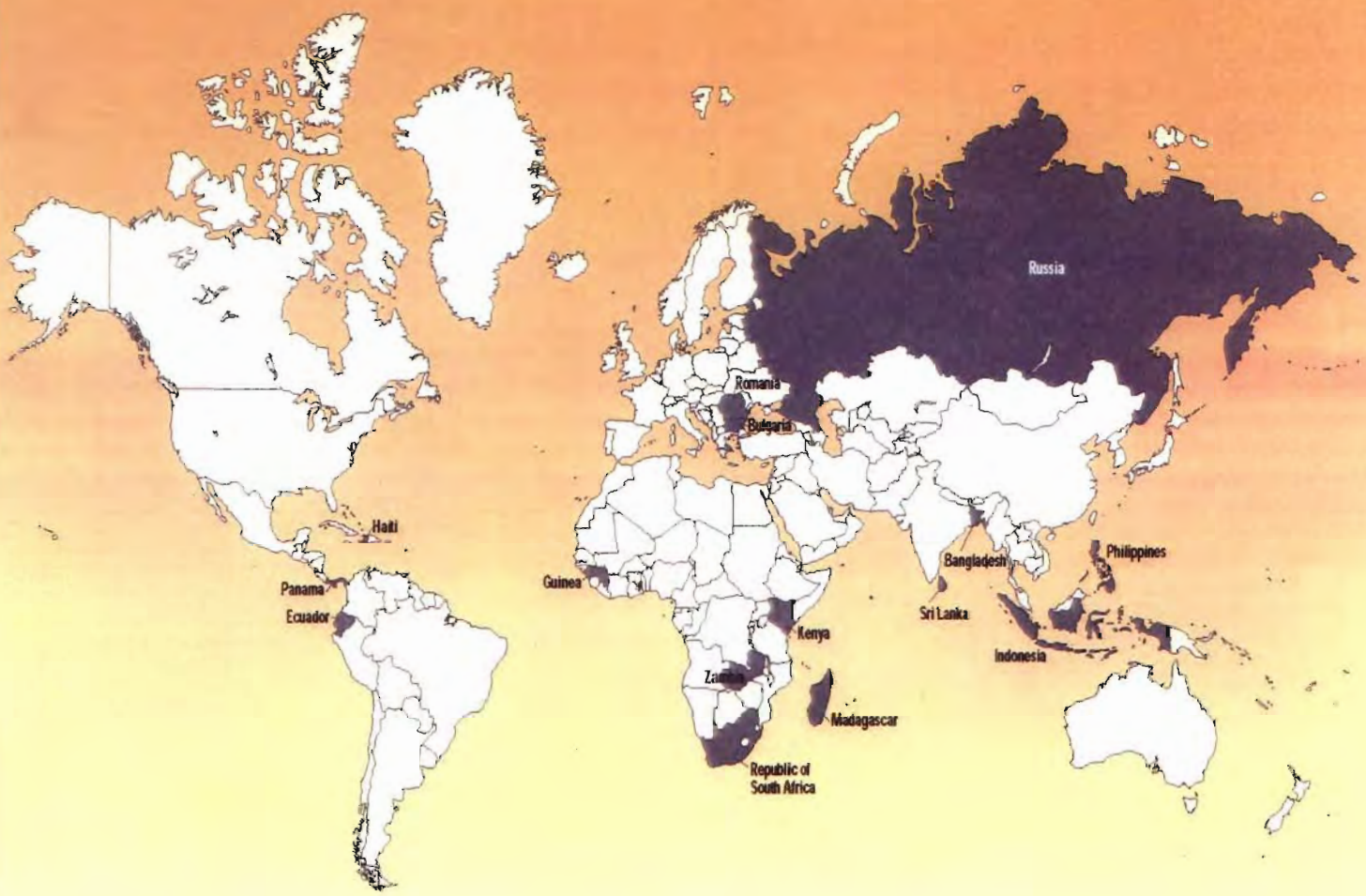
NPI Resource Guide

New Partnerships Initiative: A Strategic Approach to Development Partnering



U.S. Agency for International Development
Washington, D.C.

Report of the NPI Learning Team
January 1997

Volume II

NPI RESOURCE GUIDE

A STRATEGIC APPROACH TO DEVELOPMENT PARTNERING*

Report of the NPI Learning Team

January 1997

Volume 2

**NPI promotes the art and habit
of strategic partnering
for collective problem-solving
at the community level.**

* Third edition. The NPI Resource Guide is the report of the NPI Learning Team to the Administrator of USAID. It brings together the results of the NPI Learning Phase (in which 15 USAID Missions participated) and is designed as a tool for strategic partnering. Relevant policy and program guidance will be issued as appropriate pending final review by USAID senior management.

This document can be accessed on the USAID website:
http://www.info.usaid.gov/pubs/npi/npiresrc.htm

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"Unleashing a new community spirit of cooperation and empowerment could, in effect, remove one of the most important constraints to development in Guinea."

USAID/Guinea NPI Report

NPI LEADING EDGE MISSION

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NPI FINAL REPORT -- *USAID/Bangladesh*

I. INTRODUCTION

As a Country Experimental Laboratory (CEL) under reengineering, USAID/ Bangladesh formed a partnership with The Asia Foundation (TAF) and the Bangladesh Rural Advancement Committee (BRAC) to strengthen civic processes (e.g. advocacy, and alternate means of dispute resolution) and institutions (e.g., local associations and elected bodies) identified by the socially and economically disadvantaged as important to their lives.

Although the Partnership's program is being financed primarily by USAID, the partners jointly developed the strategic approach and activities packages. Furthermore, the partners jointly select implementors to carry out partnership activities and share risks and accountability for results. The Partnership expects most implementors to be small- or medium-sized Bangladeshi NGOs interested in transforming themselves into civil society organizations (CSOs).

USAID/Bangladesh's (USAID/B's) strategy as an NPI Leading Edge Mission is to expand and enhance the results of its civil society activities by linking them to those of the European Commission (EC) through the new Transatlantic Agenda (NTA). The goal is to make the EC a full member of the "Democracy Partnership," sharing responsibility for decisions, financing and results. Joining interests in this manner gives increased emphasis and impetus to building robust civil society organizations in Bangladesh.

Such a partnership is possible because the EC and the U.S. share democratic and market-oriented values, as reflected in the agenda of the NTA. Moreover, the presence of the EC in the Democracy Partnership would give additional emphasis, before the government of Bangladesh, to the importance of robust CSOs and--through its additional resources--expand and enhance the impact of Partnership results.

Full partnership in this manner pushes the leading edge of donor coordination beyond parallel or co-financing and donor consortia by shifting the locus of interactions to programming decisions and results rather than financial transactions. In other words, as an NPI Leading Edge Mission, we seek to convert shared interests among donors to a common goal, strategic objectives and activities thereby expanding and enhancing support for the development of a robust civil society in Bangladesh.

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II. PROMOTING CIVIL SOCIETY IN BANGLADESH: THE ENVIRONMENT, CAPACITY AND ACTIVITIES

Bangladesh has a wealth of associations. More than 15,000 are registered with the Ministry of Social Welfare under the Social Welfare Act of 1861. The variety of associations includes professional groups (e.g. lawyers, doctors, teachers), business groups (e.g., the Dhaka Chamber of Commerce and Industry as well as associations of rickshaw pullers, taxi drivers or small shop owners) and private development organizations (e.g., Grameen Bank, BRAC, PROSHIKA), of which over 1,000 are registered with the government to receive foreign donor support.[1]

Such organizations are critical to Bangladesh's development. For example, a mix of local and American NGOs provides 15 percent of the family planning services available in Bangladesh. In the education sector, the government has financed some of the over 40,000 non-formal schools operated by BRAC.

However, if CSOs are defined as those which seek to influence public policy and are independent of the government, then Bangladesh becomes much poorer. Outside the fields of human rights, and, much more recently, environment, there are few CSOs and citizens groups which try to go beyond traditional development roles. Those that do try frequently experience great difficulty in obtaining the cooperation or approval of government.[2]

For example, two such groups, a traditional human rights advocate, the Coordinating Council for Human Rights, Bangladesh, and a newly formed coalition of 180 private associations or NGOs, called the Fair Election Monitoring Alliance, encountered substantial delays in obtaining approvals to observe the 1996 national elections. Approvals only came after substantial pressure from Western embassies and substantial reductions in the number of polling stations each would be allowed to observe. Hence, while the environment for developmental NGOs in Bangladesh is quite favorable, that for CSOs is much less so and needs to be enhanced as does the capacity of CSOs.

The Mission's strategy for enhancing CSOs is incremental and works from the bottom-up. It was developed using rapid appraisal techniques to identify civil processes and institutions of primary importance to the socially and economically disadvantaged and seeks to enhance or strengthen the performance of these processes and institutions. It has three key components. First, it seeks to strengthen the capacity of local associations to advocate on behalf of their members and of national organizations to develop their advocacy agendas based upon inputs from

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[1] See Leslie M. Fox, "A Study of PACT/PRIP Indigenization Plans," (USAID Contract No. 388-0072-0-00-4035; July 10, 1994) for a quick assessment of the NGO community in Bangladesh.

[2] An assessment of CSOs in Bangladesh is available in Harry Blair and Joel Jutkowitz, "Civil Society and Democratic Development in Bangladesh," (CDIE: 26 August 1994).

the socially and economically disadvantaged. Second, it seeks to enhance the capacity of locally elected bodies to receive inputs from and respond to the interests of the socially and economically disadvantaged and will promote a national level dialogue on strengthening local government. Third, it strengthens alternate methods of dispute resolution as a means of resolving conflicts which might arise as advocacy skills increase.

The Mission's CSO strategy will also be used to strengthen related aspects of its health and fertility and food security strategies. For example, the Mission supports a local initiative family planning program and rural roads program. Both programs work through the locally elected union councils, and partnership initiatives to strengthen the union councils will contribute to the effectiveness of these programs. The new rural power program (see Case Study 2) has as one of its four components an intermediate result to enhance participation of members. The members of the power cooperatives will first be educated on why it is important to be active in the cooperative, then they will be given the skills necessary to be responsible, active owners.

In addition, the cooperatives will be encouraged, and given the skills, to become involved in community activities that are outside its direct role of power supply, but that better the overall condition of the community. USAID/B's new activity to raise incomes will have components relating to private sector policy advocacy and to involve local associations and/or NGOs to help our customers in identifying job opportunities.

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Gender issues naturally featured in the development of the Mission's civil society strategy. Half of the individuals interviewed during the Mission's appraisal stage were women; half of the interviewers were women; and the appraisal team consciously made sure that women talked to women to ensure their free, frank and candid comments. In addition, most local associations in Bangladesh are women-based and the strategy includes specific activities to encourage women to stand for election to local government because both the men and women interviewed thought that if more women were elected, then local government would be more equitable. Similarly, alternate dispute resolution focuses more on women because their access to the formal judicial system is more constrained. Finally, the Mission has a successful program promoting micro- and small-women entrepreneurs upon which it expects to build its new business and employment program.

III. LESSONS LEARNED

The USAID-EC-TAF-BRAC Partnership is yet to be finalized, so our lesson learned relates to the progress to date. A key of the success to date is a very logical and workable division of labor between USAID/Bangladesh and USAID/Washington to establish this partnership. The NTA provided the overarching framework within which EC and USAID field offices were able to identify and design a local partnership. The Mission has been able to focus on the programmatic details of the Partnership while USAID/W has been primarily interested in facilitating the Partnership. USAID/W, working with Brussels, has expedited the blending of bureaucratic requirements of two organizations so that the field offices can bring the local partnership to fruition.

While our partnership with the EC is yet to be formalized, we have over a year's experience with partnering in a new way with our traditional implementors. The Democracy Partnership is an outcome of USAID/B's country experimental laboratory. It includes USAID, The Asia Foundation, and the Bangladesh Rural Advancement Committee, an established Bangladeshi NGO with village organizations in approximately 27,000 communities providing a variety of development services. The Partnership's purpose is to broaden participation by the socially and economically disadvantaged in the democratic institutions and processes of Bangladesh. Partnership activities will be implemented primarily by small- and medium-sized Bangladeshi NGOs. USAID plans to fund the Partnership's activities through the year 2000 at an estimated cost of $5.5 million.

Staff from all three organizations worked together virtually full-time through July, August and September 1995 to jointly develop the program's strategic approach and activities packages. Furthermore, the partners are jointly selecting implementors to carry out Partnership activities and share risks and accountability for results.

The Partnership has already learned several lessons in this regard including the need to define expectations and relationships clearly and early; to balance representation; and to pay attention to process and participation.

As a CEL, USAID/B established a fully empowered team of USAID employees (The Democracy Team or D Team) to design a new democracy activity. The team wanted to bring our partners into the design process as soon as possible so that we could jointly develop our strategy, rather than asking them to implement an already developed project. This was accomplished through the use of an assistance instrument which allowed us to expand the Partnership to include TAF

and BRAC after the initial customer survey, but before establishing the results framework. Nevertheless, the D Team had been working together for several months when TAF and BRAC were selected as partners.

Team members had developed a good working relationship among themselves and had a commitment to meeting the goal of completing the design in less than six months. TAF and BRAC were not used to donors being so involved in the design of a project, and there was an initial, intensive period of about two weeks spent sorting relationships. What moved the group along was the shift in focus from process and relationships to completing the task at hand. Once we focused on getting the job done, these conflicts subsided and were put behind us, and the design was completed on time.

The focus on relationships between partners cannot be emphasized enough. In its final report of the design phase, TAF stated "Because USAID is the 'upper riparian' in funding relationships, it needs to be especially sensitive to issues of balance between itself and its partners. In the case of all partners, there must be a willingness to compromise and relinquish some control of the process."

To address this concern, decisions within the Partnership are made on a consensual basis. While this increases the risk of delaying or not making a decision because we cannot come to agreement, so far this has not happened. Working on a consensual basis may also slow us down slightly, but the increase in group cohesiveness is worth the tradeoff. We have also taken steps to ensure that USAID representation on sub-teams (four to five member teams which focus on intermediate results) does not exceed that of TAF and BRAC.

IV. CASE STUDIES

PARTNERSHIP CASE STUDY 1: The Democracy Partnership

The Democracy Partnership is an outcome of USAID/B's country experimental laboratory. It includes USAID, The Asia Foundation, and the Bangladesh Rural Advancement Committee, an established Bangladeshi NGO with village organizations in approximately 27,000 communities providing a variety of development services. The Partnership's purpose is to broaden participation by the socially and economically disadvantaged in the democratic institutions and processes of Bangladesh. Partnership activities are implemented primarily by small and medium sized Bangladeshi NGOs. USAID plans to fund the Partnership's activities through the year 2000 at an estimated cost of $5.5 million.

Further to this, and as part of the NTA, USAID/Bangladesh proposed itself as an NPI Leading Edge Mission to expand and enhance the results of its civil society activities by linking them to those of the European Commission (EC). The proposal would have made the EC a full member of the "Democracy Partnership," sharing responsibility for decisions, financing and results. Joining interests in this manner gives increased emphasis and impetus to building robust civil society organizations in Bangladesh.

Partly due to political commitment of the NTA, and due to the bottom up approach taken by the Democracy Partnership in developing its results framework, the EC was very receptive to becoming a full member of the Partnership. The EC had confidence in what was developed by the Democracy Partnership and saw an equally challenging role to get involved as a full member partner as well as a parallel/co-financier.

