Diarrhea in Last 3 Days Who Were Treated With ORS	Year	Planned	Actual
Source	*EFHS 1987, EFHS 1991/1992 and EFHS 1995	Baseline	1987	---
Comments			1991	29 5
			1992	---
			1993	---
			1994	---
			1995	***
		Target	1996	---

*EFHS Epidemiology and Family Health Survey

Honduras				
STRATEGIC OBJECTIVE NO 3 Improved Family Health				
PROGRAM OUTCOME NO 3.2 More Effective Child Survival Interventions				
Indicator 3.2.g Increased Number of Rural Residents Benefitting from USAID-Supported Water and Sanitation Systems				
Unit	Rural Population Served With Water and Sanitation (Cumulative)	Year	Planned	Actual
Source	Health Sector II Project (HSII/522-0216)	Baseline	1988	---
Comments	This is a new indicator designed to measure Mission's success in benefitting target population with water and sanitation services	1990	395,800	370,940
		1991	431,000	406,806
		1992	466,200	471,828
		1993	501,400	516,535
		1994	536,600	***
		1995	547,000	***
		Target	1996	554,000

Honduras					
STRATEGIC OBJECTIVE NO 3 Improved Family Health					
PROGRAM OUTCOME NO 33 Increased Use of STD/AIDS Prevention Practices					
Indicator 33 a Reduced Seroprevalence Rate in Commercial Sex Workers (CSW) and Women Attending a Prenatal Clinic in San Pedro Sula					
Unit	Seroprevalence Rate		Year	Planned	Actual
Source	Epidemiological Division, Ministry of Health	BaselinePrenatal CSW	1991	---	36 140
Comments	This is a new indicator. We will use seroprevalence rates at a prenatal clinic and in prostitutes in San Pedro Sula, Comayagua and Tegucigalpa. This will give us information on transmission in a high risk group and in the general population in the geographic epicenter of the epidemic (San Pedro Sula), as well as two cities with increasingly high rates of HIV transmission (Tegucigalpa and Comayagua). Data for 1993 will be available and targets for 1994-6 will be set during AIDSCAP team visit in April 1994.	Prenatal CSW	1992	---	28 163
		Prenatal CSW	1993	---	Not Available
		Prenatal CSW	1994	---	***
		Prenatal CSW	1995	---	***
		Target Prenatal CSW	1996	---	***

Indicator 33 b Increased Total Number of Condoms Distributed (Sold and Handed Out)					
Unit	Thousands of Condoms		Year	Planned	Actual
Source	Ministry of Health Private Sector Population Program II (522-0369), and Mission Procurement/Distribution Records	Baseline	1990	---	2,600
Comments	Actual data for 1992 and 1993 have been adjusted because more accurate information has been received.		1991	3,982	3,176
			1992	3,524	5,150
			1993	5,500	5,400
			1994	5,700	***
			1995	6,000	***
	Target	1996	6,200	***	

270

Table 1 Strategic Objective Program "Tree"

USAID/G-CAP (520 Bilateral Program)
Agency Goal Broad-Based Economic Growth
USAID STRATEGIC OBJECTIVE No 5 Improved Quality, Efficiency, and Equity of Primary Education Services

Program Outcome No 5 1 Improved Classroom Environment	Program Outcome No 5 1 Improved Efficiency in the Allocation and Use of Resources	Program Outcome No 5 1 Increased Equity of Educational Policies and Practices
--	--	--

Projects (Number\Title)	Projects (Number\Title)	Projects (Number\Title)
520-0374 Basic Education Strengthening	520-0374 Basic Education Strengthening	520-0374 Basic Education Strengthening
938-5836 Improving Education Quality	938-5836 Improving Education Quality	938-5836 Improving Education Quality

TABLE 2.5- STRATEGIC OBJECTIVE PERFORMANCE

Guatemala				
USAID STRATEGIC OBJECTIVE NO. 5 Improve the Quality, Efficiency, and Equity of Primary Education Services				
Indicator Decrease repetition rates in first through third grades				
Unit Percentage		Year	Planned	Actual
Source Ministry of Education	Baseline	1991	---	20.5
Comments The institutional contract to provide technical assistance to the BEST project was awarded in July, 1990, and implementation planning began in late 1990. Project implementation began in early 1991. Interventions with an impact on national-level indicators reached the classroom level in the following years: Bilingual Education Services (1989), Management Information Systems (1991), New One-Room School Program (<i>Nueva Escuela Unitaria</i>) (1993), Girls' Education Program (1993), and Academic Achievement Tests (1992).		1992	20.1	21.8
		1993	19.7	19.9
		1994	18.8	
		1995	18.8	
		1996	18.4	
	Target	1997	18.0	
	Indicator Increase completion rates in third grade			
Unit Percentage		Year	Planned	Actual
Source Ministry of Education	Baseline	1991	---	47.4
Comments Both third and sixth grade completion rates were selected because most school dropout occurs prior to the third grade level. In general, students who reach fourth grade tend to complete sixth grade. A measure of the effectiveness of interventions such as Bilingual Education Services, the New One-Room School program, and Girls' Education actions is the extent to which completion is increased at both the third and sixth grade levels.		1992	47.8	50.1
		1993	48.3	47.9
		1994	48.8	
		1995	49.2	
		1996	49.7	
	Target	1997	50.2	

221

Indicator Increase completion rate in sixth grade					
Unit Percentage		Year	Planned	Actual	
Source Ministry of Education	Baseline	1991		27.8	
Comments See comments in previous section for discussion of completion rates		1992	28.1	28.0	
		1993	28.4	28.2	
		1994	28.7		
		1995	29.0		
		1996	29.2		
		Target	1997	29.5	
Indicator Increase average student achievement scores in third grade					
Unit Percentage		Year	Planned	Actual	
Source Ministry of Education	Baseline	1992	---	56.9	
Comments Student academic achievement tests were developed and pilot-tested during the 1991 school year and were applied on a national sample during the 1992 school year. A subsequent evaluation determined that the tests and the application process were flawed to such an extent that the tests could not be applied in 1993 and the results from 1992 could not be used. Test data from existing tests validated by the National Program of Bilingual Education (PRONEBI) are used here as a baseline. PRONEBI tests were applied during 1993, however, the results will not be available until July, 1994, when the <i>Annual Statistical Yearbook</i> is published. New project tests are being developed and applied during the 1994 school year.		1993	56.4	N/A	
		1994	57.8		
		1995	59.2		
		1996	60.6		
		Target	1997	62.0	

Indicator Increase percentage of girls enrolled in third grade						
Unit	Number-Percentage		Year	Planned	Actual	
Source	Ministry of Education	Baseline	1991	- - -	45 5	
Comments	The indicator percentage of girls enrolled is designed to measure reductions in the gender gap between boys' and girls' school attendance .		1992	45 8	45 2	
			1993	46 4	46 0	
			1994	47 1		
			1995	47 7		
			1996	48 4		
			Target	1997	49 0	
		NOTE	This indicator measures enrollment nationwide and does not reflect the variations in girls' enrollment between urban and rural areas and between Mayan and non-Mayan populations			