Initial discussions between the Partnership and EC representatives in Dhaka showed a common interest in civil society activities and membership in the Democracy Partnership despite staffing constraints. With these constraints the EC opted to be involved in only one of Partnership's two SOs. Even at that level, the EC's staff dedicated to civil society activities needs to be supplemented. Once final Brussels' approval is given for this activity, the EC will enter into discussions with the Partnership on how this can be accomplished.

Full partnership in this manner pushes the concept of donor coordination beyond parallel or co-financing and donor consortia by shifting the locus of interactions to programming decisions and results rather than financial transactions. In addition, the Democracy Partnership has developed a participatory monitoring plan to track the results of its program.

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Although EC review of this activity is on a "fast track", it has taken several months for the proposal to work its way through headquarters approval. At the time of this report Brussels has yet to give final approval to this activity. This approval is expected in early 1997, with implementation to begin soon after that.

CAPACITY BUILDING CASE STUDY 2: The Palli Biddhut Samities - The PBS Program

Starting some 20 years ago, USAID/B--working together with the host government--pioneered a move to provide much needed power to rural Bangladesh. At that time, only one to three percent of rural Bangladesh had access to electricity. In order to stimulate the economic growth of Bangladesh, the semi-autonomous Rural Electrification Board (REB) and Palli Biddhut Samities (PBS), which is Bangla for Rural Electric Cooperatives, were launched to steer the much needed move towards energizing rural Bangladesh.

Although other donors have taken avid interest and put great financial stake in the REB since the mid-1980's, initially all financial and technical support was provided by USAID/B through its bilateral assistance to the host government. Three successive grants (the last of which is slated to end in May 1997) saw USAID/B provide almost $200 million to the RE program.

USAID/B's initial assistance to the REB in 1976-78 focused on the establishment of the PBSs. Most of the PBS' have their base and area of operation in rural to semi-urban locales. Start-up costs, including construction of the PBSs, and the whole gamut of commodities -- electrical, mechanical, poles, power transmission lines, transformers, meters and other ancillary accessories -- needed to set power sub-stations, were provided under the USAID grants. However, all these costs, though initially given by USAID to REB as a grant, are considered by the REB as loans to PBSs and are to be repaid by PBSs to REB after certain length of time.

At the apex of a PBS is a governing body with a President, General Secretary and members elected for two-year terms from different strata and professions of the area where the PBS serves. All the consumers of the PBS are general members of the PBS. The management of PBS is headed by a General Manager appointed by REB and is aptly staffed with both technical and administrative support staff.

Of the 55 PBSs in place now, the first 17 came into existence from USAID funding. The remaining 38 since the mid-1980's have been funded by IDA, DANIDA, Kuwait and others. At present, the overall electrification coverage of Bangladesh stands close to 40 percent, up from less than 3 percent when the project started. With eight new PBSs planned, plus area expansion and intensification by existing PBSs, the hope is to have full coverage of rural Bangladesh by the year 2005.

At present, sixty percent of the PBSs are profitable concerns having fully repaid their loans to REB. This can be attributed to REB's active role and PBS' eagerness to improve both the management capability and strength of their technical and administrative operations as well as a strong commitment and accountability to their customers. Because of this accountability and capability, the system loss of PBS' are far below that of the public sector utilities. Customer demand exceeds supply and some of the PBS' plan to expand their geographical energization coverage without seeking any additional financial assistance from REB.

Case Study 2, cont'd

Because of the PBSs, a wealth of change and benefit has accrued to the rural poor. It is estimated that incomes of areas with electricity are 15 percent higher than those without. Booming economic opportunities and benefits for the general rural masses unseen and thought of even 10-15 years ago now exist. Examples of businesses that use PBS power range from small business or commercial establishments to small and medium rice mills, timber mills, tube well cooperatives, village and other local level schools, and charitable institutions.

The doors have opened up for people to spur economic activities and jobs have been created alike for both men and women in rural areas. Rural poor and landless laborers, especially female, have found jobs adequate to sustain their livelihoods. The ability to study after dark has fostered higher student enrollments in rural educational establishments. This will continue to be the success story of the future as PBS' expand their coverage and even, given the proper impetus, undertake power generation projects.

V. NEXT STEPS

The Mission's current Population/Health, Rural Power, and Increased Income designs are all modeled on the D Team's design experience. Each of these designs took the basic approach used by the D Team and adapted it to their own circumstances. However, the basic strategy of customer appraisal, joint strategy development (sometimes including the government) and revalidation with the customers is followed.

Partnership, as USAID/B has put into practice, involves intensive cooperation with our implementing partners in all stages of an activity. In the past we have contracted with consultants to prepare Project Papers which led to Project Authorizations and finally to a contract, grant or agreement with an implementing organization. With our emphasis on shortening the design phase, we now go from idea to implementation by being involved in all steps including conducting customer appraisals, selecting a partner(s), designing the activity, and then on to implementation.

Our new way of doing business has two advantages--it is faster and cheaper. However, whereas in the past we could use PD&S funds to fund the design, now that USAID staff go to the field and conduct the customer survey, we must use OE. The cost to USAID for one customer survey is about $25,000, just for overtime, per diem and vehicle running costs. With four new designs in FYs 95, 96 and 97, plus annual customer surveys for the R4 exercise, we will need to conduct about 15 customer surveys over this period, at a total estimated cost of $375,000. This amount is certainly less than consultants would cost, but it is from ever-tightening OE funds. The use of PD&S or some other non-OE source of funds for these design and reporting requirements would facilitate our staying in touch with our customers.

Customer appraisals offer a good opportunity to keep teams appraised of each others activities and progress. No team is large enough to field a customer appraisal team on its own, and must rely on other teams to supply additional members. By cross-staffing these appraisal teams with members of other SO or achieving teams team members keep in touch with what other teams are doing, much more so than reading about it in a report or listening to a presentation. In addition, one team's experience or approach can be transferred to another team via this exposure.

USAID/B did not have an "Office of Democracy" before reorganizing along a team basis. Therefore, members of the Responsive Government Team do not have backgrounds as technical "Democracy Officers" as those in the Agricultural, Population, Nutrition, or Private Enterprise fields. As democracy-governance is a relatively new field to USAID, we suspect that this is an issue faced by other Missions. A first step in addressing what we see as a shortcoming is to identify training that team members can utilize to develop democracy-governance skills. Because of short OE resources, we have looked to in-country training first. In addition to in-country training we can utilize, USAID/B has offered to host a regional democracy-governance workshop.

Not only will hosting a regional workshop bring training resources to us, it will offer us the chance to present to others our approach to partnership. USAID/ Bangladesh believes it has developed some good models relating to customer focus and partnership and we would like to present these models.

NPI FINAL REPORT -- *USAID/Bulgaria*

I. INTRODUCTION

Even before the Agency launched NPI, USAID/Bulgaria was undertaking a major program reorientation which made the strengthening of civil society a paramount goal. This change in direction grew out of a 1994 comprehensive evaluation of the U.S. country assistance strategy. The review concluded that the Bulgarian government's (GoB's) halting progress on economic and political reform called for a shift in program focus away from central authorities to local government, small business and nongovernmental organizations (NGOs). Consistent with NPI's core conceptual and programmatic aims, particular emphasis is placed on the linkages among the three in order to exploit cross-sectoral synergies and maximize program impact. In addition to bolstering the institutional capacity of these three pillars of NPI, the Mission has actively sought to facilitate public-private partnerships, including those between municipal governments and the small business sector, as well as those between indigenous and U.S. NGOs.

Bulgaria's Post-Communist Strategic Environment

As in the other countries of Eastern Europe and the former Soviet Union, Bulgaria is struggling with the legacy of economic central planning, Communist autocracy and a social welfare system that was not sustainable. With individual initiative having been effectively stifled under the old regime, it is not surprising that there remain formidable institutional and psychological barriers to business entrepreneurship and grassroots political participation. Decades of Communist administration following a long history of authoritarian rule rendered citizens almost completely dependent on the State and severely stunted the development of civil society.

The impoverished state of associational life constitutes one of the most daunting challenges confronting post-Communist leaderships and their respective polities in navigating the transition toward free market democracy. Compounding these obstacles is the hyper-centralization of the Communist era which frequently led to glaring disparities between the capital and the rest of the country while also depriving local administrations of any meaningful authority, leaving them ill-equipped for the task of governance in the contemporary period.

The reform process in Bulgaria has proceeded in fits and starts. In the first years following the collapse of the Communist regime, the country made impressive headway in laying the groundwork for a democratic society and free enterprise system. From price liberalization and tax reform to free and fair elections, the country was moving along the reform path. However, with the demise of the coalition government in late 1992, the pace of reform slowed and its scope narrowed. Economic restructuring bogged down as did privatization--though the

sale of state assets at the municipal level proceeded, if unevenly. Faced with deteriorating economic conditions stemming from procrastination in instituting long overdue structural changes, the GoB is only now moving to put in place a series of measures to reduce the role of central planning in the national economy and bring increased macroeconomic stability.

Badly needed economic reforms will nevertheless place still greater stress on an already tattered social safety net. Health care, social welfare, and pension systems are all under enormous pressure and do not even begin to meet citizens' needs. Neither the cash-strapped central government nor resource-poor municipalities can provide the same level of public services as in the past, and the nascent PVO sector cannot fill the gap even for the most vulnerable segments of the population. The government has yet to tackle social sector restructuring and any improvement in provision of social services is unlikely without a corresponding boost in the general economy.

In the political sphere, although democratic institutions and practices are slowly taking root, the government does not view NGOs and citizens' groups as welcome partners in conquering development challenges. The Parliament and even more so the judiciary (in this case, the Constitutional Court) have taken some modest steps in the direction of greater independence, but neither branch exercises significant authority in the governing process. National radio and television remain under state control and are as yet unchallenged by emerging private stations which generally forego political and public affairs programming. The print media--while increasingly lively and offering a broad range of opinion--lacks the professionalism characteristic of the leading Western publications. The absence of a supportive legal and regulatory environment has impeded--but not derailed--the evolution of civil society, including NGOs.

II. THE MISSION'S NPI-RELEVANT ACTIVITIES

USAID/Bulgaria's civil society program, which dovetails closely with NPI, has three interlocking core activities. The **Firm Level Assistance Group (FLAG)** was spawned by the perceived need for closer collaboration among the several USAID grantees--mostly volunteer programs--involved in helping newly privatized small and medium enterprises (SMEs) to prosper in a free market system. FLAG members have created an organizational structure, determined their respective comparative advantages (e.g. sector expertise, type of technical assistance), and applied agreed upon criteria to improve targeting and coordination of assistance to qualifying firms. Some of the diagnostic work carried out by FLAG is being done by newly-minted Bulgarian consulting firms. The University of Delaware functions as a kind of information clearinghouse and a source of analytical support for FLAG member organizations. Working closely with the Peace Corps and its 10 regional business development centers that are striving to become financially self-sustaining, FLAG members have expanded presence around the country through 'road shows' designed to publicize available services and drum up business.

The paramount goal of the **Democracy Network Program (DNP)** is to strengthen the embryonic NGO sector, the essential foundation of a vibrant civil society. NGOs serve to aggregate citizen interests and provide vehicles for citizen participation in political and economic decisionmaking. Through its small grants and training programs, the DNP is helping to bolster the capacity of indigenous groups to make them more sustainable and more effective actors in Bulgarian political life. A cadre of Bulgarian officials is being trained to provide the kind of technical assistance now furnished by the Democracy Network, which is also trying to encourage greater cooperation among the NGO foundations and associations on issues of common concern.

The first round of grants went primarily to advocacy-oriented NGOs, many of which were active in promoting the rights of minority groups. The current round emphasizes social welfare organizations, whose work not only helps to ameliorate the hardship accompanying the free market transition in the absence of an adequate social protection system, but also can over time influence the course of national policy. Future rounds could target organizations promoting the rights and status of women or associations of small business owners. The Democracy Commission--headed by the U.S. ambassador--coordinates all U.S. Government efforts on democracy and political development. The Commission also provides SEED money for NGOs through its own modest small grants program.

The **Local Government Initiative (LGI)** can be viewed as a quintessential programmatic expression of NPI theory and practice. Consciously designed to be cross-sectoral, the LGI is dedicated to strengthening the administrative, managerial, and financial capacity of municipal governments, and to fostering greater citizen participation in the decisionmaking process in ten pilot cities. At the same time, USAID/Bulgaria has vigorously supported municipal privatization by introducing an efficient, transparent and replicable auction model in 22 localities, and is exploring opportunities to promote privatization of traditional municipal services such as trash collection. Bringing together the local business community, civic organizations and government officials is the paramount goal of the LGI.

Lessons learned and best practices emerging from this program to strengthen democratic local governance will be disseminated to other municipalities by USAID-backed associations of elected local officials and to the central government through targeted assistance to the Ministry of Regional Development. Mayors' associations, originally regional in scope, have the potential to become effective lobbying organizations pressing for the devolution (particularly taxing/ revenue generation authority) to municipalities commensurate with their expanded responsibilities in the provision of services and benefits once handled by the central government.

As part of USAID/Bulgaria's ongoing effort to enhance the capacity of indigenous civil society actors, the Mission was instrumental in the establishment of the Foundation for Local Government Reform. Started by a former mayor, this policy-oriented NGO provides valuable information and technical assistance to local

elected officials. Also augmenting LGI's efforts to buttress the institutional capacity of local governments is a competitive grants program that will provide up to $50,000 for quick-impact projects, such as improved (and perhaps privatized) city service delivery and formation of civic groups around issues of local concern. A separate municipal finance and administration activity should have replicable models in place within the next two years.

The Mission is also undertaking a number of activities which--while not directly linked to NPI--stand to contribute to the long-term success of a civil society-based development strategy. These activities fall into various strategic assistance areas and include: ongoing support for the American University of Bulgaria at Blagoevgrad with its U.S.-style liberal arts curriculum to train future leaders in the public and private sectors; legal, regulatory and tax reform at the national level; Kompass and Nachala Programs under the Bulgarian-American Enterprise Fund and CARESBAC, all geared to assisting SMEs; strengthening and professionalizing independent media; and upgrading worker transition (i.e. job re-training) programs.

Finally, the Partners for International Education and Training (PIET) has been reorganized in order to support more directly the Mission's individual strategic objectives as well as the NPI goal of exploiting cross-sectoral linkages. Successful candidates have to demonstrate how their training will enhance capacity in priority areas.

The NPI Difference: Reconfiguring the Mission to Exploit Cross-Sectoral Linkages

In order to exploit linkages between the three pillars of NPI--nongovernmental organizations, competitive small businesses and democratic local governments--and thereby enhance overall program impact, the Mission found it necessary to modify its internal organization. The move toward greater program synergy required closer collaboration between the Firm Level Assistance Group, Local Government Initiative and the Democracy Network. The Mission devised changes along three inter-related dimensions:

1. *Administrative/Organizational Dimension*. Following a number of discussions, the Mission decided to establish an ad hoc Coordination Team, the goal of which is to identify opportunities for greater synergy between FLAG, LGI and the Democracy Network. In addition to representatives from these three strategic programs, the Team also consists of local members of the relevant SO core teams, the training coordinator and resident professional media adviser. The Coordination Team is charged with improving information flow between the major programs so that each can build on or dovetail with the efforts of the others.

2. *Communications Dimension*. As part of the effort to boost information flow and improve communication between the staffs of these programs, a separate SYNERGYNET has been established. All the relevant actors can stay abreast of

developments in the respective programs by having access to weekly reports drafted by USAID/Bulgaria, success stories submitted by development partners, newsletters, research/analytical papers, etc. Subscription to the network is moderated but still open to newcomers.