214

Indicator Increase number and percentage of Mayan students (5-12 years old) enrolled in bilingual pre-primary and primary programs						
Unit	Number-Percentage	Year	Planned	Actual		
Source	Ministry of Education	Baseline	1992	---	107,000 9 8	
Comments This indicator measures the number and percentage of students enrolled in USAID-supported bilingual education programs as compared to the total number of students (Mayan and non-Mayan) enrolled in the entire public-school system			1993	---	112,350 10 0	
			1994	117,960	N A	
			1995	123,850		
			1996	127,000		
			Target	1997	129,395 20 0*	

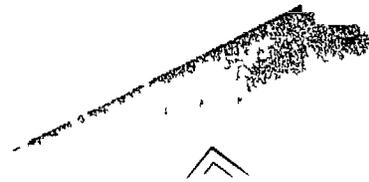
NOTE An agreement has not yet been reached among Guatemala's key actors on the definition of "Mayan " Therefore, it is not currently possible to accurately identify the number of Mayan students enrolled in bilingual programs For this indicator, we include all students enrolled in USAID bilingual education programs as "Mayan "

* The planned target of 20 percent for this indicator will only be achieved if the current program is expanded to 600 additional schools If expansion does not take place, the planned percentage for 1997 will be 11%

PROGRAM OUTPUT NO 5 1 Improved Classroom Environment				
Indicator Percentage of Teachers effectively applying <i>Nueva Escuela Unitaria</i> (NEU), Bilingual Education, and Girls' Education methodologies in target schools				
Unit Percentage		Year	Planned	Actual
Source Ministry of Education	Baseline	1994	TBD	
Comments The BEST project is developing and applying qualitative measures for assessing the effectiveness of teachers in treatment schools in applying these methodologies as compared to a control group of teachers in schools not using the methodologies Research is being conducted during the 1994 school year, and data will be available in December, 1994		1995	TBD	
		1996	TBD	
	Target	1997	TBD	
PROGRAM OUTPUT NO 5 2 Improved Efficiency in the Allocation and Use of Resources				
Indicator Increase percentage of teachers appropriately assigned				
Unit Percentage		Year	Planned	Actual
Source Ministry of Education	Baseline	1993	---	81 6
Comments Appropriate assignment includes 1) assignment to the teacher's mother-tongue area, 2) assignment to the teachers' county of origin, and 3) assignment of a maximum of 40 students per teacher The Management Information Systems activity began collecting these data during the 1993 school year Data for this indicator will be reported in November, 1994		1994	82 5	
		1995	83 3	
		1996	84 2	
	Target	1997	85 0	

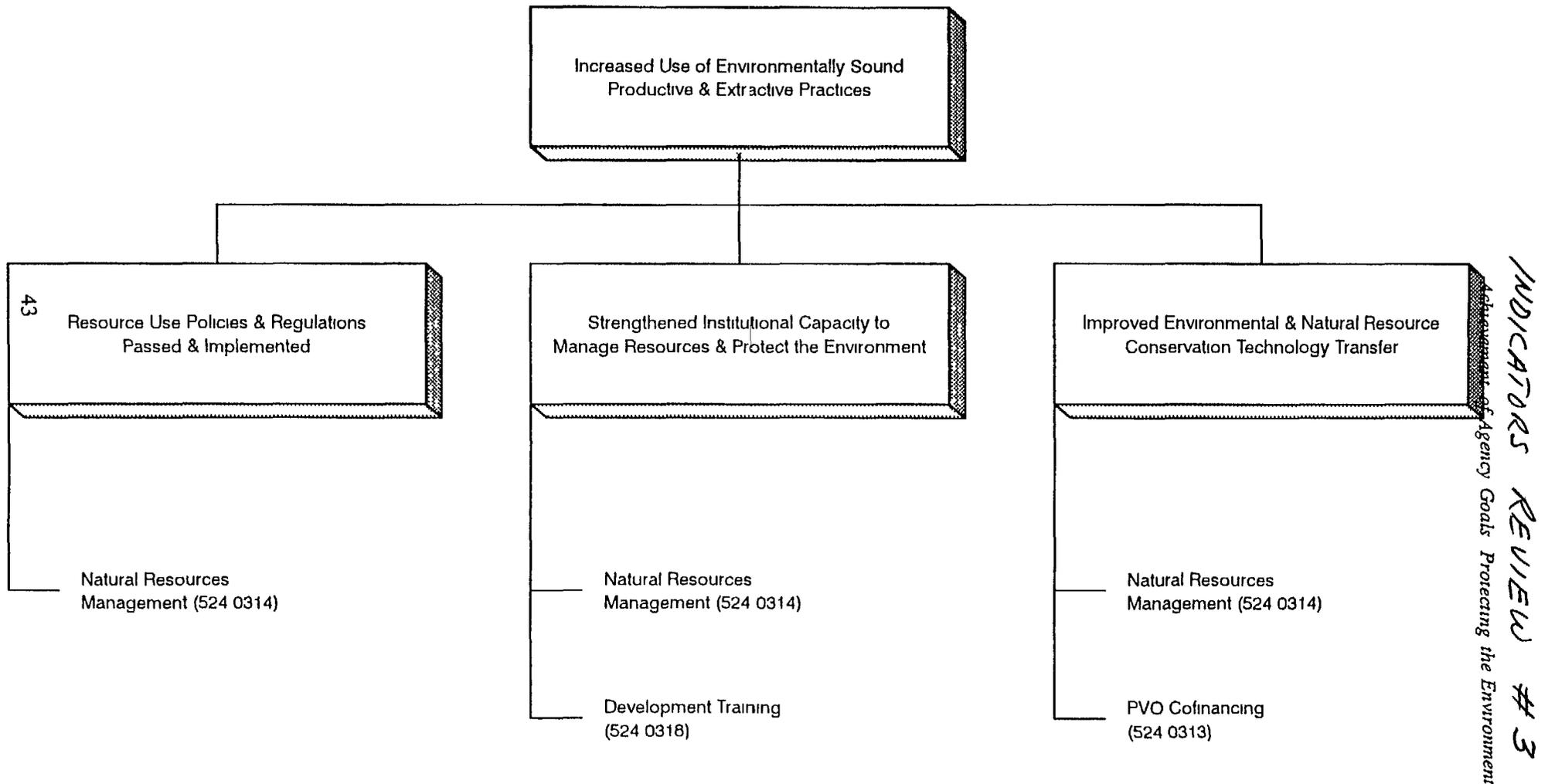
PROGRAM OUTPUT NO 5 3 Increase Equity of Educational Policies and Practices				
Indicator Increase participation of girls in target areas				
Unit Percentage/Number		Year	Planned	Actual
Source Ministry of Education	Baseline	1994	---	TBD
Comments This indicator measures increases in student-teacher classroom interaction through the use of student-teacher interaction protocols Qualitative research is being conducted during the 1994 school year, and findings will be available in December, 1994		1995	TBD	
		1996	TBD	
	Target	1997	TBD	
Indicator Increase participation of Mayan students in target areas				
Unit Percentage/Number		Year	Planned	Actual
Source Ministry of Education	Baseline	1994	---	TBD
Comments This indicator measures increases in community interaction by Mayan students in project target areas Qualitative research is being conducted during the 1994 school year, and findings will be available in December, 1994		1995	TBD	
		1996	TBD	
	Target	1997	TBD	

U \PDSOPUB\DOCS\EDUCTBL AP
(5/23/94)



Agency Goal: Protecting the Environment

Strategic Objective #5: Increased use of environmentally-sound productive & extractive practices



INDICATORS REVIEW # 3
Achievement of Agency Goals: Protecting the Environment

Table 1 5 Strategic Objective Program "Tree"

#5

STRATEGIC OBJECTIVE. Environmentally sound productive and extractive practices

STRATEGIC OBJECTIVE Environmentally sound productive and extractive practices				
INDICATOR Reduced pesticide use on major crops (cotton melons coffee)				
UNIT		YEAR	PLANNED	ACTUAL
SOURCE Nat'l Cotton Commission APENN	BASELINE	1991	-----	30/NA/NA
		1992		18/23/8
COMMENTS USAID/N assistance is focusing on cotton melons & coffee Will be measured as number of pesticide applications per crop per cycle Data is not available on melons & coffee for 1991 Cotton figures for 1993 will be available until the end of the year		1993		14/16/NA
	TARGET	1994	14/8/8	
		1995		
		1996		
		1997		

INDICATOR Rate of deforestation				
UNIT		YEAR	PLANNED	ACTUAL
SOURCE IRENA Servicio Forestal Nacional	BASELINE	1990	-----	100 000
		1991		150 000
		1992		100 000
		1993		75 000
		1994	75 000	
		1995	60 000	
	TARGET	1996	50 000	

PROGRAM OUTPUT Resource use policies and regulations passed and implemented				
INDICATOR Laws and regulations passed and implemented				
UNIT		YEAR	PLANNED	ACTUAL
SOURCE Forestry Decrees/laws passed policies implemented	BASELINE	1992	-----	0
		1993	Decree	Issued
COMMENTS A draft forestry law prepared and under GON review		1994	Law	
		1995	Plan	
	TARGET	1996	Regulations	
		1997		
	1998			

PROGRAM OUTPUT Strengthened institutional capacity to manage resources and protect environment				
INDICATOR Protected area under effective management				
UNIT		YEAR	PLANNED	ACTUAL
SOURCE Plan de Accion Ambiental	BASELINE	1992	-----	0
	TARGET	1993		310 000
COMMENTS The Plan de Accion Forestal projects approximately 500 000 hectares of land will be under effective management by 1998 in Protected Areas No annual indicators have been set for the Plan de Accion Forestal		1994		
		1995		
		1996		
		1997		
TARGET	1998	500 000		

STRATEGIC OBJECTIVE Environmentally sound productive and extractive practices				
PROGRAM OUTPUT Improved environmental and natural resource conservation technology transfer				
INDICATOR Farmers reached by environmentally focused extension programs				
UNIT Number of farmers (cumulative)		YEAR	PLANNED	ACTUAL
	BASELINE	1993	—————	4 000
		1994	4 500	
COMMENTS Initial data will come from Natural Resource Management and PVO Co-Financing projects reporting related to soil conservation and integrated pest management programs	TARGET	1995	5 000	
		1996		
		1997		
		1998		
		1999		

Agency Goal: Protecting the Environment

Strategic Objective #5: Increased use of environmentally-sound productive & extractive practices

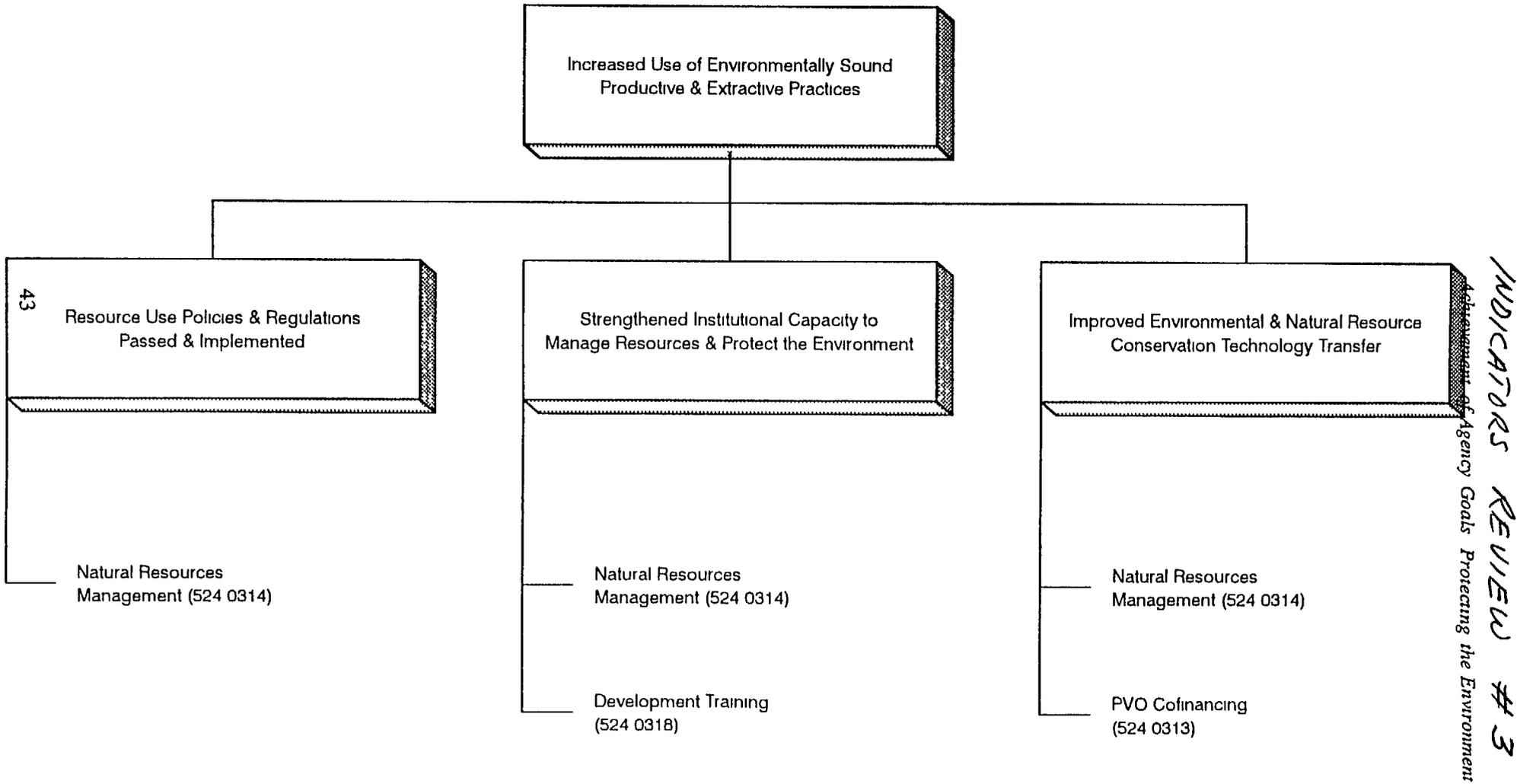


Table 1 5 Strategic Objective Program "Tree"