3. *Impact Dimension*. Moving beyond simply identifying opportunities for greater program synergy, the Coordination Team recommends concrete steps to bring it about. The Team recently proposed a number of steps to strengthen links between FLAG and the Democracy Network, including ways to bring together NGOs and representatives from the small business community.

The need for internal organizational adjustments points up an important lesson from the NPI experience: the labor-intensive nature of an integrated, civil society-focused strategy. The expected payoff--especially in terms of sustainability--should more than compensate for the added person hours, but Missions would be well advised that implementing NPI effectively involves high start-up costs. Designing and then implementing programs which seek to create and exploit cross-sectoral linkages is a time-consuming process. Moreover, forging the institutional linkages and the personal relationships that make NPI work requires extensive attention in the formative stages. Effective communication both within the Mission, between the Mission and contractors/grantees, and between other development partners is integral to the success of NPI, but it takes time and commitment to make it happen.

Beyond the burgeoning management demands, to the extent that NPI represents a new direction for a given Mission, the staff can expect to devote considerable time to grappling with the conceptual and programmatic challenges posed by this synergistic approach. But herein lies some of the personal reward attending the adoption of NPI. Not only has USAID/Bulgaria found NPI an intellectually stimulating undertaking, the staff also felt energized by the closer contact with various civil society actors, and more optimistic about USAID's ability to make a difference in Bulgaria's economic, social and political evolution.

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III. ILLUSTRATIVE LESSONS LEARNED

* **Importance of a Supportive Enabling Environment.** While lack of political will on the part of the GoB led the Mission to develop a bottom-up strategy for fostering an enabling environment conducive to free market democratic reform, the Mission has found it extremely beneficial to involve central authorities--on a selected basis--in particular programs and activities. Progress in the area of democratic local governance has been abetted by steps to enlist the backing of the

Bulgarian government for devolving more authority to mayors and municipal administrations. This is the chief rationale for the Mission's intensive efforts to promote a national association of mayors, which is envisioned as a powerful lobbying force on behalf of decentralization. Likewise, the Mission has worked with indigenous foundations and NGO associations to cooperate in pushing for legislative and other reforms to boost the sector.

Devising creative ways to gain the center's support for empowering local governments, the Mission sought a role for the GoB's national training center in the LGI program and also sent the head of Parliament's local government committee (a member of the ruling Socialist Party) to the U.S. along with a group of mayors for public administration/community development-oriented training.

> The hope is that central government officials will become more supportive of devolving greater authority when they learn about the successes of various municipal governments in meeting the needs of citizens and when they are exposed to the possibilities for mutually-beneficial local-national government collaboration.

Also to the this end, one of the Mission's goals in agreeing to host a December 1996 ENI regional conference on democratic local governance was to bring to the attention of GoB officials the innovative efforts of mayors and municipal officials throughout the region and to show that the Bulgarian government lags behind several of its counterparts in Eastern/Central Europe and the former Soviet Union in embracing the principle of increased decisionmaking power at local and regional levels. The hope is that central government officials will become more supportive of devolving greater authority when they learn about the successes of various municipal governments in meeting the needs of citizens and when they are exposed to the possibilities for mutually beneficial local-national government collaboration.

* **NGOs must be proactive to overcome both government and public skepticism about the sector's prospective contribution in post-Communist society.** It is imperative that NGOs design and implement public outreach and communications strategies (in part through improved links with the media) to inform the citizenry about their efforts to advance the interests of ordinary Bulgarians. At the same time, NGOs should seek out opportunities to form partnerships with local governments, for example, in the area of social service delivery, which would serve to enhance the credibility of these organizations as effective development partners. The nascent NGO community must also do a better job of working together to advance its own common interest in creating a supportive enabling environment, including elimination of legal and bureaucratic impediments to NGO formation and operation, and passage of tax and other related legislation to permit both deductions for charitable contributions and commercial activities with the aim of promoting NGO financial sustainability.

* **U.S.-based training aids networking and post-trip collaboration.** The Mission has consciously used U.S.-based training not only to bolster the knowledge and skills base of Bulgarian selectees, but to facilitate networking and solidarity among participants with an eye to post-trip cooperation. One training group consisted of mayors from some of the target cities under the LGI program, a plan which served to forge professional and personal relationships among pro-reform local elected officials and thereby strengthen the newly-formed mayors' association. In-country training can also advance the goal of networking while simultaneously contributing to changes in the broader enabling environment. USAID/Bulgaria has made a special effort to ensure that training programs for NGOs--particularly for groups involved in social service delivery--include representatives from central government ministries concerned with social welfare policy.

These examples illustrate the larger point that training, particularly expensive U.S.-based programs, should be designed to (and evaluated on whether they) contribute in demonstrable ways to realizing NPI's chief goal of promoting cross-sectoral linkages and partnerships, and to materially affecting specific strategic objectives. These are the major criteria applied by the selection committee for participant training programs.

* **Poor donor coordination can reduce the impact of strategies to promote inter-sectoral linkages.** In several countries in the ENI region the European Union (EU) and a number of its member states provide substantial levels of technical assistance. The degree of donor coordination depends on several factors and can vary widely from country to country and sector to sector. As in most ENI countries, the record on donor coordination in Bulgaria is mixed. The overall impact of USAID/Bulgaria's civil society-oriented strategy--most notably the effort to exploit linkages between NGOs, democratic local government and small business--would be measurably greater with genuine strategic collaboration with the EU. The challenges of doing so should not be underestimated, but getting agreement between the major donors on an NPI-type approach would help ensure conceptual clarity and programmatic synergy.

While the EU and European bilateral donors need not adopt NPI, the Initiative's prospects grow more promising when strategic complementarity becomes a donor goal. The Mission is examining how it can elicit support from other donors for an approach focusing on local level capacity building and partnerships.

Cross-sectoral Linkages: Selected Success Stories

* Economic revitalization is widely considered to be a precondition for sustained support for the reform process. The Mission has devoted considerable attention to forging links between the fledgling private sector--the most promising engine of economic growth--and local governments which find themselves playing an ever great role in the development process. With the help of FLAG and the Peace Corps, three of the target municipalities under the LGI program (Stara Zagora, Varna and Zlatograd) have set up business development centers. These

public-private partnerships have proven to be 'win-win' collaborations in mobilizing local resources to stimulate economic growth and development.

This effort comes on the heels of significant progress in privatizing municipally-owned businesses/assets, which also served to create strong ties between local governments and the emerging small business sector. Part of the reason why municipal privatization proved so successful and relations between the local authorities and the small business community so fruitful was the decision by USAID to use local consultants who were familiar with the territory and who enjoyed the trust of city officials. In addition to boosting the capacity and know-how of these Bulgarian consulting firms, the productive collaboration between these businesses and municipal administrations paves the way for future expanded cooperation, for example, in forming a business advisory council (with the assistance of the LGI) or in privatizing some city services.

The Mission also proudly notes that as a result of lobbying by the USAID-supported mayors' association, the original law was revised such that 100% of the revenues generated from the sale of municipal assets would remain with the municipality. Interestingly, a follow-up survey found that the bulk of these monies went to upgrade infrastructure--the deterioration of which has been a brake on local development.

* In other localities, USAID/Bulgaria funded a U.S. NGO, the Free Trade Union Institute, to develop and operate job counseling centers for unemployed workers. In addition to a well-executed strategy of fostering good relations with the small business community and with local government officials, the centers also received assistance from KPMG (another USAID contractor) in designing training modules and materials on workers' rights under privatization.

* In the municipality of Gabrovo, one of the pilot cities under the LGI, the Mission has succeeded in integrating three USAID-supported activities in order to maximize overall program impact: private health markets project implemented by 3M Corp. and the Institute of Public Health (IPH) of the Bulgarian Ministry of Health; an energy efficiency project implemented by Electrotek and two Bulgarian NGOs (Energy Efficiency Foundation and Association of Energy Engineers); and the LGI program. The first activity seeks to promote market compatible reform of health care financing and organization. The second involves demonstration of various energy conservation measures, and the third activity is designed to bolster the institutional capacity and effectiveness of local government.

In a regional hospital located in Gabrovo, 3M and IPH are working with the hospital staff to code patient records to approximate real costs for medical treatment received. At the same time, the hospital--together with city officials and professionals from Electrotek and cooperating Bulgarian NGOs--are demonstrating cost-saving energy efficiency measures. An agreement was then reached between Electrotek, 3M and Gabrovo authorities to integrate their respective activities by adapting software to serve both hospital patient-care coding and energy con-

sumption data needs, while working with the city government on the budgetary and policy implications of information generated.

* The success of advocacy-oriented NGOs in stimulating greater public participation in the political process depends on building bridges to local governments. The Mission believes there is ample room for improvement in forging links between NGOs and municipal governments, though some progress has already been registered. In Stara Zagora, USAID brokered a deal involving municipal authorities and a local NGO which was tasked with facilitating a dialogue between the government and city residents regarding a planned gassification project.

The success of advocacy-oriented NGOs in stimulating greater public participation in the political process depends on building bridges to local governments.

In Bourgas, NGOs have worked closely with the municipal administration to bring increased transparency to the decisionmaking process and to develop mechanisms such as town meetings to encourage the active involvement of citizens, whether through community groups or as concerned individuals. Another result of this NGO-local government partnership has been that human rights groups providing legal assistance to Roma, frequently the object of discrimination, have encountered much more support from local authorities in Bourgas than has historically been the case elsewhere. The Mission also intends to encourage LGI target cities to expand their partnerships with NGOs and to explore opportunities for these organizations, most likely social service-oriented groups, to receive contracts to run social programs or activities. Such an arrangement would have the added benefit of demonstrating to a skeptical population the potential role of the NGO sector in improving citizens' lives.

Association Building: The Critical Link Between Strengthening Local Capacity and Fostering a Favorable Enabling Environment

While USAID/Bulgaria has launched a number of activities to bolster directly the institutional capacity of newly privatized small and medium enterprises, NGOs, and municipal governments, the Mission has also devoted considerable energy and resources to helping these civil society actors form associations. These associations serve to aggregate sectoral interests while also possessing the potential to "lobby" national decisionmakers on legislation and regulations essential to the creation of an enabling environment conducive to the development of a robust civil society. As such, they are a crucial link between the State and civil society and a principal vehicle for engendering change in national policy. This is especially true of associations of professionals, whether lawyers, judges, entrepreneurs, physicians, etc., who enjoy high stature in society and--as in the case of judges and lawyers--may already be participating and/or operating within the political system.

However, the standout performer in USAID/Bulgaria's association building effort has been the regional associations of mayors (several of whom, not coincidentally, represent LGI pilot cities). Through LGI, the Mission is enhancing the administrative-managerial capabilities of the associations and improving the prospects for financial sustainability and effective outreach. In addition to functioning as transmission belts for practical knowledge on municipal reform--a prerequisite for replication of successful pilot projects and hence nationwide impact--these associations of democratically-elected officials are working to persuade national authorities that the transition to free market democracy hinges on empowering municipal governments.

The mayors have already registered some impressive successes, including the aformentioned GoB decision that all revenues from municipal privatization would remain with the local administration. These public servants are gradually turning a *de facto* devolution of responsibility into a *de jure* mandate to govern and improve the lives of Bulgarian citizens.

NPI FINAL REPORT -- *USAID/Guinea*

I. INTRODUCTION

USAID/Guinea's response to the Agency's call for NPI Leading Edge Mission (LEM) volunteers was driven by the desire to be more proactive in implementing an approach to development that is highly conducive to achieving results in Guinea.

Through learning by doing, the Mission had found that collaboration between actors from each of the three NPI focus areas was critical to achieving and sustaining our program objectives. As a result, we began to integrate the NPI philosophy and many of its principles into our activities. But the NPI approach was not systematically integrated into our program as a whole. USAID/Guinea (USAID/G) joined the Learning Phase to collaborate more closely with Washington in working towards this goal, and to provide a potentially successful testing ground for the Initiative.

Moreover, we believed the Mission was well-positioned to monitor, evaluate and share lessons learned. We also believed that participation as an NPI/LEM would help USAID/G develop a better understanding of NPI, and focus the attention of Mission staff and our partners on identifying and implementing more effective NPI strategies. We sought to enhance Mission partnerships with the NPI Learning Team, the Africa Bureau and Central Bureaus to further the goal of NGO, small business and local community empowerment, and the development of a policy and regulatory environment that supports private initiative and community action.

We believe the next stage in our program's evolution will involve consolidating the linkages already created and building a web of reinforcing partnerships and activities. We will also focus more attention on other aspects of NPI, such as promoting civil society by supporting the decentralization of political authority. In addition, we will devote more energy to involving the private sector in partnerships with local communities. We also plan to refine and implement the NPI results indicators and performance measures developed in collaboration with the Learning Team, and to ultimately incorporate NPI into USAID/G's new Strategic Plan scheduled to begin in June 1997.

II. COUNTRY CONTEXT

A. The Starting Point

From independence in 1958 to the death of President Sékou Touré in 1984, the Government of Guinea (GOG) followed a harsh, statist policy. By 1984 this policy had all but destroyed the country's economy, and civil society had been effectively stifled. The agricultural sector, which had been prosperous under

French colonial rule, was based almost entirely on subsistence agriculture, and what was left of the private sector operated clandestinely.

Lansana Conté, who seized power shortly after Sékou Touré's death in 1984, initiated a comprehensive reform effort based on economic and political decentralization. In 1985, the GOG mandated a program of economic and financial reform. Following the re-establishment of civil rights and freedom of expression, a new constitution, adopted in December 1990, authorized the creation of political parties. Municipal elections were held in 1990, Guinea's first multi-party presidential election since independence was held in December 1993, and multi-party legislative and communal elections took place in June 1995. For the first time in Guinea's history, a multi-party General Assembly was seated in October, 1995.

More recently, the Government of Guinea has focused on increasing the power and autonomy of local communities. This is consistent with the GOG's stated policy of encouraging cooperatives and other grassroots organizations to develop their capacities as business enterprises and become active participants in the private sector. To date, 303 rural development communities (CRDs) and 33 urban municipalities have been created nationwide. These institutions facilitate grassroots participation in local governance, support sustainable development activities and help generate revenue to improve local public services. They are elected by the local population, have some authority for tax collection, and are responsible for maintaining local health centers, primary schools, and roads. In addition, at least five hundred local NGO's have been created in Guinea to try to meet local community needs, although most need a great deal of assistance themselves before they can make a real contribution in the difficult task of developing a participatory civil society.

In early 1996, the international and indigenous NGO community created the NGO Forum for Sustainable Development, consisting of 80 members. Its objectives include: exchanging information and experience among member NGOs; improving NGO capacity to mobilize and manage resources; helping to create partnerships between local and international NGOs; and promoting a clearer picture of the role of an NGO in Guinea. The Forum is showing strong potential in promoting sustainable linkages between participating NGOs, civil society, the government, and donor community. We are hopeful that it will become a key instrument in the implementation of NPI activities in Guinea.

Agricultural and commercial activity have also expanded since 1984. In 1985, the government embarked on an IMF-IBRD assisted program of economic reform that involved eliminating restrictions on agriculture and foreign trade, liquidating 100 parastatals, and reducing the number of bureaucratic obstacles to potential investors. Although the program derailed in 1991, Guinea met prerequisite conditions to get the reform program back on track by October 1992. The increasingly positive environment for private sector initiatives led the Cooperative League of the U.S.A (CLUSA) to conduct an assessment in 1994 that found rural businesses were beginning to form in Guinea, and the emerging commercial

banking community was interested in expanding their loan portfolio to well-trained and well-organized rural businesses.