#5

STRATEGIC OBJECTIVE Environmentally sound productive and extractive practices

STRATEGIC OBJECTIVE Environmentally sound productive and extractive practices				
INDICATOR Reduced pesticide use on major crops (cotton melons coffee)				
UNIT		YEAR	PLANNED	ACTUAL
SOURCE Nat'l Cotton Commission APENN	BASELINE	1991	—————	30/NA/NA
		1992		18/23/8
COMMENTS USAID/N assistance is focusing on cotton melons & coffee Will be measured as number of pesticide applications per crop per cycle Data is not available on melons & coffee for 1991 Cotton figures for 1993 will be available until the end of the year	TARGET	1993		14/16/NA
		1994	14/8/8	
		1995		
		1996		
		1997		

INDICATOR Rate of deforestation				
UNIT		YEAR	PLANNED	ACTUAL
SOURCE IRENA Servicio Forestal Nacional	BASELINE	1990	—————	100 000
		1991		150 000
		1992		100 000
		1993		75 000
		1994	75 000	
		1995	60 000	
	TARGET	1996	50 000	

PROGRAM OUTPUT Resource use policies and regulations passed and implemented				
INDICATOR Laws and regulations passed and implemented				
UNIT		YEAR	PLANNED	ACTUAL
SOURCE Forestry Decrees/laws passed policies implemented	BASELINE	1992	—————	0
		1993	Decree	Issued
COMMENTS A draft forestry law prepared and under GON review		1994	Law	
		1995	Plan	
	TARGET	1996	Regulations	
		1997		
	1998			

PROGRAM OUTPUT Strengthened institutional capacity to manage resources and protect environment				
INDICATOR Protected area under effective management				
UNIT		YEAR	PLANNED	ACTUAL
SOURCE Plan de Accion Ambiental	BASELINE	1992	—————	0
	TARGET	1993		310 000
COMMENTS The Plan de Accion Forestal projects approximately 500 000 hectares of land will be under effective management by 1998 in Protected Areas No annual indicators have been set for the Plan de Accion Forestal		1994		
		1995		
		1996		
		1997		
	TARGET	1998	500 000	

STRATEGIC OBJECTIVE Environmentally sound productive and extractive practices				
PROGRAM OUTPUT Improved environmental and natural resource conservation technology transfer				
INDICATOR Farmers reached by environmentally focused extension programs				
UNIT Number of farmers (cumulative)		YEAR	PLANNED	ACTUAL
	BASELINE	1993	_____	4 000
		1994	4 500	
COMMENTS Initial data will come from Natural Resource Management and PVO Co-Financing projects reporting related to soil conservation and integrated pest management programs	TARGET	1995	5 000	
		1996		
		1997		
		1998		
		1999		

INDICATORS REVIEW
4

TABLE 1: STRATEGIC OBJECTIVE PROGRAM "TREE"

AGENCY GOAL. Stabilizing Population Growth and Protecting Health		
STRATEGIC OBJECTIVE. Improved Family Health Throughout Bolivia		
PROGRAM OUTCOME: Improved development and implementation of health policy	PROGRAM OUTCOME Improved institutional capabilities within the public/private sectors to deliver preventative and curative health services	PROGRAM OUTCOME Improved health knowledge, attitudes, and practices among Bolivians
Projects (Number\Title)	Projects (Number\Title)	Projects (Number\Title)
0616 Technical Support for Policy Reform	0607 Self-Financing Primary Health II	0568 Reproductive Health
0568 Reproductive Health	0608 HIV/STDs Prevention and Control	0594 Community and Child Health
0594 Community and Child Health	0620 PVO Child Survival II	0613 Drug Awareness
0607 Self-Financing Primary Health II	0568 Reproductive Health	0618 CARE Community Development
0608 HIV/STDs Prevention and Control	0594 Community and Child Health	0619 Interactive Radio Learning
936-3023 Macro/DHS	0613 Drug Awareness Control	Urban Development Initiative (PROA)
936-3031 Development Associates Int	0618 CARE Community Development	0607 Self-Financing Primary Health II

936-3035 Population Policy Initiatives OPTIONS II	936-3030 Strategies for Improving Services Delivery	0608 HIV/STDs Prevention and Control
936-3054 International Population Fellows Program	936-3038 Family Planning Logistic Management	0620 PVO Child Survival
936-3062 Pathfinder Int.	936-3045 Training in Reproductive Health JHPIEGO	598-0786 Accelerated Immunization
936-3065 Expansion of Family Planning (IPPF/WHR)	936-3049 Association for Voluntary Surgical Contraception	936-3031 Family Planning Training for PAC IIB
936-5991 Data for Decision Making	936-3050 Population Council Program Grant	936-3046 Demographic Data Initiatives (RAPID IV)
	936-3055 Family Planning Management Development	936-3051 Contraceptive Social Marketing
	936-5122 Program to Eradicate Micronutrient OMNI	936-3052 Population Communication Services
	936-5600 Computer Aided Identification of American Sandflies	936-3057 Central Contraceptive Procurement
	936-5948 Vector Biology and Control	936-3061 Initiatives in Natural Family Planning
	936-5970 T.A. in AIDS and Child Survival (TAACS)	936-5966 Mothercare/JSI
	936-5991 Data for Decision Making	
	936-6006 Basic Support Inst. Child Survival (BASICS)	

TABLE 2: STRATEGIC OBJECTIVE PERFORMANCE

Bolivia				
STRATEGIC OBJECTIVE Improved family health throughout Bolivia				
Indicator Infant mortality rate				
Unit	Deaths per thousand births	Year	Planned	Actual
Source	National Population and Housing Survey (NPH), 1988, Demographic Health Survey (DHS), 1989, UNICEF, Estado Mundial de la Infancia, 1994 (UNICEF), (Actual, 1992)	Baseline	1984	----- 100
Comments	Actual baseline figure for 1984 is based on an average of the NPH & DHS Planned figures are derived from time series analyses based on these sources The target of 60 for 1997 is the official GOB target New data will be available from 1994 DHS		1992	89 80
			1993	76
			1994	72 ***
			1995	68
			1996	64
		Target	1997	60
		STRATEGIC OBJECTIVE Improved Family Health Throughout Bolivia		
Indicator Child mortality rate				
Unit	Deaths per thousand births	Year	Planned	Actual
Source	DHS, 1989, UNICEF (Actual, 1992)	Baseline	1984	----- 142
Comments	Actual baseline figure for 1984 is based on an average of the NPH & DHS Planned figures are derived from time series analyses based on these sources The target of 78 for 1997 is the official GOB target New data will be available from 1994 DHS		1992	125 118
			1993	103
			1994	96 ***
			1995	90
			1996	84
		Target	1997	78

STRATEGIC OBJECTIVE Improved Family Health Throughout Bolivia				
Indicator Maternal mortality				
Unit		Year	Planned	Actual
Deaths per hundred thousand live births				
Source DHS, 1989	Baseline	1982	-----	480
Comments The 1994 DHS will contain a nationwide maternal mortality survey, the first of its kind in Bolivia This survey will provide baseline data for 1994, from which USAID/Bolivia will project future planned levels for this indicator The 1997 target is the GOB target		1992	342	
		1993		
		1994		***
		1995		
		1996		
	Target		1997	240
Indicator Contraceptive prevalence - modern				
Unit		Year	Planned	Actual
Percent				
Source DHS, 1989	Baseline	1989	-----	12 2
Comments The most reliable data for this indicator is available every 5 years, through the DHS The 1994 DHS is underway Planned figures were derived through a time series analyses based on 1989 DHS The 1997 target is the GOB target		1992	17 0	
		1993	18 6	
		1994	20 2	***
		1995	21 8	
		1996	23 4	
	Target		1997	25 0

STRATEGIC OBJECTIVE Improved Family Health Throughout Bolivia					
Indicator Contraceptive prevalence - total					
Unit	Percent	Year	Planned	Actual	
Source	DHS, 1989	Baseline	1989	----- 30 3	
Comments	The most reliable data for this indicator is available every 5 years, through the DHS. The 1994 DHS is underway. Planned figures were derived through a time series analyses based on 1989 DHS. The 1997 target is based on the target value for contraceptive prevalence-modern, and on the assumption that the proportion of some modern methods will increase.		1992	37 9	
			1993	40 4	
			1994	42 9	***
			1995	45 5	
			1996	48 0	
		Target	1997	50 5	
Indicator Adequate Nutritional Status					
Unit	Percent of 3-36 month olds with 2 or more standard deviations below median weight for age	Year	Planned	Actual	
Source	"Maternal & Child Health in Bolivia", a secondary analysis of 1989 DHS	Baseline	1989	----- 13 3	
Comments	The most reliable data for this indicator is available every 5 years, through the DHS. The 1994 DHS is underway. The 1997 target value is the target adopted by the GOB.		1992	11 7	
			1993	11 2	
			1994	10 6	***
			1995	10 1	
			1996	9 5	
		Target	1997	9 0	

STRATEGIC OBJECTIVE Improved family health throughout Bolivia					
PROGRAM OUTCOME Improved the development and implementation of health policy					
Indicator MOH design and implementation of a health care cost recovery strategy					
Unit	GOB health cost recovery strategy		Year	Planned	Actual
Source	GOB			-----	
Comments This indicator on cost recovery policy may be revised over the next year based on GOB plans for Health Sector reform Present plans under development call for decentralization of health service delivery responsibility and a new financing system	Baseline		1992		No strategy
			1993		No strategy
			1994		
			1995	Begin implementation	
			1996	Continue extension	
	Target		1997	Strategy in place nationally	
STRATEGIC OBJECTIVE Improved family health throughout Bolivia					
PROGRAM OUTCOME Improved institutional capabilities within the public/private sectors to deliver preventive and curative health services					
Indicator Diarrheal disease cases appropriately treated by ORT					
Unit	Percent		Year	Planned	Actual
Source	DHS, 1989	Baseline	1989	-----	23 4
Comments Baseline figure is from the 1989 DHS, the most reliable source for this indicator The 1993 actual figure is based on a national government survey from health facilities Planned figures were calculated based on program effort and baseline data The GOB has not yet established targets for this indicator			1992	38	
			1993	41	23
			1994	43	***
			1995	46	
			1996	49	
	Target		1997	52	

STRATEGIC OBJECTIVE Improved family health throughout Bolivia					
PROGRAM OUTCOME Improved the development and implementation of health policy					
Indicator One year old children immunized against DPT					
Unit	Percent of one year olds receiving third dose		Year	Planned	Actual
Source	Secretariat of Health (SNS), National EPI Program	Baseline	1989	-----	23 4
Comments	Actual data comes from SNS vaccination program yearly reports. Planned targets have been revised, and are reported in 1994 UNICEF publication "Mothers and Children in Bolivia, Situational Analysis"		1992	80	64
			1993	85	81
			1994	85	
			1995	90	
			1996	90	
		Target	1997	90	
Indicator One year old children immunized against Measles					
Unit	Percent of one year olds		Year	Planned	Actual
Source	See DPT above	Baseline	1987	-----	17
Comments	See DPT above		1992	80	68
			1993	85	81
			1994	85	
			1995	90	
			1996	90	
		Target	1997	90	

STRATEGIC OBJECTIVE Improved family health throughout Bolivia					
PROGRAM OUTCOME Improved the development and implementation of health policy					
Indicator One year old children immunized against Polio					
Unit	Percent of one year olds receiving third dose		Year	Planned	Actual
Source	See DPT above	Baseline	1987	-----	15
Comments	See DPT above		1992	80	67
			1993	85	83
			1994	85	
			1995	90	
			1996	90	
		Target	1997	90	
Indicator Children immunized against TB					
Unit	Percent of one year olds		Year	Planned	Actual
Source	See DPT above	Baseline	1987	-----	30
Comments	See DPT above		1992	80	83
			1993	85	88
			1994	85	
			1995	90	
			1996	90	
		Target	1997	90	

STRATEGIC OBJECTIVE Improved family health throughout Bolivia				
PROGRAM OUTCOME Improved the development and implementation of health policy				
Indicator Women of reproductive age immunized against Tetanus				
Unit	Percent of women receiving second dose of TT	Year	Planned	Actual
Source	UNICEF (1994)	Baseline	1987	----- 2
Comments	Planned figures come from revised GOB plans published in 1994 Actual figure for 1992 comes from 1994 UNICEF report on Bolivia *GOB data for 1993, however, show a coverage rate of 19% This indicator will be confirmed in the 1994 DHS		1992	80 60
			1993	90 *
			1994	90 ***
			1995	95
			1996	95
		Target	1997	95
Indicator Access to Improved Water				
Unit	Percent of population, urban/rural	Year	Planned	Actual
Source	"Agua para todos Plan Nacional de Agua Potable y Saneamiento" 1992, Ministry of Urban Affairs (Baseline)	Baseline	1990	----- 74 2/29 7
Comments	Actual figures are from the National Directorate of Basic Sanitation, Min of Human Development This report shows no changes from 1991-1993 indicating that no national surveys were done during this period		1992	73 9/32 9 74/31
			1993	74 3/35 2 74/31
			1994	74 9/37 9
			1995	75 6/40 8
			1996	76 3/44 0
		Target	1997	77 2/47 7

292

STRATEGIC OBJECTIVE Improved family health throughout Bolivia				
PROGRAM OUTCOME Improved the development and implementation of health policy				
Indicator Exclusive breastfeeding for three to four months				
Unit Percent		Year	Planned	Actual
Source "Maternal and Child Health in Bolivia", a secondary analysis of 1989 DHS	Baseline	1989	-----	42 7
Comments Baseline and planned figures are based on analysis of 1989 DHS The 1994 DHS is underway		1991	44 5	
		1992	47 5	
		1993	50 0	
		1994	53 0	***
		1995	56 0	
		1996	57 0	
		Target	1997	60 0
STRATEGIC OBJECTIVE Improved family health throughout Bolivia				
PROGRAM OUTCOME Improved health knowledge, attitudes, and practices among Bolivians				
Indicator Indicators for this program outcome are the same as those for the previous program outcome				
Unit Units for these indicators are the same as those for indicators under previous outcome		Year	Planned	Actual
Source DHS, 1989			-----	Indicators are the same as previous outcome
Comments Baseline and planned figures are based on the 1989 DHS, the most reliable source for this indicator Data available every five years		1992		
		1993		
		1994		
		1995		
		1996		
		Target	1997	