Overall, the opportunities to support continued decentralization, promote community empowerment and support the emergence of civil society in Guinean are exciting, and the results can sometimes be remarkable.

B. The Legacy of a Statist System and Repressive Past

The ambitious economic, political and social reforms introduced by Guinea's current government have created an environment where the average citizen can aspire to a better life. Actual and practical changes, however, continue to be impeded by traditions that discourage individual initiative and a privileged class with vested interests that continues to resist change. But perhaps the greatest obstacle to Guinea's continued democratization and economic liberalization is the fact that most Guineans are ignorant of their legal rights and public officials' responsibilities, or are reluctant to risk the displeasure of the ruling elite by protesting when these rights are violated. The continued marginalization of Guinean women has also constrained development in the agricultural, health and education sectors, although an increasing level of women's participation in development activities and the creation of new partnerships with various women's groups has already begun to effect change.

III. ACTIONS UNDERTAKEN BY USAID/GUINEA DURING THE LEARNING PHASE

A. NPI Activities Undertaken by USAID/Guinea

As an NPI/LEM, USAID/G has focused more closely on enhancing linkages between and sharing lessons with our partners. The Mission has given special attention to helping local NGOs and associations improve their management capacity, integrating sound financial management and democratic practices into existing management structures, and enhancing the level of community groups' participation in local decisionmaking processes.

- Under SO One (Growth in Agricultural Markets), the Mission has supported a very successful partnership between Volunteers in Technical Assistance (VITA), an American NGO, and the Guinean NGO known as PRIDE. As a result of the highly effective financial institution capacity building and entrepreneurship training efforts undertaken by these two organization, access to microenterprise credit and the ability to repay loans has increased dramatically in participating rural communities. Significantly, women entrepreneurs have received some two-thirds of all loans, and the repayment rate is nearly 100%.

In the past six months, PRIDE has taken its first concrete steps towards becoming an independent NGO. Toward this end, the Mission's SO One team has actively supported the efforts of both VITA and PRIDE to change the existing banking and legal code so that UCOFIS, PRIDE's successor organization, could be

legally recognized as a "specialized" financial institution, and become truly independent with virtually no support from VITA.

- USAID/Guinea's Agricultural Marketing and Investment Project (AMIP), also under SO One, has fallen significantly short of its potential and expectations. In so doing, it has become a particularly effective tool in helping the Mission underscore the critical importance of building activities around the clearly-defined interests of concerned beneficiaries. In this particular case, the Mission found there was a significant disconnect between the services that members of the Agricultural Marketing Foundation established as part of this activity needed, and those they were being provided. In response, SO One team members began to make needed changes in Foundation management and design. The impact of these changes will ultimately be useful in determining the potential for restructuring and reorienting donor-supported institutions that are based on rigid top-down management structures.

- Under SO Two (Increased Ability of Families to Determine Household Size), several activities have been conducted to strengthen linkages among partners working in the health sector. In April, a day-long working session for Mission partners was held to help define future strategies and objectives. In September and October individual interviews were conducted with major donors to obtain additional information on partner activities. In December, a comprehensive inventory of health sector activities is planned to be conducted in collaboration with Canadian Cooperation. SO Two has also intensified attention to improving the strategic planning and management capacity of local NGOs, adding "capacity building" components to current activities in some cases. A particularly successful partnering experience has been USAID's work with the International Planned Parenthood Federation (IPPF) to improve management and strategic planning capacity in one of SO Two's key partners, the local IPPF affiliate, AGBEF.

- During the second phase of SO Three activities (Increased Enrollment in Primary School with a Particular Emphasis on Girls and Rural Children), our education activities will continue to focus on improving education policy and implementing reforms through the National Ministry of Education, and on training teachers. Simultaneously, we will be expanding our activities to support local communities and NGOs in improving school management and education financing at the local level. These combined activities are anticipated to further increase enrollment rates,

> Increasing enrollment, improving equity and improving the quality of education requires a strong partnership between parents, community leaders, government officials and NGOs. Such partnerships are the most effective means of increasing awareness about the importance of education, transforming traditional views about the role of girls in society and enhancing a community's ability to manage education resources... [They will] mobilize the country's decisionmakers--religious, business, media, unions, academia--to develop, implement and sustain effective policies and programs for increasing girls' participation.

improve the quality of teaching and learning, decrease student dropout rates and ultimately lead to the development of a more literate population and work force.

- Under Special Objective One (Strengthening Civil Society Capacity) the Mission has supported the development of an embryonic civil society in Guinea by facilitating local level initiatives to help decentralize political decisionmaking and administrative processes. Although most Mission-supported activities (NRM, PRIDE, AMIP, OICI and Africare) already integrate elements of democracy and governance, the Mission is now increasingly emphasizing support for civil society through a U.S. PVO's work with village level cooperatives interested in learning effective organization development and management techniques and democratic decisionmaking processes.

- Under Special Objective Two (Protecting the Environment) the Natural Resources Management Activity has put more emphasis on helping villagers get together with the National Directorate of Forest and Wildlife (DNFF) and local authorities to develop a co-management plan for a classified forest, which allows villagers to share with the government the responsibilities and benefits of protecting the forest. The DNFF hailed this partnership to co-manage forest resources as an excellent model and plans to duplicate it in other areas. A Guinean NGO has also collaborated with the Activity and DNFF to strengthen the capacity of resource user groups to plan, implement and evaluate natural resource management activities in their communities.

- Two local NGOs, the *Centre d'Etudes et de Gestion* (CEG) and the *Centre Africain de Formation pour le Dévelopment* (CENAFOD) have been implementing training sessions and workshops in financial management, project management and accounting courses to improve the capacity of local government to manage development activities. In addition, these training courses and related workshops help Guinean citizens and community leaders learn about the rules and policies being applied in their communities, and how they can engage in democratic decisionmaking processes to influence them. During the Learning Phase, the role of the training office has been reconsidered and may provide more cross-cutting support to the other SOs in the future.

B. Operational Adjustments Undertaken by USAID/Guinea

In February 1996, USAID/Guinea formed an NPI team tasked with deciding whether to submit a proposal to become a Leading Edge Mission. The formation of this team and subsequent changes in the Mission's structure and operating procedures have led to an enhanced level of teamwork within the Mission, with our external partners, and helped create new synergistic relationships that seemed to materialize spontaneously after we introduced NPI to our partners in the field.

Following its selection as a LEM, the need to work effectively and efficiently with our partners to implement NPI led the Mission to broaden its NPI core team to include those staff who work closely with partner organizations. The Mission's

NPI core team therefore became cross-cutting, and now includes representatives from each of the Mission's SO teams and staff involved in implementing our two SPOs. This expanded team has been responsible for informing each of our partners about NPI, the role of USAID/G as a Leading Edge Mission, and their new role in our activities.

During the first half of the Learning Phase, our closest partners were asked to identify which of the activities implemented by their organization reflected NPI and to share proposals for new approaches and creating new partnerships. Their feedback and collaboration are reflected in the interim report. Later during the Learning Phase, NPI was introduced to those partners more indirectly involved with our activities, who were informed during Reengineering Partners Meetings of our role as a LEM and asked to prepare input for consideration at the appropriate stage in our Strategic Planning process.

In July and August of 1996, the USAID/Guinea Country Development Officer conducted short training sessions for each of our Strategic Objective teams during an extended TDY in order to clarify what NPI is and how activity managers and other Mission staff could become more directly involved in the initiative. Following this training and the consolidation of the NPI core team at a mid-summer reengineering retreat, each SO team began to actively identify opportunities for implementing NPI in current and new activities, and reflect these ideas in the Results Frameworks and Packages being developed as part of Reengineering and in preparation for developing our Country Strategic Plan.

As a result of these activities, our partners have quickly internalized the NPI philosophy and principles, and have begun to play an extremely active role in implementing the initiative. In September, USAID/G and its partners decided to hold periodic meetings that would bring together all of the partners implementing program activities and the NPI core team. During the first such meeting which was hosted by the Mission, the group agreed that it would meet each month, and each meeting would be hosted by a different partner who would select the main agenda item and invite a guest. By structuring the meetings in this way, we hope to broaden existing linkages to include other partners while keeping the core group small enough to insure a high level of interaction.

In October, the Mission drafted as set of NPI results indicators in close collaboration with Learning Team members, including the Chair of the NPI Performance Monitoring Working Group on TDY in Conakry. These indicators will be institutionalized as part of our new Results Center, which we hope to have up and running in early 1997. In fact, one of our SO Teams has already expanded its Results Framework to explicitly include NPI "linkages" intermediate results indicators. As other SO Teams follow their lead, a clearer picture of our future results framework should begin to emerge, and the NPI core team will potentially remain actively engaged in our Strategic Planning process.

C. Ability to Leverage Resources and Support from Other Development Partners

USAID/Guinea is actively leveraging resources and support from other donors who are enthusiastic about supporting our activities. Prior to and during the Learning Phase, USAID/G has cooperated closely with the World Bank in coordinating donor assistance for basic education and agricultural development. We also work collaboratively with the French in this sector. In the course of the past nine months, the SO team responsible for implementing health activities has increased its efforts to leverage resources from other donors, and succeeded in engaging KFW, a German development assistance institution, in a partnership to expand the social marketing of contraceptive (SMC) program. Under this new partnership arrangement, KFW will help finance the SMC program while USAID will concentrate its resources in the area of technical assistance. In addition, Population Service International, an American NGO partner implementing health activities, often works with other donors such as UNFPA to co-sponsor Mission activities such as strategic planning workshops and local training sessions that benefit the entire health sector.

IV. CASE STUDIES OF INNOVATIVE APPROACHES AND ACTIVITIES

A. A Partnership for Meeting Micro and Small Producer Needs: An NPI Case Study in Local Capacity Building

Development Problem: Inadequate access for small producers to bank credit and limited incentive or ability to manage and repay loans.

Why the NPI approach: The Partnership created between VITA (a U.S. PVO), PRIDE (a Guinean one), local government and communities has proven to be the single most effective means of increasing PRIDE's institutional capacity and creating a high level of community support for loan repayment and successful business practices by loan recipients.

Ongoing and planned actions: The new Union of Specialized Financial Institutions (UCOFIS) will be the successor organization of PRIDE, which has, through USAID financing, provided entrepreneurship training and micro-credit to small groups of both rural and urban entrepreneurs since 1991. PRIDE staff selected the new organization's cooperative structure as the first stage towards becoming financially and managerially viable. The process of registering this new institution, and identifying the national banking laws under which it will operate, has involved learning to navigate and to change the enabling environment for decentralized financial institutions in Guinea. For example, because there were no laws governing micro-credit institutions such as PRIDE, VITA and PRIDE worked with the GOG to develop a new category of institution that includes "specialized financial institutions," for which UCOFIS will be the first.

A. (continued)

While the organization's cooperative structure was inspired in part by the experience of other credit unions, it is also unique and should offer an opportunity to learn new best practices. Unlike traditional credit unions in which the General Assembly holds ultimate authority in the organization and is composed of client members, UCOFIS' General Assembly will include clients, representatives of the paid staff of the project, and representatives of local "sages", or elders. These elders have played an important role since the beginning of the project in assisting in client selection and in solving problems of loan repayment. (For further details see Attachment One).

The efficacy of this institution will be carefully monitored in the future. We anticipate the elected COFIS management boards (UCOFIS sub-commmittees) will need extensive training before they will be capable of exercising adequate oversight of the new organization. However, limited training in democratic processes has not prevented hundreds of PRIDE clients from assembling at a dozen project branch sites to democratically elect representatives in a moving ceremony. We believe the seeds of empowerment for these economically marginalized microentrepreneurs will swiftly grow into other domains of civic action.

Lessons Learned

1: The principal lesson learned by USAID, VITA and PRIDE through implementing this activity is the importance of planning for and managing the transition from a small, personal organization using consensus-based decisionmaking to a larger, highly structured one based on well-defined rules and procedures. We found that the best approach to this transition is to work closely with a partner organization already experienced in this type of organizational change. In making the transition from PRIDE to UCOFIS in Guinea, VITA and PRIDE have relied heavily on lessons learned from the creation of a successful decentralized financial institution in Benin known as FECECAM to expand and consolidate the newly created UCOFIS institution. Through consultations with the former Director, PRIDE and VITA project staff defined the new institution's vision, decided on an institutional structure, developed statutes and by-laws for the new organization, refined the projects' procedures manual and developed the constitutional general assemblies of UCOFIS to which future representatives will be elected.

Value added by the NPI approach: The NPI approach has enabled VITA and PRIDE to build, expand, and sustain microenterprises and small businesses, and to create a self-sustaining, successful indigenous NGO that responds to and represents the needs of its community. This NGO's lending program has a remarkable repayment rate of nearly 100%, which is particularly striking because the program's current interest rates are high enough to start financing operating costs. This in turn increases the likelihood that the program will become self-supporting by 1997. To date, almost eleven thousand loans totaling three million dollars have been provided to Guinean Entrepreneurs, of whom 70% are to women.

Primary Contact Persons: USAID/Guinea/Joseph Van Meter; VITA-PRIDE/Richard Kimball

B. A Partnership for Managing Natural Resources: An NPI Case Study in Enhancing the Enabling Environment

Development Problem: Population pressure and unsustainable exploitation of natural resources have caused serious environmental degradation in the watersheds of the Fouta Djallon Highlands of Guinea, where the three major rivers in West Africa have their sources. This degradation is threatening the well-being of the Guineans and the people in other countries whose livelihood depend on these rivers.

Why the NPI approach: USAID/G staff used an NPI approach because they saw the importance of shared ownership of these NRM activities. An effort to promote sustainable natural resource management by the Government without the active participation of the local population is likely to fail due to corruption, lack of accountability and lack of attention to local community needs. By contrast, a dynamic partnership between the government, grassroots organizations and the local population to plan and implement NRM activities ensures a favorable environment for sustainable improvement and conservation of natural resource base.

Ongoing and Planned Actions: USAID provides assistance to help achieve sustainable management of the natural resources in three of the twelve areas targeted by a multi-donor Natural Resource Management (NRM) Activity. NRM has three reinforcing objectives: (1) Strengthened local capacity for sustainable natural resource management; (2) Sustainable increase in production and income; and (3) Enabling conditions for sustainable impact. It addresses them through: (1) partnerships between the American technical assistance providers, the Guinean government services, national NGOs and village-level organizations; (2) the empowerment of local populations in managing their natural resources; (3) the transfer of sustainable agricultural and NRM technologies and practices; (4) the development of viable village enterprises; and (5) environmental education.

Mission efforts to help establish the enabling environment for sustainable natural resource management have concentrated on the application of the Land Code to ensure land security for resource users, and the implementation of the Forest Code to permit the co-management of forest resources by the public forest services and the local populations. USAID, through a partnership with the University of Wisconsin Land Tenure Center (LTC), has assisted the GOG to insure that the application of the Land Code takes the traditional land use system into account, but also provides legal status to land owners. Four regional workshops were organized, one in each of the four geographic regions of Guinea, to discuss the applicability, advantages and deficiencies of the Land Code. The regional forums ensure that the particular socioeconomic context of each region, as perceived by both private and public sectors, is respected.