**Day Two Morning Exercise:
Recommending Changes
For LAC Region Action Plans**

LAC Regional
Agency Goal Protecting the Global Environment (Biological Diversity)
STRATEGIC OBJECTIVE NO 6 Improved management of critical LAC parks and protected areas from a variety of ecological zones

INDICATORS
* Area/number of parks and protected areas where immediate threats to ecological integrity are addressed (Disaggregated by ecosystem type, with targets)
* Area/number of parks and protected areas sustainably funded from non-USAID sources

<p>PROGRAM OUTPUT NO 6 1 Strengthened government capacity for on-site protection of targeted parks and protected areas</p> <p>-----</p> <p>INDICATORS</p> <ul style="list-style-type: none"> * Adequately trained park guards and park rangers at all sites (according to plan) * Adequate infrastructure at each site (i e , guard houses, trails) constructed according to environmental guidelines (as needed) * Adequate personnel and equipment available for demarcating and patrolling essential park boundaries * Government funding of park site personnel and infrastructure (set target?) 	<p>PROGRAM OUTPUT NO 6 2 Strengthened capacity of targeted NGOs for long-term conservation of on-site biological diversity</p> <p>-----</p> <p>INDICATORS</p> <ul style="list-style-type: none"> * Local NGOs receiving sustainable funding from fundraising, debt swaps, etc * # of NGOs effectively strengthened (according to TNC criteria) * # of local NGOs participating in development and implementation of improved government policies <p>[* NGO Workplans which address threats to key ecological zones approved by USAID??]</p>	<p>PROGRAM OUTPUT NO 6 3 Community constituency developed to support long-term management of targeted parks and protected areas</p> <p>-----</p> <p>INDICATORS</p> <ul style="list-style-type: none"> * # of people (by site, gender and ethnicity) aware of importance of local park site * # of people (by gender, ethnicity) participating in day-to-day planning and management of park sites <p>[* # of people (by gender, ethnicity) gaining economic benefits from alternative sustainable economic activities at and around park sites??]</p>
--	--	---

Projects (Number\Title)	Projects (Number\Title)	Projects (Number\Title)
Parks in Peril (598-0782)	Parks in Peril (598-0782)	Parks in Peril (598-0782)

From original

Project Paper

FY 90

PARKS IN PERIL

I PROJECT PURPOSE AND DESCRIPTIONProject Purpose and Target Beneficiaries:

The Parks in Peril Project is intended to ensure adequate on-site protection for 20 critically threatened national parks and reserves in Latin America and the Caribbean which have global biological significance.

The primary purpose of Parks in Peril is to ensure minimum critical management for each of the targeted sites, elevating these areas from mere "paper parks" to functional protected areas. The project will provide direct grants to non-governmental organizations (NGOs) to assist government agencies in the establishment of a permanent management presence in each protected area. Funds will be provided to survey and post critical boundaries, to recruit, train and equip rangers and community extensionists, to install protection infrastructure, and to promote local community participation in management activities. It will establish and strengthen working partnerships with local NGOs, government natural resource agencies, and other national and international organizations to achieve on-the-ground biodiversity conservation.

Project Description:

Over the past two decades, the nations of Latin America and Caribbean region have taken actions to conserve their natural resources by establishing protected areas systems to safeguard critical watersheds, coastal and marine ecosystems, wildlife, scenic attractions and other areas which provide important environmental benefits to the country. Unfortunately, government budget allocations have not been sufficient to manage these areas and control threats to vital natural ecosystems and their biological resources. Legally decreed boundaries have not been surveyed or marked on the land and personnel to protect and manage the reserves have not been assigned. In the few cases where there are rangers, they have not received the training, field equipment or basic facilities necessary to comply with the legal mandates and control illegal activities. These areas remain as "paper parks"-legally decreed but not physically established on the land.

The Parks in Peril Project will address this problem by establishing a minimum level of adequate on-site protection for 20 high priority areas. The management of a park in peril will begin by surveying the reserve's critical boundaries, posting them, and in some cases installing fences and gates to keep out livestock. At the same time, park rangers and extensionists will be recruited and assigned, trained on the job, and properly equipped to spend long periods of time in these remote areas where they will manage biological resources, promote sustainable resource use with local communities, and monitor illegal activities. Entrance stations, headquarters, and back-country outposts will be constructed to provide shelter for field personnel. These facilities will also be available to scientists for research and to manage wildlife, watersheds, and other natural resources important to the country's sustainable economic development. Finally, basic food supplies, fuel, and repair parts for equipment will be provided to support the operations of the on-site team.

For a typical large park of 100,000 acres, \$60,000 - \$75,000 will be necessary to "jump-start" on-site management activities by purchasing field equipment and installing basic protection infrastructure. In addition, \$40,000 - \$50,000 are required for yearly operational costs. Twenty priority sites at a cost of approximately \$125,000 would require an estimated \$2.5 million.

As the Parks in Peril Project is implemented, The Nature Conservancy will work closely with the NGOs and government natural resource agencies to provide the necessary training and technical assistance. An important component of this effort will be to create innovative financial mechanisms necessary to ensure the long term maintenance of the protected areas. At this time, The Nature Conservancy and its partner organizations are working on several debt-for-nature swaps in the region which will provide a continuous source of funds for basic operations of protected areas. In addition, the focused efforts of the Parks in Peril Project will attract additional funds from foundations and individuals at both a national and international level to support continued activities after the conclusion of USAID support.

Although it cannot be anticipated that the Parks in Peril Project will solve the entire problem of "paper parks", it will provide an important focus for the critical issue of biodiversity conservation. By using realistic "on-the-land" methods for protected areas management which involve NGOs, government agencies and local communities, the project will demonstrate the potential for extended application to other areas. Every opportunity will be taken to promote the lessons learned from this project to other areas in the region through publications, workshops, and personnel exchanges.

Conditions Expected at End of Project:

At the end of the project, it is expected that The Nature Conservancy, in close collaboration with local and international NGOs and government agencies, will.

1 Establish a minimum level of adequate on-site protection for 20 national parks or equivalent reserves with global biological significance. Results will include: surveying and posting critical boundaries, trained and equipped rangers with communications and mobility, and the basic facilities to maintain a permanent protection presence in each area.

2 Train a cadre of skilled protected areas managers, rangers and community extensionists in each park in peril with practical, hands-on experience in park protection and natural resource management. At least 20 directors and 50 rangers and extensionists will receive on-site training during the project.

3. Establish public-private sector cooperative relationships to elevate the status of key protected areas in each country and provide for their long term management. NGO/government cooperative agreements will be signed for park management and local commitments will meet or exceed 15% of the on-site project grants.