To halt the increasing degradation of the Nialama classified forest caused by illegal clandestine timber exploitation, the NRM Activity has helped establish a partnership between the Forest Service, local authorities, a national NGO, and villagers to develop a co-management plan for this forest. This plan calls for the government and the resource users to share the responsibility and the benefits of protecting the forest. A general assembly of 114 male and female representatives from 15 villages elected an inter-village committee of 16 members to represent the villagers in the co-management of the forest.

Environmental education is another activity which contributes to the enabling conditions for sustainable impact. The project staff has collaborated with a national NGO, local teachers and Peace Corps volunteers to develop and initiate an environmental education program that will involve over 1,200 villagers and school children by the end of 1998.

B. **(continued)**

While enabling environment issues were being addressed, NRM activity participants worked with the public forest service and a national NGO to build local capacity to manage natural resources in a sustainable manner through participatory training for resource users groups. Training in sustainable agricultural practices, natural resource management practices and village enterprise development skills has also been given to villagers to help them increase both production and income.

Lessons Learned

1. Local populations and the grassroots organizations can play an important role in modifying government policies if they have an opportunity to participate in the process of policy formulation. The initial Land Code had been drafted by expatriate consultants and approved by the GOG with little consideration for the traditional land use systems. The application of this code would have caused serious social conflict. However, active participation of village and NGO representatives in the four USAID-financed regional workshops on the application of the Land Code, led the GOG to accept changes that made the Code more consistent with local traditions.

2. Ongoing co-management of the of the Nialama classified forest has shown that an effective partnership between the Government, the local population and national NGOs for sustainable management of natural resources is possible. However, successful partnerships require patience, and expert community organization skills. In this case, a community-based resource management specialist spent five months working with the villagers, local authorities, forest service agents, and an NGO before the inter-village forest co-management committee could become functional.

3. Local NGOs with the requisite professionalism and language skills can make an invaluable contribution by bringing together expatriate teams, government official and the local community to clarify issues and provide functional solutions. *Union Guinéene des Volontaires de Développment* (UGVD), a Guinean NGO, did an outstanding job of providing participatory management training to resource user groups. *Guinée-Ecologie* was similarly successful in helping develop an environmental education program in collaboration with Peace Corps, school teachers and project staff.

Value added by the NPI approach: The GOG decision to make sure that the implementation of the Land Code is equitable and compatible with the local society and culture is a direct result of NPI-driven insistence that grassroots organizations, local and national NGOs and government officials participate as full partners in open discussions to consider the findings of the land tenure studies done by the LTC. The transformation of the public foresters from regulation enforcers into technical advisors who educate the local population about their responsibility for and the benefits they receive from protecting the forest is a direct result of the collaborative USAID-led effort to bring the inter-village committee, NGOs, and the Forest Service into NPI-type discussions to find ways to co-manage the classified forest. A significant increase in cash crop production in the areas of the NRM activity, in the result of participatory planning and the implementation of activities which motivated resource users groups to ado adopt improved techniques which conserved the resource base while meeting the needs of the local population.

Primary contact persons: USAID/Guinea/Son Nguyen; UGVD/Oulin Diallo; National Forest Service/Mathias Haba

C. Strengthening Health NGO's: An NPI Case Study in Capacity Building and Partnerships

Development Problem: Absence or weakness of health-oriented NGOs in Guinea, a crucial link in the delivery of basic health care to the poor.

Why the NPI approach: Only by creating linkages between locally active Guinean NGOs and international ones with greater capacity could these health activities become sustainable.

Ongoing and planned actions: With sustainability of activities as its goal, PSI:

- Helped create a local NGO, *Options pour la Sante Familiale* (OSFAM) which will eventually replace PSI as the primary contraceptive social marketing institution in Guinea. The board of advisors includes both Guineans and members of PSI's staff. The organization is conceived so as to ensure that local staff are given increasing responsibility for project conception and implementation, while continued ties with the worldwide PSI network ensure that OSFAM remains informed of best practices, responsible fiduciary oversight is practiced, and institutional credibility maintained, all of which should help attract potential donors.

- Works directly with the *Association Guinéene pour le Bien Etre Familial* (AGBEF) for the implementation of project activities related to the integration of family planning services into public sector health clinics. The success of PSI's partnership AGBEF and the MOH in integrating Family Planning services into 103 health centers and maternities is a clear example of the effectiveness of NPI strategies. This partnership between an American and a Guinean NGO and the Ministry of Health led to efficient management of project activities and ensured the transfer of skills to both the MOH and AGBEF staff.

- Initiated collaboration with the *Association des Sage-Femmes Guinéenes* (ASFEGUI), a midwives association, earlier this year to improve family planning education at the community level to promote oral and injectable contraceptives use. Following intensive classroom refresher training and field observation, these midwives offered a well-organized presentation to young women in trade schools. The success of the pilot activity carried out in one neighborhood has led to its expansion into others.

- Provided support to ASFEGMASSI, the local chapter of the Society for Women Against AIDS in Africa (SWAA). This has included sponsorship of educational sessions in secondary schools, printing educational leaflets and funding travel to a regional SWAA conference.

- Works with both the Boy Scouts and the Red Cross to operate two information kiosks in Conakry. These kiosks provide generic (IEC) information on AIDS prevention and family planning methods and are located at intersections with heavy pedestrian traffic.

- Has supported the efforts of *CPTAFE*, a local NGO dedicated to the elimination of female genital mutilation. PSI has provided transport and lodging for CPTAFE members to enable them to present their educational session during PSI-sponsored seminars.

Lessons Learned

1. PSI was able to obtain the support of local community leaders for AIDS prevention activities by enlisting the support of national political leaders and health authorities and, perhaps more importantly, religious leaders as well. Both the local organizations implementing these activities and PSI benefited from the taboo-breaking discussions held with these respected community figures whose support largely determined the success of these activities.

C. (continued)

2. For potentially controversial initiatives, success or failure often hinges on establishing the right alliances. Six months elapsed from the time that construction of the Conakry information kiosks was completed until they actually became functional. This was due in part to Ministry of Health officials' concerns about offending local religious sensibilities by supporting PSI condom sales, and in part to confusion about who could approve placement of the kiosks. PSI finally resolved the problem by asking the Red Cross and Boy Scouts to help obtain a letter of authorization directly from the Ministry of Urbanization and Habitat to operate the kiosks. Disassociating the kiosks from PSI and relying on other partners with more influence in a particular area facilitated the acceptance of this Information, Education and Communication initiative.

3. In the case of AFSEGUI, we learned that providing refresher training to experienced members of a para-professional association is not necessarily adequate preparation for a specific activity. The midwives recruited to work on this project already had several years experience providing family planning counseling. Following the classroom training, they were assigned to present the material to a pilot group and PSI observed each presentation. PSI was unpleasantly surprised by the high degree of variation in presentation quality and content. To rectify this PSI prepared a detailed standard presentation format with instructions on how and when to use the visual aids and then reviewed and revised it with the midwives. During the replication phase, PSI observed and provided feedback to each midwife individually until the material was presented appropriately.

4. In the case of ASFEGMASSI, USAID and PSI learned the importance of monitoring the results of one-time investments in education activities. Because no evaluation mechanism was put into place, we were uncertain as to whether or not the investment was effective. Now for each educational activity, PSI systematically incorporates an evaluation mechanism to enable it to determine whether replication is justified and to improve the activity as needed.

Value added by the NPI approach: The partnership between USAID, PSI, the MOH and local NGOs has allowed for leadership in the conceptualization of project activities, development of training, management and evaluation materials, and compilation of statistics. The synergy of this partnership is responsible for much of the impressive expansion and quality of family planning services available in Guinea.

Primary Contact Persons: USAID/Guinea/Helene Rippey and PSI/Guinea/Theresa Gruber-Tapsoba.

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D. Building Coalitions for a more Healthy Population: An NPI Case Study on Partnership

Development Problem: Guinea's high population growth rate of approximately 2% undermines the country's economic growth potential and the health of its citizens.

Why the NPI approach: Active cooperation between local populations, communities and national leaders is critical to promoting policies and practices to reduce population growth and improve public health.

Ongoing and planned actions: USAID and PSI, the American NGO implementing our health/family planning activity, set out to train Guinean health professionals by incorporating family planning and STD/AIDS prevention modules into the curriculum of the four Health Schools in Guinea that provide training for paramedical personnel. These schools are supervised by the Ministry of Technical Education and Professional Training and the Ministry of Higher Education and Research. Discovering that these two ministries were not in contact with each other or with the Ministry of Health, PSI set out to encourage linkages among them. It organized a series of workshops and supervisory missions to develop and evaluate curricula used for classroom teaching. More recently, in response to an initiative by the National Health Schools, PSI helped to develop a field training curriculum and methodology for supervision and evaluation of students by health center personnel. PSI also collaborates with the Peace Corps and AGBEF, a local NGO, to improve training for health care providers.

Lessons Learned

1. Although the USAID/PSI FAMPOP activities are administered in cooperation with the Ministry of Health, broadening our partnership to include other ministries has ensured that newly trained medical personnel are equipped with pertinent skills.

2. In a country where management skills (and proper use of funds) are a problem, the participation of Peace Corps Volunteers as "logisticians" and "facilitators" makes it possible to undertake small projects such as conducting surveys at the community level that would otherwise be unmanageable for PSI.

3. In reaching out to other agencies (initially for political reasons), PSI realized that some of the research it believed was needed before initiating new activities had already been conducted. In seeking out other organizations with experience in the field, however limited or successful, one can avoid mistakes, build on successes and more rapidly implement the activity.

4. Creating linkages and remaining available to assist new partners is time consuming and can cause frustration because resources are temporarily diverted from the primary project objectives. On the other hand, by remaining informed and involved, we became aware of opportunities for advancing project objectives. For example, PSI/Guinea invested considerable management time and logistical resources in facilitating a study on the economic impact of AIDS in Guinea in collaboration with a local NGO known as AIDSCAP. The study findings have become a major element in PSI's decentralized AIDS education program, and the investment is now considered well worthwhile.

5. PSI has worked with the Ministry of Health's Diarrheal Disease Unit, UNICEF, WHO, and CECI/Sante (the Canadians) to determine activity goals, whether educational resources are already available, barriers to overcome, and questions that need to be asked as it prepares to launch an Oral Rehydration Salt (ORS) program through both the public and private sectors. PSI will also work with these organizations to develop a unified communications strategy. This enhanced level of cooperation has helped stretch resources and enhanced these partners' capacity to achieve development results.

D. (continued)

Value added by the NPI approach: USAID and PSI's enhanced level of cooperation with government officials and renewed commitment to working with them and not around them has helped further many of our health activity objectives. For example, PSI recently approached the Ministry of Technical Education and Professional Training and the Ministry of Higher Education and Research as a specialized trainer seeking to collaborate with national health education experts rather than a separate organization with separate objectives. This approach resulted in effective cooperation from different levels of government, and avoided the political obstacles that often doom development activities.

Primary Contact Persons: USAID/Guinea/Helene Rippey and PSI/Guinea/Theresa Gruber-Tapsoba

E. Improving Equity and Quality in Primary Education: Creating an Enabling Environment

Development Problem: Guinea's highly illiterate human resource base is a major constraint to economic growth and development. A 71% illiterate population means poor management in the public and private sectors, limited ability to take advantage of agricultural export opportunities, reduced capacity to understand and use family health services, and slower adoption of democratic principles. The fact that girls and rural children are disproportionately affected exacerbates this situation.

Why the NPI approach: Increasing enrollment, improving equity and improving the quality of education requires a strong partnership between parents, community leaders, government officials and NGOs. Such partnerships are the most effective means of increasing awareness about the importance of education, transforming traditional views about the role of girls in society and enhancing a community's ability to manage education resources.

Ongoing and planned actions: Over the past decade, the GOG has made great strides in improving its education policies. Prodded and assisted by conditional USAID Non Project Assistance, the Government of Guinea significantly increased budget allocations to primary education. As a result, Guinean children now have greater access to a higher quality education at the primary level. A successful social marketing campaign conducted by the National Education Ministry's Equity Committee, which manages efforts to increase girls' and rural children's enrollment, has led to an increased demand for girls' schooling and for schooling in rural areas. In many cases, demand now exceeds the capacity of local schools. The norm is 100 students per class.

The second phase of our education activity will focus on developing the capacity of local parents' associations to participate in school management and take greater responsibility for school financing. These activities will involve close collaboration with the National Ministry of Education (MEN), and with regional and prefectoral authorities to expand the definition of community participation to include increasing enrollment levels and improving education quality. These activities will also broaden the scope of NGO involvement in primary school education beyond solely furnishing material inputs, and are anticipated to reinforce the programmatic vision and administrative capacities of education-oriented NGOs.

E. (continued)

Finally, with support from the Global Center's Girls and Women's Education Activity, we will work with the private sector to develop constituencies to support the education of girls and rural children. In addition, we will also offer assistance to MEN in developing forums for public-private sector dialogue on education policy reform. Support from the GWE Activity will also promote Mission equity objectives by: (1) facilitating a process to mobilize the country's decisionmakers - religious, business, media, unions, academia to develop, implement and sustain effective policies and programs for increasing girls' participation; (2) strengthening the institutional capacity of the Equity Committee, local NGOs and APEAEs throughout the country; and (3) increasing classroom participation of girls through the development of curriculum materials and tools through a training program for teachers and communities.

USAID/Guinea will also work with several different NGOs and PVO partners to implement our education activities. Save the Children Fund will initiate a community mobilization pilot project in one of Guinea's four regions to strengthen primary school parent's associations, known as APEAEs, in 1997. Twenty dynamic APEAEs will be created and supported in meeting community needs such as improving education access, quality, and retention rates. SCF will also support the establishment of an education NGO consortium with at least 25 Guinean NGO members to discuss their potential role in improving education at the national level. Field visits to successful NGO programs in education will be arranged, strategic planning workshops conducted, and professional norms and standards for NGOs working in education will be articulated through collaborative efforts with partners such as MEN.

World Education will also be developing partnerships with national NGOs who will in turn work with the APEAEs. These partner NGOs will become intermediary organizations and provide training for APEAEs in community and organization development, adult literacy, management and education research programs. If the program is successful, it will be expanded to two regions in addition to the initial pilot region. The training system will work within the APEAE network, with service NGOs intervening on a contractual basis only. World Education will also work with Prefecture-level representative bodies elected by the APEAEs and their delegated Regional Federations. These Federations could potentially elect members of a National Council of APEAEs to communicate directly with the central government. This national council could encourage stakeholders to increase their participation in the dynamic education reform going on in Guinea by providing training opportunities in bookkeeping, fund raising, establishing links with the private sector and providing a forum for sharing best practices.

Lessons Learned

1. USAID/Guinea has found that girls' issues must be an integral part of the national education reform process to achieve gender equity. We have also found that it is critical to obtain the support of community leaders for planned education reforms. Although the efforts we supported at the national level did lead to an increase in girls; enrollment levels, our best results were obtained in those geographic areas where we supplemented this national-level effort by enlisting the help of respected community leaders in promoting education reforms.

Value added by NPI approach: As a result of this changed environment, community organizations have spontaneously emerged and are searching for new, non-traditional approaches to education financing, and to retaining teachers in rural areas.

Primary Contact Persons: USAID/Guinea/Alpha I. Bah

F. An Experiment in Rural Cooperative Development: An NPI Case Study in Partnership.

Development Problem: The limited capacity of Guinean citizens to achieve community development goals through organization and advocacy, and limited experience with democratic principles and practices.

Why the NPI approach: We agreed with CLUSA, an NGO with extensive experience in other West African countries, that enabling a Guinean community to define and realize its development goals could best be achieved by partnering with a NGO experienced in community empowerment, democratic practices and procedures, and in teaching needed management and literacy skills.

Ongoing and planned actions: CLUSA strives to help communities achieve sustainable development by facilitating the development of rural group enterprises that address member-identified needs and generate revenue by implementing viable, private sector economic activities. To achieve this objective, CLUSA negotiates, then enters into contractual agreements with interested associations who agree to operate under fundamental cooperative principles including: voluntary and open membership; democratic control (one member, one vote), member economic participation (the capital of the enterprise is dedicated to the benefit of the users of that capital, and is initially drawn from internal resources), autonomy and independence, provision of training and information to members and key partners, cooperation among cooperatives, and concern for the community.

During this past year, CLUSA has recruited its field staff with the active participation of potential cooperatives. CLUSA's field agents live in villages with cooperative members, and work uniquely in local languages. This allows them to gain acceptance by, and the confidence of, the local communities, and to successfully integrate the realities of rural life into partner activities.

The first step for these cooperatives was their assessment and identification of an internal facilitator who would receive intensive training by CLUSA field agents so as to ensure that the decisionmaking and management techniques used by CLUSA would be fully internalized by the local cooperative. An important second step undertaken by CLUSA and its cooperative partners was to lead them through a self-diagnosis of their organizations' strengths and weaknesses. CLUSA's national staff is now facilitating analysis and prioritization of potentially viable economic activities prior to helping partner members prepare feasibility studies for potential financing through local banks participating in the activity.

In much the same manner CLUSA field agents transfer competencies to the rural cooperatives they work with, CLUSA core staff progressively transfer knowledge and responsibilities to their field agents, training them as master trainers with skills in organizational development and enterprise management, and in skills such as accounting, conducting feasibility studies, planning, budgeting, conducting cost/benefit analysis, adult participatory training techniques, and teaching operational literacy. It is therefore expected that, when CLUSA activities end, the field agents will form one or more local organizations which will continue providing CLUSA-type services to clients.

Lessons Learned

1. The time and effort required to involve cooperative partners in the selection process for local field staff has had a very high payoff. We have found rural villagers' input to be invaluable because they are best qualified to analyze village needs and to select staff with qualities that make them excellent facilitators. The spirit of partnership that has emerged between CLUSA and local village cooperatives as a result of this selection process has created a strong commitment on the part of cooperatives to work with the CLUSA program, and has made our field agents directly accountable to the village cooperatives that selected them.

F. (continued)

2. Even though CLUSA adheres closely to a well-defined set of principles and operating procedures that sometimes alienate local development partners, it has created a strong cooperative relationship with its partner cooperatives in a very short time. This has been achieved through flexibility, mutual understanding and respect as well as devoting resources to ensure open, active and transparent communication of partners' needs, expectations, roles and responsibilities.

3. Real partnership requires new relationships between field agents, village cooperatives, and local government. Field agents living in partners' villages and working exclusively in local languages have been able to reenforce existing partnerships, soften old hierarchial relationships and expose members to new ideas and different ways of approaching their problems. Respecting and understanding the wisdom of rural group enterprise members and community leaders has made this possible.

4. When members begin to recognize that their cooperative or local government is accountable to them, and that they are able to make decisions and benefit from the outcome, they become more willing to invest personal resources in the organization in order to accomplish organization objectives that they have helped define.

Value added by the NPI approach: Due to CLUSA's focus on developing civil society, the NGO initially de-emphasized working with the *Communautés Rurales de Développement* (CRD's) -- government-created institutions tasked with local development, but not known for their effectiveness. However, once the success of CLUSA's activities became known, some CRD's expressed an interest in signing contracts with the NGO. As a result of changing views on the value of partnering with local government institutions, CLUSA eventually agreed. The rationale behind this decision was that the Municipal Advisory Councils (MAC) of the CRDs represent locally elected government, and the MAC is responsible for coordinating socioeconomic development in its geographic region in collaboration with the Executive Board of the local CRD.

Additionally, CLUSA has discovered that a large number of village leaders hold office in both the cooperative rural group enterprises and on the MACs in their districts. By becoming more open to such part-nerships and new opportunities, in less than a year, CLUSA has developed a series of dynamic partnership initiatives with other national and international NGOs, government authorities, financial institutions, and village-level rural group enterprises.

Primary contact person: USAID/Guinea/Vic Duarte; CLUSA/Guinea/Ben Lentz

V. LESSONS LEARNED

- USAID/Guinea's desire to become a Leading Edge Mission was in part driven by the Mission's belief that its program had already incorporated many of NPI's principles. Therefore, one of the most surprising lessons we've learned is that **there was a tremendous amount of untapped energy, enthusiasm, and potential for new partnerships that materialized when we began to explicitly promote the initiative.** Once we became more conscious of NPI principles and strategies, and made the extra effort to implement them, our partners realized that we intended to share responsibilities for implementing our activities and achieving results, and the initiative gained a momentum of its own.

- **Because it requires a significant investment of staff time, the success of NPI hinges on a strong, explicit commitment by senior management** to implementing NPI activities. Creating new partnerships and linkages, and being available to assist new partners is time consuming and can cause frustration because resources are temporarily diverted from an activity's primary objectives. On the other hand, by working more closely with our development partners, Mission staff discovered opportunities for advancing activity objectives, and were able to create new synergies. Without the creation of a conducive "enabling environment" within the Mission by its senior staff through the delegation of authority to the NPI team and their unwavering support, we could not have attained the results achieved thus far.

- **Strategic partnerships augment the capacity of partners working in the same or different sectors** to achieve development objectives. For example, CLUSA is interested in collaborating with the Agricultural Marketing Foundation to improve its effectiveness by introducing the organization to CLUSA's organization and management principles. Similarly, PRIDE is cooperating with PSI to include health and AIDS awareness messages in PRIDE's training sessions, and is exploring other possible avenues for sharing its expertise and experience.

> When members begin to recognize that their cooperative or local government is accountable to them, and that they are able to make decisions and benefit from the outcome, they become more willing to invest personal resources in the organization in order to accomplish organization objectives that they have helped define. By becoming more open to such partnerships and new opportunities, in less than a year, CLUSA has developed a series of dynamic partnership initiatives with other national and international NGOs, government authorities, financial institutions, and village-level rural group enterprises.

- The time and resources invested in **creating an improved enabling environment, including what could be called the social enabling environment, can have an enormous payoff.** For example, CLUSA's activities are having unforeseen results, as the GOG's Rural Development Communities seek to establish a new partnership with the NGO. The success of NRM in helping community and forestry officials co-manage the Nialama forest has also started to produce unforeseen results in terms of increased revenues for local villagers. After PSI was able to obtain the support of local community leaders for its information, education and communication campaign by enlisting the support of

national political and religious leaders, other health-related results became easier to achieve since the taboo on publicly discussing contraceptives had been broken.

- While the nature of a particular interaction and the need for flexibility should always be carefully considered, in certain situations **it is particularly important that partnerships be spelled out in signed written contracts or memorandum of understandings.** The preparation and negotiation of these contracts clarifies the expectations and responsibilities of all partners, thereby avoiding false expectations and providing a reference document to help resolve disagreements. In the case of the VITA/PRIDE activities, the clear requirement that credit be sponsored by a group rather than a single individual, codified in a contract, is largely responsible for the near 100% repayment rate of loans.

- **Better results can sometimes be achieved by allowing partners with more clout or influence to take the lead.** When PSI experienced obstacles in trying to get family planning and AIDS information centers opened and running, the issue was resolved only when PSI deferred to two local partner organizations who could obtain the needed authorization. In basic education, USAID/G's success in increasing girls' enrollment in schools also resulted from working closely with local leaders.

> A collaborative relationship between unlikely partners can be achieved through carefully managed dialogue and strategic planning.

- **The success of a partnership depends largely on the level of mutual understanding and respect achieved.** CLUSA field agents who lived in the villages cooperating with CLUSA and worked exclusively in local languages have had remarkable success in strengthening existing partnerships, softening old hierarchial relationships and exposing members to new ideas and different ways of solving problems. By the same token, CLUSA's field agents are better able to adjust their methods and goals to suit their individual village's needs.

- **Motivating partners to participate in NPI requires a non-directive, open-minded approach.** Working closely with a few individuals and then progressively broadening the scope of NPI activities has proven to be highly effective. Engaging partners in a discussion about how to integrate the NPI approach into their ongoing activities allows partners to tailor the NPI to their particular programs, and stimulates thinking about new activities and approaches.

- **A collaborative relationship between unlikely partners can be achieved through carefully managed dialogue and strategic planning.** After much background work, four regional workshops planned by USAID resulted in mutually agreed upon changes to the Guinean Land Code, which made it more consistent with local traditions. Similarly, agreement for the co-management of the Nialama classified forest by the community and government officials has shown that it is possible to obtain effective partnership between the GOG, the local population and national NGOs for

sustainable management of natural resources. In both cases, however, our experience has shown that partnerships require patience and expert community organization skills.

VI. CONCLUSIONS

A. Value added by the NPI approach

NPI has significantly improved the effectiveness of USAID/G's program by strengthening our partnerships, improving the quality of some of the Mission activities, decreasing the time needed to achieve certain results, and generally making our work more satisfying. The impact of NPI started to be felt very early as we polled our partners to determine their receptiveness to a renewed relationship based on NPI principles.

The spirit of partnership encouraged by NPI has also started to show concrete results through the leveraging of resources from other donors. As a result of the enhanced level of dialogue realized through monthly partner meetings and other new practices, the GOG and other donors have become more interested in coordinating with the Mission and co-financing activities. For example, the French *Caisse de Dévelopment* has financed the opening of two branches of the USAID-financed VITA/PRIDE activity, and Africare is participating in the national expansion of a community-managed road maintenance activity in partnership with the government's road construction and maintenance unit (PNIR), an activity supported by USAID financing.

The Learning Team's country-specific feedback also led USAID/G to focus more on strengthening cross-sectoral linkages and on ways of developing activities that integrate the three NPI areas. We have started to identify with greater specificity the policies and regulations that have been and will be targeted to improve the national and local enabling environments for small business, local government and NGOs. Additionally, we have attempted to identify ways to ensure that these groups will undertake the civic actions needed to enhance and sustain their development. We expect that the improved enabling environment and community initiatives will in turn serve as a catalyst for increasing the effectiveness of our activities. Unleashing a new community spirit of cooperation and empowerment could, in effect, remove one of the most important constraints to development in Guinea; Guineans' reluctance to take the initiative in achieving important development goals.

B. Next Steps

1. Next Steps for the Mission

In the course of developing our new CSP, we intend to develop and strengthen the vertical links within our activities while also exploring new horizontal linkages between sectors. For example, we plan to integrate health and environmental education into our current basic education activities. We also plan to explore ways to go beyond our own program by integrating our effort with other donor activities. We further plan to integrate civil society development objectives into nearly all Mission

activities. In addition, we will devote more energy to involving the private sector in partnerships with local communities. In short, we plan to systematically incorporate NPI into USAID/Guinea's new Strategic Development Plan to begin in June 1997.

2. Suggestions for the Agency

USAID/Guinea is happy to have been selected as a LEM, and strongly encourages the expansion of the Initiative. In addition to what is already planned by the Learning Team, we would like to encourage the Agency to take an active role in promoting NPI with other donors.

In conjunction with the dissemination the documentation from the LEM phase, we encourage an active effort to familiarize everyone in the Agency with the potential of this initiative. This could be done through NPI workshops, either specially set up for NPI or in conjunction with other Agency conferences. The continuation and expansion of the core USAID/W NPI team would also be essential to the future success of the initiative.

Finally, as noted above, implementing NPI requires both staff and financial resources. The payoff is high, but the need for additional staff time, particularly in the initial stages when partners are being educated about new Mission policies and procedures, is also high. Some NPI-specific funds will be needed, particularly in the initial stages, to help promote the initiative and to help develop the capacity of local NGOs.

3. How the Mission envisions its role as an NPI Mentor

USAID/G would like to further enhance its understanding and practice of the NPI through a process of interaction that brings together AID/W and field practitioners. The Mission would like to become a node for regional NPI networking to advance new partnership initiatives in West Africa. We would be interested in hosting NPI workshops where AID/W and other NPI experts could discuss NPI principles, strategies and experiences. The Mission would also like to host delegations from other missions to come familiarize themselves with what we have done and what might work for them. Depending on funding availability, we would also like to sponsor some of our NPI partners to visit neighboring countries to share their experience with others interested in advancing NPI.

ANNEX 1

Implementing the GREDP

In creating UCOFIS, VITA and PRIDE have relied on lessons learned from the creation of a successful decentralized financial institution in Benin known as FECECAM. Through consultations with the former Director, PRIDE and VITA project staff defined the new institution's vision, decided on an institutional form, developed statutes and by-laws for the new organization, refined the projects' procedures manual and developed the constitutional general assemblies of UCOFIS to which future representative will be elected.

PRIDE was already registered as an indigenous NGO. UCOFIS and its local branches (COFIS) have now been registered with the Guinean Ministry of Justice, but are not yet legal entities to be able to sign contracts and open bank accounts. An application has also been submitted to SENETEC, the Guinean service in charge of certifying and overseeing cooperative organizations, for the UCOFIS and COFIS to become registered cooperatives.

The final step will be for UCOFIS to register with the Central Bank as a "specialized financial institution," which will involve working with the Bank to identify the regulations, currently unspecified, that will govern this type of financial institution, the first of its kind in Guinea. Because of the void in existing Guinean laws, VITA and PRIDE are considering calling for a special law to be passed by the National Assembly and signed by the President concerning the specialized financial cooperative. While this sounds like a formidable task, other projects in Guinea, including AMIP, have gone through the same process on the road to institutionalization.

In terms of anticipated results, active participation by cooperative members and staff is impressive and is expected to continue under the new management structure. For example, a series of constitutional General Assembly meetings have recently been held in which between 50% and 100% of clients attended in towns where PRIDE sub-branches are located. Overall, this activity has a remarkable record which members hope to sustain. The outstanding performance of credit recipients will allow the credit element to attain a projected 108% coverage of credit sector operating costs by 1998.

NPI FINAL REPORT -- *USAID/Haiti*

I. INTRODUCTION

In February 1996, USAID/Haiti (USAID/H) applied to be a Leading Edge Mission (NPI/LEM) under the New Partnerships Initiative primarily on the strength of its democracy activities, which focus on forging and strengthening private/public partnerships. Haiti's transition to democracy in late 1994 had already led the Mission to devise innovative programs and NPI-like approaches in order to accommodate changes required to reorient assistance from a strictly humanitarian relief program--implemented through nongovernmental organizations (NGOs)--to a largely bilateral effort, through contractors and grantees, aimed at supporting the newly restored constitutional government and providing an immediate response to the urgent needs of its citizens.

USAID/H's efforts under this transitional program have included: support for the demobilization and reintegration of the military; funding of a DOJ/ICITAP program to support the creation and training of a 5,200 member civilian police force; emergency and in-service training for prosecutors and judges; strengthening of the Ministry of Justice; legal aid; prison reform and rehabilitation; the activation of a Human Rights Fund; assistance to help clear Haiti's arrears; balance of payments support to promote economic reforms, including privatization; a communal governance program (2,260 microprojects) carried out in 113 of Haiti's 133 communes; support for municipal, legislative and presidential elections; assistance to local governments, Parliament and civil society; assistance to a presidential commission to promote policy and regulatory reform; the establishment of a community-based health care system; and support for the establishment of a National Environmental Plan and a National Education Plan, among others.