4 Promote local community participation in sustainable resource management activities with special consideration for the role of women as community extensionists. The Parks in Peril Project will directly provide enhanced local employment opportunities for protected areas directors, rangers, extensionists, and construction related personnel. Indirect economic opportunities will be enhanced as nature tourism and other sustainable natural resource development activities are initiated. By the end of the project, each park in peril will have established a mechanism for direct local community participation in the protected area's management and development.

5 Ensure a level of critical minimum management in priority protected areas while long term conservation financing mechanisms are designed and implemented. Debt for nature swaps, endowments, nature tourism, and sustainable resource development techniques will be tested on a case by case basis for each Park in Peril.

6 Strengthen the capacity of local NGOs to achieve conservation successes and to build diverse resources to become viable institutions. The NGOs will have direct on-site involvement with the 20 Parks in Peril and will enhance their capacity to assist the government agencies in protection and management actions.

7. Through excellence in results achieved, increase the U S. public's commitment to global conservation of biological diversity. The Parks in Peril Project will provide national and international conservation organizations with the opportunity for improved access to public and private funding for biodiversity conservation. Diversified sources for the continued support of the Park in Peril will be in place at the end of the project

From March 1994 Evaluation of Parks in Peril Project

PARKS IN PERIL

FACTORS FOR SUCCESS - PERFORMANCE INDICATORS

ON-SITE PROTECTION & MANAGEMENT	COMPATIBLE ECONOMIC DEVELOPMENT	LONG-TERM FINANCIAL SECURITY
<ul style="list-style-type: none"> o Ecological values identified o Critical threats/areas located o Boundaries demarcated o Rangers trained/equipped o Transport/communications installed o Basic facilities constructed o Field logistical support o Ecological carrying capacity studies, baselines and monitoring underway 	<ul style="list-style-type: none"> o Socio-economic values identified o Basic human needs satisfied (i.e., health, safety, welfare) o Direct local community/resource user participation in resource management/allocation decisions o Land tenure stabilized o Diverse agricultural/nat resource use w/in carrying capacity <ul style="list-style-type: none"> - watershed management/soil and wildlife conservation - eco-tourism/recreation/research - non-timber products extractive uses - forestry - agriculture/agroforestry - cattle - fishing - mining - urbanization 	<ul style="list-style-type: none"> o Long term financial needs identified <u>Local revenues</u> <ul style="list-style-type: none"> - entrance fees - concession fees - sales - ecotourism revenues - local in-kind support - other? <u>National allocations</u> <ul style="list-style-type: none"> - government budget line item - dedicated fund or trust - conservation NGO support - user fees/taxes <u>International</u> <ul style="list-style-type: none"> - project funding - dedicated fund or trust - other? o Financial Plans approved o Administrative structure in place o Financial resources committed

ECOLOGICAL AND CONSERVATION MONITORING - STRATEGIC INDICATORS

<ul style="list-style-type: none"> o Change in natural vegetation or land cover o Change in distribution/abundance of key species o Change in water quality/quantity 	<ul style="list-style-type: none"> o Change in pattern/intensity of land/resource use o Change in socio-economic conditions of local residents o Change in demographics/health indices o Change in policies/institutions 	<ul style="list-style-type: none"> o Endowment funds established o Diversity of funds generated o Conservation expenditures/accounted
---	--	--

LAC Regional
Agency Goal Democracy
STRATEGIC OBJECTIVE NO 7 Support and Strengthen Regional Democracy Networks and Institutions

PROGRAM OUTPUT NO 7 1 Support and Strengthen Regional Democracy Institutions	PROGRAM OUTPUT NO 7 2 Support and Strengthen Regional Democracy Networks
---	---

Projects (Number\Title)	Projects (Number\Title)
598-0591 Human Rights Initiatives (IIDH/CAPEL)	598-0813 Partners/ Conciencia Civic Ed
598-0802 LA Journalism	598-0800 Accountability & Financial Management
	598-0826 LAC Regional Support (to Strengthen Democracy
	598-0828 Legislative Linkage Project

STRATEGIC OBJECTIVE NO 7 Support and Strengthen Regional Democracy Networks and Institutions				
PROGRAM OUTPUT 7 1 Support and Strengthen Regional Democracy Institutions				
Indicator 7 1 1 Lessened Dependence on USG funds				
Unit		Year	Planned	Actual
Source Recipient Financial Reports	Baseline		-----	
Comments This is one way to indicate the strength of a regional institution Targets to be established during upcoming year		1994	-	
		1995	-	
		1996	-	
		1997	-	
		1998		
	Target	1999		
Indicator 7 1 2 Involvement/Legitimacy of Regional Organizations				
Unit				
Source	Baseline		-----	
Comments Regional organizations actively involved in important issues in the region will become more knowledgeable and respected as organizations		1994		
		1995		
		1996		
		1997		
		1998		
	Target	1999		

PROGRAM OUTPUT NO 7 2 Support and Strengthen Regional Democracy Networks				
Indicator 7 2 1 Strengthened Judicial, Legislative, Civic Education, etc NGOs in LAC				
Unit		Year	Planned	Actual
Source	Baseline		-----	
Comments This indicator is very difficult to measure using quantitative indicators If local NGOs communicate and network with each other and achieve results, then the NGOs can be assumed to have been strengthened		1994		
		1995		
		1996		
		1997		
		1998		
	Target		1999	

Agency Goal No. 4: Democracy

The strategic objectives related to democracy for the LAC Regional program have been modified since last year's Action Plan. A single objective, which supports our commitment to the evolution of democracy, better reflects the intent and objective of the LAC Regional Program.

LAC Regional Strategic Objective No 7. Support and Strengthen Regional Democracy Networks and Institutions

Overview: To attain this strategic objective, the LAC Bureau has identified two program outcomes: (a) strengthened regional institutions that support democracy and (b) strengthened networks of democratic institutions and reformers. To accomplish the former program outcome, the LAC Bureau supports the Inter-American Institute for Human Rights and the establishment of the Regional Journalism Training Center. The latter program outcome is being accomplished through the Civic Education Project (a grant to the National Association of the Partners of the Americas), the Accountability & Financial Management Improvement Project and two new projects to support an association of democratic NGOs (beginning FY 1995) and a network of legislatures (beginning FY 1996). The LAC Regional program will continue to build the network of judicial reformers in the LAC region by continuing to support the National Center for State Courts.

A. Strengthened Regional Institutions that Support Democracy:

-- The LAC Regional Program supports IIDH and its electoral assistance arm, CAPEL. Based in Costa Rica, IIDH conducts courses to enhance the awareness of Latin American leaders regarding the importance of human rights issues. IIDH held its 11th interdisciplinary course on human rights for Latin American practitioners in which over 135 participants representing 34 nations throughout Latin America and the Caribbean attended. The Institute was also successful in increasing international donor support to the point where USG contributions now represent only one-third of the total funding for the 10-day training program. Evidence of enhanced awareness of the importance of human rights is demonstrated by the increase in the number of applications that IIDH receives and the wider support from the western hemisphere and Europe for the course.