Over the past few months, the approach of forging and strengthening public/private partnerships has been expanded and strengthened through the Mission's application of NPI principles within and across the program's three Strategic Objectives:

SO 1: Foster more effective and responsive democratic institutions and empowered communities

SO 2: Facilitate increased private sector employment and income

SO 3: Promote smaller, better-nourished and better-educated families

As stated in its original proposal, USAID/H believed that NPI would provide a valuable framework and support for new dialogue and activities with our development partners. Since then, USAID/H's designation as an NPI/LEM has strengthened the Mission's commitment and approach to establishing new partnerships, which

not only improve the environment and performance of ongoing development activities, but also enhance the reengineering process.

> USAID/Haiti's designation as an NPI Leading Edge Mission has strengthened the Mission's commitment and approach to establishing new partnerships, which not only improve the environment and performance of ongoing development activities, but also enhance the reengineering process.

The initial focus on NPI has been 50/50 internal/external due to reengineering and funding problems associated with Congressional holds, which have limited the launching of certain key flagship project field activities, such as support to local government. Nonetheless, NPI's influence on planning those activities has been substantial--including site selection criteria for local government support that require synergy with past and ongoing USAID activities in other sectors, such as communal governance, agriculture, microenterprise and the environment. Some NPI-like activities, such as cross-training, have already gotten underway, while others (e.g. an integrated public information campaign on local government and civil society) are about to start.

NPI precepts will also contribute directly to the upcoming design of USAID/Haiti's long-term strategy, as indicated by our progress to date.

II. COUNTRY CONTEXT - FOSTERING PARTNERSHIPS IN HAITI

A. Starting Point

In September 1994, three years after the democratically elected president was overthrown in a coup d'etat, the constitutional Government of Haiti (GOH) was restored to power following the intervention of a U.S.-led Multinational Force (MNF). The GOH--supported by the international community--immediately focused on a transition strategy designed to meet immediate needs, demonstrate tangible progress and lay the foundations that would later enable Haiti to plan and implement a sustainable development program. This short-term approach was predicated by two factors: the need to mitigate the disastrous effects of three years' of corrupt military rule under strict, internationally-imposed embargo conditions; and the fact that the restored President had less than 16 months remaining in his five-year term.

The first year was marked by major accomplishments, among which were: the elimination of the military and the creation of a civilian police force; clearance of arrears, allowing multilateral and bilateral aid flows to resume; five free and fair elections, resulting in the October 1995 installation of 2,195 local government officials and legislators; and a presidential election in December 1995. However, in October 1995, dissension over privatization led to the replacement of the Prime Minister and Cabinet with a caretaker government.

The March 1996 launching of the Mission's participation as an NPI/LEM coincided with several key events. The Parliament had just ratified the nominations

of Prime Minister Rosny Smarth and his Cabinet, six weeks after the first ever transfer of power between democratically elected Presidents Jean-Bertrand Aristide and Rene Garcia Preval. The new government designated privatization, civil service reform and fiscal discipline as priorities, and because of its five-year mandate, began to turn attention away from transitional activities to focus on a medium-term strategy for sustainable development.

So far, the Government of Haiti has held to its major commitments, as evidenced by the signing of a Structural Adjustment Program with the IMF and passage of legislation on privatization (both in October) with civil service reform legislation anticipated for January 1997. However, further improvement of the enabling environment is required to convince the other players--NGOs, businesses and foreign investors, civil society actors--that the GOH will stay the course and that changes will not be reversed: further openings will occur, and participation will be productive and safe.

> ... forming partnerships between the GOH and representatives of the business community, and engaging both directly in an open policy debate, should not only result in more appropriate policy recommendations, but also assure broader support for the reforms enacted.

The uneasiness of relationships between the GOH and NGOs continues. Given Haiti's history, this is not surprising. Nonetheless, proposed legislation on NGOs has been presented to them for consultation and comment, a step that would have been unthinkable in the past. Another concern is the introduction of a four percent "service fee" for customs handling of duty-free shipments. A major effort is currently underway to reverse this decision.

Local businesses and foreign investors continue to play a waiting game as GOH policies and reforms are elaborated. However--as demonstrated by the enactment of several laws proposed by the private/public sector Presidential Commission--both sectors are learning the value of collaborative effort to expedite the necessary changes. Another overarching factor in the slowness of new investment is the security climate, both actual and perceived. President Preval has made a formal request to extend the UNSMIH mandate by eight months (through July 1997) based on the rationale that the new police force needs additional field experience and in-service training before it takes on its full responsibilities.

B. Special Challenges and Constraints

In April 1996, just weeks after the Mission's acceptance as an NPI/LEM, the Dole amendment went into effect, prohibiting certain foreign assistance to the public sector in Haiti. This had immediate consequences for the activities that were to form the starting point for NPI, namely the bilateral Democracy Enhancement (DEP) and Administration of Justice (AOJ) projects. In the case of DEP, the contractor for the local government component was forced to fire staff and suspend activities,

while the contractors for the Parliament and civil society components had to enter a slowdown mode which lasted four months.

While Congressional holds were later lifted for the DEP, AOJ has received only half its allotted funds to date, and programs intended to support privatization (Policy and Administrative Reform, ASSET), and civil service reform (PAR and Budget Support) remained on hold as of November 15, 1996.

III. Actions during the Learning Phase

A. NPI Activities

- SO 1 completed highly participatory, comprehensive assessments on Parliament, local governance and civil society. For example, at the Parliament, all 110 new legislators received questionnaires requesting their views on constraints and priorities for assistance. In local governance, questionnaires distributed to the new mayors of Haiti's 133 communes not only engaged local officials directly in project planning, but also established a valuable database--including a succinct description of each locality's population, natural resources, economic activities, sources of revenue, and infrastructure, as well as priorities for development--as determined in town meetings. Unfortunately, the public opinion survey for the civil society assessment had to be postponed due to lack of funds. It will go forward early this year.

SO 1 also participated in the evaluation of two ground-breaking programs, designed and implemented by OTI during the transition phase, which retrained and integrated demobilized soldiers and carried out a nationwide community governance program of small, rapidly-implemented projects to improve the quality of life and demonstrate tangible progress resulting from a return to democracy.

The evaluations and democracy assessment (the first since 1989), including a major analysis of the rapidly changing justice subsector, will inform a new democracy strategy which, when combined with similar efforts in other program sectors, will form the basis--at long last--for a long-term USAID strategy for Haiti. This document will reflect both NPI precepts and the newly elected government's priorities for long-term development, as determined during the assessment.

- SO 2 and SO 3 worked together on development of an innovative food security strategy that will continue the Mission's reorientation of humanitarian and emergency feeding programs to a development-oriented, sustainable approach that addresses demographic pressures through integration with a sustained family planning program and the substitution of production-enhancing self-help programs for short-term relief. A key element of the proposed strategy is the economic development of Haiti's secondary cities as a means to respond to increasing population pressures in the capital and rural areas. The formation of effective partnerships between small businesses and municipal governments could expedite and facilitate efforts to promote successful regional economic development.

- Begun by SO 1 in December 1995, a series of retreats and workshops to engage other SOs, the GOH, contractor and donor partners, and civil society was reactivated following a temporary suspension (due to funding problems and project slowdown related to the Dole amendment). The last retreat introduced participants to reengineering. The next retreat--broadened to include private sector representatives--will feature presentations on the findings of the local government assessment, lessons learned from OTI/IOM's communal governance program and GOH plans for decentralization.

- The SO 1 retreats led to the formation of three multi-institutional working groups established to undertake specific actions and report back to the plenary on progress. The Training Working Group (TWG) has reached agreement to catalogue and share training materials, cross-train trainers and staff of contractors and other partners in the democracy field, and exchange small grant project proposal forms and site selection and grant criteria, with a view to eventual standardization.

Cross-training in facilitation techniques began in September and involved trainers and staff from Associates in Rural Development (ARD), the International Organization for Migration (IOM), and America's Development Foundation (ADF), which immediately put the techniques into practice in a 3-day "vision workshop" for 17 mayors from the six existing mayors' associations (See Annex A for additional details). The Public Information WG developed a joint public information campaign for the local government and civil society programs which will be initiated in November. With completion of the subsector assessments, the Monitoring and Evaluation WG will be inaugurated shortly.

- Within the Mission, a joint SO1 (Democracy) and SO 2 (Economic Growth) working group was established to facilitate inter-SO connections between the civil society and economic development programs. The working group, assisted by PPC/DP's Norm Nicholson, finalized a paper on proposed areas of collaboration (See Volume 2, Section B, Annex 12). This effort was immediately inaugurated with two initiatives: 1) a commitment to co-finance a program designed by Hernando de Soto (of Peru's Institute for Free Enterprise and Democracy, or ILD) and Haiti's Center for Democracy and Private Enterprise (CLED) to address property rights--a key constraint to Haiti's economic and social development; and 2) SO 2 in-depth briefings for SO 1's contractor staff on the Mission's agriculture and environmental programs, including field visits.

- For engagement of civil society in Mission activities, many of the DEP civil society component activities, to be proposed by groups and individuals, will focus on current issues and topics immediately relevant to Haitians' lives and interests, where there is room for maneuvering by civil society (i.e. decentralization, security, women's issues, etc.). These types of actions could well lead to a reawakening or a greater sense of empowerment of civil society as a whole. This component will be guided by input from the Haitian Advisory Council (HAC), a group of ten opinion leaders who represent a broad swath of Haitian society--including justice and human

rights, labor, education, the media, business, rural development, the women's movement, civic service organizations, and community development. The HAC, which was formed for this purpose under DEP, will hold its first meeting in November.

B. Mission Structure to Work on NPI

SO 1 has the primary responsibility for promoting and tracking NPI, with the Democracy Enhancement Project as the lead activity. Given the success of the NPI approach to date, the Mission has decided to hire, for a period of six months, an NPI advisor charged with coordinating NPI participation across SOs, reporting, and promotion outside the Mission. The candidate will have experience working with both NGOs and the private sector so that s/he can enhance our efforts to link these two sets of groups into a new vision of civil society. This position will be filled when FY 1997 funding becomes available.

As previously mentioned, there is already an active SO 1/SO 2 working group. Over the next few months, the Mission will focus on expanding the NPI linkages between SO 1 and SO 3, and SO 2 and SO 3. The latter has already begun with the joint food security strategy; however, this will be the first time a focus is placed on building linkages between democracy activities and interventions in health, population, nutrition and education.

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Customer Service Plans (CSPs) are being prepared at the SO level. Given the difference in where the program in each SO stands--i.e. new and/or transitional, older and well-established, or reoriented activities--each SO has taken a different approach. SO 1 had introduced reengineering to partners several months ago, and, because it was at the stage of subsector assessments and workplan development, it was able to incorporate CSP principles directly into the planning and refinement process. SO 2 had a big kick-off meeting in September where the partners and some customers were introduced to the idea of reengineering and the CSP, followed by meetings at the Results Package (RP) level to determine needs and activities, and to develop the plan. SO 3 is working on its CSP at the intermediate partner level, and will finish the process by the end of November.

C. Ability to Leverage Resources/Support from other Development Partners

Following a series of discussions between SO 1 and the European Union (EU), an agenda for cooperation between the EU and USAID/H in NPI and governance and justice activities was developed in June 1996, exchanged by the respective missions in Haiti and sent back to Brussels. Other donors will be formally introduced to the NPI concept at the next retreat.

The Mission is confident that its other donor partners (including Canada, France, the UNDP, PAHO, UNICEF, UNESCO, the IDB, World Bank, and the IMF, all of which have on-site representatives) will also welcome NPI, as it promotes the best practices already identified during the intense donor coordination that enabled the international community to implement a $1.2 billion package of assistance, pledged to support Haiti's transition to democracy in 1995.

At the activity level, USAID continues to capitalize on co-financing opportunities with other donors, ranging from the operations of the Magistrates' School, to be shared with Canada and the EU, to a conference on legislative/executive branch relations in November, co-financed with the UNDP and France. The latter also features the initiation of a cooperation agreement with the National Assembly of Quebec (NAQ) whereby USAID will cover travel and per diem costs, and the NAQ will cover the salaries of legislators sent to provide technical assistance to the Parliament.

USAID has recently become more involved in facilitating its customers' access to other funding sources for activities that either exceed our activities' scope or fall outside the Mission's program. For example, USAID assistance to the Presidential Commission may help the GOH finance A&E studies on the upgrade and expansion of the airports in Port-au-Prince and Cap Haitien. Since the Japan International Cooperation Agency (JICA) cannot finance such studies, it will use these to consider funding of the construction work itself, at a cost roughly estimated at $40 million.

The timing of a sharper focus on the NPI initiative coincides with strategy development for several major donors, including the European Union, Canada and France, all of which are engaged in designing medium to long-term programs for Haiti.

IV. CASE STUDIES OF INNOVATIVE APPROACHES AND ACTIVITIES

The eventual success of Haiti's efforts to bring about political decentralization will be tied to the health of its regional and local economies. The Democracy and Economic Growth SOs are beginning to coordinate site selection criteria so that pilot geographical areas can be targeted for mutually-reinforcing activities by both SOs.

Programs have been identified which attempt to support the role of the business community as an advocate for legal and regulatory reform and to build capacity for selected business and small farmers' associations. Planned activities in community forest and watershed management should also offer opportunities to establish creative partnerships between municipal governments, NGOs and local business interests.

To facilitate efforts to track the degree of concentration-dispersion of activities by various SOs, as well as by other donors, the Mission's Monitoring and

Evaluation Unit--in close collaboration with SO 1--is creating a map of the distribution of activities by commune.

Examples of successful interventions and promising planned activities are provided below.

1. **Increasing Access to Justice through Local Partnerships**

Development Problem: There is no public defense system in Haiti, and the Ministry of Justice--with limited financial and human resources--cannot fill the void. Due to the Haitian civil law system, pre-trial detention is the norm. Illegal arrests and lack of financial access to legal counsel often lead to prolonged, unjust detention due to indigence. Prison overcrowding is reaching critical proportions and contributing to severe violations of internationally recognized standards for human rights, including the right to due process, legal counsel, and humane conditions of detention.

Relevance of NPI Approach: Under the Administration of Justice program, an innovative effort provides indigent prison detainees with access to legal services, through partnerships designed to address these issues in the short-term. Three sets of nongovernmental entities with a role to play in legal defense--law schools, bar associations, and local NGOs--have been brought together in a small grants program.

Description of Actions Undertaken: Law schools identify graduating law students, who are required to perform internships before becoming full-fledged lawyers. Bar associations typically match students with internships in private law firms; however, to address prison overcrowding, students are instead matched with NGOs to provide legal assistance to poor detainees. Small grants support the roles of law schools, bar associations, and NGOs in improving the quality and accessibility of legal services in a manner that will be sustainable in years to come.

Lessons Learned: USAID encountered resistance from the traditional human rights community, typically based in Port-au-Prince, who viewed local NGOs with suspicion. Considerable efforts have been required to allay these concerns.