Respect for the Institute as a major interlocutor in the field of human rights is demonstrated by the ongoing requests for Institute participation in global conferences and regional meetings. The Institute played a role at the Vienna World Human Rights Conference. Institute director, Dr. Sonia Picado, received the UN's highest award for human rights in 1993 in recognition of the Institute's growing contribution to the field.

The Institute has played an advisory role to the UN Refugee Commission (ACNUR), it has been the technical support for the human rights work of ONUSAL, the UN Mission in El Salvador. It has also provided technical assistance to the government of Colombia on human rights education

CAPEL has increased its role and visibility in the hemisphere. It remains the secretariat for the regional associations of election magistrates and performed technical assistance to governments and election tribunals in Ecuador, El Salvador, Panama, Paraguay, the Dominican Republic and Mexico over the past year. It also worked on observer missions in Venezuela, El Salvador and Guatemala. CAPEL's publications on political parties, electoral laws and electoral systems remain a vital component of their programming. In the last year, CAPEL published a comprehensive guide to election data in addition to its regular publication, Boletín Electoral. In summary, CAPEL has served as an important contributor to democracy building, and through its electoral assessments has supported the process of transition and consolidation in the region in 1993.

--The Latin American Journalism Project (LAJP--formerly the Central American Journalism Project), was amended this year to allow for the establishment of the Regional Journalism Training Center, to be located in Panama; to expand participation to the Andean countries, and extend the project through March 1997. Florida International University (FIU) expects to have the Center operational by 1995. Media owners have already contributed \$800,000 toward the \$1.5 million endowment needed. A needs assessment, conducted in the Andes in early 1994, determined that the Andes has similar problems and needs as do journalists in Central America. The purpose of the assessment was to determine if the market existed in the Andean region for services to be opened by the training center. However, due to the current unavailability of funds, LAC/RSD is not planning to initiate journalism strengthening activities in the Andes at this time.

An estimated 50% of the journalists in Central America, except Nicaragua, have received some basic training under the project. The first Premios Proceper (a new regional journalism award) was given out last May under the project. FIU is increasing its efforts to work with media owners and managers to improve the efficiency of their operations. FIU also is designing seminars targeted to topics such as coverage of elections, the judiciary, the legislature and the environment thereby generating greater integration with other democracy strengthening programs.

B. Strengthened Networks of Democratic Institutions and Reformers:

--The Civic Education Project began at the end of FY 93 through a grant to the National Association of the Partners of

the Americas (NAPA, or Partners). NAPA provides training and technical assistance to local NGOs and selected governmental entities that carry out democracy education activities. More specifically, the Project helps local groups conduct needs assessments, provides seed grants to grassroots projects, and supports networking and mutual assistance at the local, national and international levels. Though modestly funded, it has helped spawn and will complement an ever-growing number of bilaterally funded civic education projects and activities throughout the hemisphere.

Central to project implementation are the network and expertise of NAPA and their many institutional chapters and affiliated individual collaborators. Through individual and organizational ties, the Partners are incorporating many other entities in the implementation of this Project, such as the League of Women Voters, the American Federation of Teachers, law school faculties of various universities, newspapers and journalists, bar associations in the United States and Latin America, and the National Audubon Society.

--Under the Regional Accountability and Financial Management Improvement Project and its predecessor, a common "Integrated Financial Management System (IFMS)" concept is promoted and disseminated throughout LAC. The implementation of the concept will improve governmental accountability and financial management. The project seeks to build or support self-sustaining regional professional organizations to promote sound financial management and accountability. A Donor Working Group, on which the project's implementing contractor (Casals and Associates) serves as the Executive Secretariat, is a key element for the coordination and involvement of major donors (including the Inter-American Development Bank and the World Bank) interested in financial management in the region. Due to overall LAC budget constraints, the level of effort and period of the project are being substantially reduced.

--Proposed for start in FY 1995, the Association of Democracy NGOs project will establish an association of democracy NGOs in Latin America whose purpose will be to support and strengthen a network of intermediary civic associations within Latin America. The Association would identify and promote the availability of Latin American experts -- and through them, the transfer of skills, materials and experience -- to groups in other countries seeking to encourage citizen participation in democratic processes. It would provide training and technical assistance to member organizations, and would promote dialogue and information sharing among Latin American NGOs, think tanks, government and political reformers, civic groups, universities and other associations. Activities of core group members that are regional in nature or can serve as models for less-developed democracy-oriented NGOs would also be supported.

--Because most efforts in legislative strengthening are bilaterally funded, there are few, if any, avenues available to bring together legislators and/or legislative staff on a regional or sub-regional basis to share experiences, information and lessons learned. A new FY 96 project, the Legislative Linkage Project, seeks to tap the wealth of resources in the United States to introduce new concepts and methodologies and provide for information exchange among Latin American legislators and legislative staff members in much the same way the National Center for State Courts (NCSC) brings to bear U.S. experience and expertise to AOJ issues.

Other LAC Regional Democracy Activities: While not directly supporting the LAC Regional democracy strategic objective, the following additional activities are an important part of the democracy program in LAC.

--Civil-Military Relations: This activity addresses an important, yet often ignored, area for the consolidation of democracy in Latin America in the 1990s. If democracy is to flourish, militaries must be supportive of the rule of law and constitutional government, and civilians must be knowledgeable of national security issues including military budgets and oversight of the military. The American University has contributed greatly to the knowledge base in the region through scholarship, exchange, dialogue and networking with prominent Latin American experts, both civilian and military. It continues to sponsor events and to publish current, thoughtful works on the subject matter as well as to respond to specific requests such as assisting with the establishment of the Strategic Studies Center for National Security (ESTNA) in Guatemala. A second volume of studies, tentatively titled "Civil-Military Relations in the Year 2000" will soon be published. This work examines the consolidation of democracy and the importance of civilian-military relations in the post-cold war period. A follow-on proposal from American University is being reviewed to continue support for this important subject in more concrete and objectively verifiable means such as training and technical consultancies as well as research and dialogue. Unfortunately, an adverse legal opinion and ESF budgetary shortfalls have delayed approval of this project. Plans are made to provide modest additional support to the ongoing dialogue project in order to respond to requests for assistance in El Salvador, Ecuador, Argentina, and Chile.

--Labor-Management Relations: A new FY 1996 project, the Labor-Management Relations Improvement project, is part of a comprehensive effort to modify the traditional, adversarial labor-management relations that historically have hampered economic growth and democratic institution-building in the LAC region. This project will attempt to displace this model through the creation of cooperative, nonadversarial labor-management

models at the plant level in selected countries. The effort to institutionalize cooperative labor relations models in an outgrowth of findings and recommendations originating from a series of USAID-sponsored activities in the region including the Inter-American Symposium on Emerging Frameworks for Labor-Management Cooperation held in the Dominican Republic in February 1993, and four workshops on Innovative Labor-Management Cooperation Models currently underway. The cooperative labor-management models to be developed under this project will empower workers and management in unionized plants through joint participatory efforts to improve overall working conditions and wages, productivity, and competitiveness in regional and global markets. Once in place, these models will be showcased throughout the LAC region so that they may be replicated.