Results/Value Added by NPI: Between January and August 1996, these innovative local partnerships resulted in the closing of 1,953 cases involving pre-trial detention, composed of 484 case dismissals, 1,231 releases and 238 convictions. Associated legal information seminars, by targeting common local causes for arrest, increase public awareness of Haitian law and may assist in deterrence. In addition, seeds have been planted to resuscitate provincial bar associations, which had fallen into disarray during the coup period and earlier.

Primary Contact Person: Jean-Philippe Vixamar

2. Reshaping the Enabling Environment through Advocacy

Development Problem: An accommodating business climate is absolutely vital to creating jobs and income opportunities at this point in Haiti's transition to democracy. In addition to macroeconomic reforms, an improved business climate requires important industry-specific reforms which require close coordination with private sector leaders.

Relevance of NPI Approach: Rather than channeling technical assistance for economic policy reforms exclusively and directly to the government, forming partnerships between the GOH and repre-sentatives of the business community, and engaging both directly in an open policy debate, should not only result in more appropriate policy recommendations, but also assure broader support for the reforms enacted.

Description of Actions Undertaken: For the past 18 months, the Mission has been working with a group of business leaders and Cabinet officials on specific policy reforms and current national issues, through support to an organization known as the Presidential Commission for Economic Growth and Modernization. This collaboration has assisted and influenced President Preval's policies. For example, a set of 16 policy papers provided to the President after his election became the basis for legislation, including laws enacted on privatization, port tariffs, and other economic reforms. A total of seven draft laws have been prepared, including a new investment code which is being presented to the Cabinet, and will shortly be submitted to Parliament.

Lessons Learned: Members of the Presidential Commission have learned the value of keeping the Haitian Parliament well-briefed on upcoming bills. This coordination is essential to bringing parliamentarians up to speed and avoiding protracted delays in deliberation and passage.

Results/Value Added by NPI: Although this activity preceded NPI, NPI embodies the values that guided the design of the Presidential Commission, which broadens the participatory base in formulating Haiti's macroeconomic and key sectoral strategies and policies.

Primary Contact Person: Scott Kleinberg

3. Enhancing Partnerships to Provide Improved Basic Education

Development Problem: Educational opportunities for the vast majority of Haitians have always been limited. Insufficient school places, inefficiency and poor quality characterize all levels of the educational system, but are particularly acute at the primary level. Today, fewer than 75 percent of school-age children are enrolled, and there are sharp variations in enrollment and attendance rates; between urban and rural areas, and by socioeconomic status. Educational inefficiency is evidenced by high repetition and dropout rates: fewer than 30 percent of all children who enter primary school actually complete six grades. Girls' education is particularly problematic. Although boys and girls enter school in the same numbers, girls are less likely than boys to complete the six grade primary cycle and go on to secondary school. The poor quality of education results from inadequate learning materials, unqualified teachers, and, traditionally, an inability of the GOH to commit the necessary financial, intellectual and political resources to improve the primary education system.

Relevance of NPI Approach: Involving a number of partners to attain quality education, including those directly and indirectly served by the program goal, fosters a greater likelihood of success. By ensuring the participation of parents and teachers in the program process, more people and institutions will own the concept and strive towards its achievement.

Description of Planned Actions: Haiti is a cooperating country in the Agency's girl's education effort. In combination with the Mission's Education 2004's objective of greater involvement of communities and parents in decisionmaking regarding their children's education, USAID will target populations who have heretofore been peripheral to the education program design and implementation process. These two efforts will focus on determining the deterrents to girls' education and involving parents and communities in providing solutions to the problem.

Lessons Learned: The program is scheduled to start in September 1997 with preliminary results available sometime in 1998.

Results/Value Added by NPI: It is anticipated that direct involvement of parents in identifying the barriers to their children's education will motivate them to address the underlying causes and assure greater success.

Primary Contact Person: Lynn Gorton

4. Increasing Farmers' Incomes through Local Capacity Building and Partnerships

Development Problem: Deforestation has progressed to the point that Haiti, which was 60 percent under forest in 1926, now has less than 1.4 percent of its land under trees. Poverty, which, in turn, aggravates the impact of unchecked population growth, as well as the search for farmland and the cutting of trees for fuelwood and charcoal, is the fundamental driving force behind deforestation. Roughly 70 percent of Haiti's seven million people currently live in rural areas, and 80 percent of those, nearly four million people, make their living by farming the nation's hillsides. Over two-thirds of hillside production consists of annual crops (mainly maize, cassava and beans), while most of the remaining one-third consists of trees. However, these are mostly banana and plantain trees, whose soil retention properties, while better than those of the annual crops, are not as effective for soil conservation as larger fruit and fuel trees. Given the gradually improving trade conditions for many of Haiti's exports under the Aristide and Preval governments, promoting tree crops on Haiti's hillsides has considerable potential for income enhancement and employment, as well as for soil retention.

Relevance of NPI Approach: Based on USAID's and other donors' experience with tree planting and land use projects in Haiti in the 1980s and early 1990s, it is clear that soil conservation and enhanced crop production and marketing efforts only succeed to the extent that farmers themselves understand the benefits. Thus, partnerships with Haiti's hillside residents are vital to reversing deforestation and protecting the nation's valuable irrigation, urban and rural infrastructure investments downstream.

Description of Actions Undertaken: Two ongoing USAID initiatives, the Coffee and Productive Land Use Systems (PLUS) projects work with over 112,000 farm families or half a million people, to bolster profitable soil retention and market production activities. In both cases, farmers are benefitting from organizing by gaining access to technical assistance and inputs, which allow them to enhance incomes and better protect hillsides through improved annual cropping practices, water management structures and tree crop planting/grafting. In the case of the coffee farmers, they are also exporting their product as a premium grade item which more than doubles their farmgate price.

Lessons Learned: After experimenting with a variety of approaches, including working with individual farmers, all three implementing NGOs in these programs--the Pan American Development Foundation, the Inter-American Institute for Cooperation in Agriculture, and CARE--are working with farmers who are already organized into producers' groups. CARE, which originally worked with individual farmers in target areas in the Northwest Department, is now working in new areas of the Grand Anse (Southwest Department), and restricting itself to communities where farmers' groups already exist. The programs train and rely on members of other communities for field extension work.

Results/Value added by NPI: Although these activities predate NPI, their success clearly demonstrates the value of the NPI emphasis on productive partnerships and local capacity building.

Primary Contact Person: Lionel Poitvien

5. Expanding Microenterprise through New Partnerships

Development Problem: Several macroeconomic policy reforms in lending were undertaken in FY 1995, including the elimination of the interest ceiling, a decree allowing chattel mortgages, and others. Haitian banks, however, remain extremely risk averse. Loans continue to be narrowly funneled to the family groups that dominate the economy, constitute major shareholders and who often sit on the banks' board of directors. Loan eligibility is determined by the amount and type of collateral that can be pledged, with a preference for urban property and foreign exchange deposits to guarantee loan repayment. Those without such collateral are simply denied access to commercial bank financing. The reticence of commercial banks to provide financing to non-traditional clients has contributed to the slowness of recovery of the Haitian economy and the persistence of 50-60 percent unemployment.

Relevance of NPI Approach: Under the Program for the Recovery of the Economy in Transition (PRET), USAID and DAI are seeking partners in both the formal and informal financial sectors, who are willing to engage in a broader lending strategy, including to small businesses and microenterprises, than the current traditional approach. Such a strategy would not only expand the client base of participating banks, but would also provide a valuable boost to economic activity, investment and employment.

Description of Planned Actions: USAID's microenterprise program has traditionally been channeled through Non-Bank Intermediaries (NBIs), i.e. development foundations. USAID's assistance to eligible NBIs will continue, however, some refinements will be made. A Small and Microenterprise Fund financed by USAID will deposit funds into a commercial bank account which will be pledged as collateral for the commercial bank's loan to the NBI, and provide lending capital to the NBI through a grant mechanism. Through these new mechanisms, in December, USAID and four partners will launch a Village Bank Program, which will target some 2,000 entrepreneurs grouped in 96 village banks in the first year of operation.

In addition, USAID is on the verge of entering a new partnership brokered with the Bankers' Association and Haiti's main commercial banks. By offering loan guaranty certificates, USAID will cover the perceived extra risk factor inherent in lending to small, unknown businesses without collateral.

Lessons Learned: As a means of gauging an organization's commitment, partners are expected to contribute to the program, financially or in kind, at a level that indicates their commitment both to the partnership and to the targeted market.

Results/Value Added by NPI: The result envisioned will be more loans to the small businesses and microenterprises that have traditionally been excluded from the financial market.

Primary Contact Person: Ralph Denize

6. Promoting Mango Exports through Partnership

Development Problem: Under the traditional agricultural input system, Haitian exporters were able to purchase imported agricultural inputs by using a combination of personal savings, cash advances from distributors and retailers, and loans from commercial banks. This financing system worked fairly well until the 1991 coup d'etat, which led to the U.S. trade embargo, resulting in substantial losses at all levels of the distribution channel of the mango industry. This situation sent loans in arrears and eliminated any possibility of mobilizing new funds to gather and ship future crops.

Relevance of NPI Approach: Under the Program for the Recovery of the Economy in Transition, USAID/Haiti and SOFIHDES entered into a partnership to create the Agribusiness Guarantee Fund (AGF). The Fund provides the commercial banks with the additional security needed to lend the mango exporters the funds required to recapitalize the system and save their operations.

Description of Actions Undertaken: Partnering with the players already in the system (exporters and local commercial banks), SOFIHDES issues guaranty certificates to the exporters and/or to the financial institution of their choice, hence increasing the exporters' borrowing capacity at their banks. As one of the conditions to receiving such certificates, the mango exporter needs to assure that the new credit flows down to the small farmers, making this program a win-win situation.

On another front, USAID is assisting mango exporters to become more effective through organization. Until 1987, Haiti used to export more mangoes to the U.S. than any other country except Mexico. It still has ten working hot water (pre-export) treatment plants, but no growers' or exporters' association. Since they cannot regain market share or deal effectively with USDA without such an organization, USAID is helping to form an association and use it to explore export expansion opportunities. After some birth pangs, the membership is beginning to form.

Lessons Learned: Both activities were initiated in response to the mango exporters' request for assistance, thereby increasing the likelihood of their success.

Results/Value Added by NPI: The partnership that resulted in the loan guaranty program provides the additional security to get commercial banks to lend the mango exporters the funds necessary to recapture their market share in the US, while the fledgling mango exporters' association provides a framework which enables the group to deal more effectively with export issues.

Primary Contact Person: Ralph Denize

V. LESSONS LEARNED

Implementing an NPI approach at the activity level is not--in itself--a high-cost undertaking. It mainly involves a reorientation of traditional development planning, ways and means along the lines already reflected in certain successful projects and, in part, by innovative M&E and Customer Service Plans. However, continuous consultations to obtain information and forge and strengthen new partnerships, while efficient in the long run, require additional time and effort which must be factored into program planning, including intermediate results targets.

In addition, to maximize the benefits of the approach, additional funding will be required to enable USAID to facilitate networking between its staff, customers and partners--both in the field and with their counterparts in other NPI countries--through orientation visits, conferences, and the provision of limited technical assistance. Retooling relationships among activities across a Mission's portfolio is also labor-intensive and may, in the short-term, require an additional staff position dedicated to NPI.

Aside from resource considerations, an NPI approach requires considerable effort and sustained focus on anticipated benefits to counter the temptation to simply skip steps necessary to share information and reach consensus, in the interest of expediency. Resistance to change--particularly if it involves program modalities or direction--can also be strong. The use of professional facilitators for NPI-related workshops and retreats is well worth the investment, as it greatly increases the sessions' productivity and enhances the quality of their outputs.

VI. CONCLUSIONS

A. Value Added by NPI Approach

Based on the Mission's experience, the keys to a successful NPI approach are: 1) continuous, participatory canvassing of customers' and partners' attitudes, views and concerns; 2) directly addressing the issues identified, including modifications to programs and workplans; 3) openness to non-traditional partnerships and innovative ideas, particularly in response to local demands; and 4) willingness to enter into new relationships for development, including collaboration and joint activities across sectors.

As demonstrated by the case studies, successful activities are of a piece: approaches that arise from customer-identified demands and participation are more likely to achieve their targets because they respond to legitimate and practical local demands, incorporate interest groups and strengthen organizations, which are better motivated to achieve activity goals that they have helped identify, and take into account local conditions and practices rather than use a one-size-fits-all strategy.

Internally, NPI has greatly contributed to expediting the Mission's re-engineering efforts, begun in January 1996, particularly the Mission's reorganization

by Strategic Objective, by promoting cross-fertilization within and across SOs. More importantly, it provides an organizing principle that encourages synergy, economies of scale, collaboration, and participation, helping to ease the inevitable strains that accompany fundamental change, and fostering greater impact of our activities across the portfolio.

> Internally, NPI has greatly contributed to expediting the Mission's reengineering efforts, begun in January 1996, particularly the Mission's reorganization by strategic objective, by promoting cross-fertilization within and across SOs.

B. Next Steps

USAID/H will continue and expand the SO 1 retreats, reorienting their focus to feature specific topics of current interest, and including a wider range of participants.

Within the next month, support to local government and civil society will be expanded by the establishment of field presence and the launching of a public information campaign and activities in other areas of the country. The SO 1 CSP will go into effect, including the requirement for customer and partner evaluation of every training and technical assistance intervention.

The Haitian Advisory Council will become operational, serving as a sounding board for proposed activities. It will also be involved, along with GOH partners, in the establishment of selection criteria for the civil society small grants program.

Once funding becomes available, USAID will seek to identify prospective sites for visits to various groups' counterpart organizations in the U.S. and the LAC region, and to other NPI missions with relevant portfolios.

C. Suggestions

To expedite and improve assimilation of NPI into existing Mission programs, USAID/W should sponsor an orientation conference in the first month after acceptance. This would not only provide an opportunity for dialogue but would also serve as a forum to introduce field personnel to their NPI counterparts and facilitate networking among participating missions. In addition, NPI team visits to the field should be scheduled early on, and include the participation of members who can provide practical assistance with program planning, promotion, and monitoring and evaluation, as well as information on relevant contacts.

A guide to civic and local development-oriented business and service associations in both the U.S. and the relevant region could greatly benefit the Mission's efforts to involve the private sector in civil society activities.

D. Mission's Role as NPI Mentor/Resource in FY 1998

The Mission will compile a kit of materials, including concept papers, minutes from retreats, reports on CSP implementation, public opinion polls, sample questionnaires, materials related to public information campaigns and other relevant documentation for use as a practical NPI reference by other missions. Other materials, in French or English, can be made available upon request

USAID/H could also participate as a presenter in any USAID-sponsored conference on NPI, and is considering the hosting of a regional conference on NPI in the third quarter of FY 1998. We would also welcome individual mission visits to explore our experience with NPI, and meet customers, partners and other donors.

VII. ANNEXES - located in Volume 2, Section B, Annex 12.

A. World Learning Trip Report (Hank Hunse for Associates in Rural Development, Oct. 1996)

B. Engaging the Business Community in Civil Society (Norm Nicholson, PPC, Oct. 1996)

C. Civil Society and Economic Growth (Norm Nicholson, PPC, Sept. 1996)

NPI FINAL REPORT -- *USAID/Kenya*

I. INTRODUCTION

USAID/Kenya's primary goal of joining the learning phase of NPI as a Leading Edge Mission (NPI/LEM) was to share our experiences and learn with others. We felt that we had both much to learn from the NPI and much to offer. The USAID/Kenya program has for many years focused on delivery of our program through NGOs and the private sector. In addition, our current efforts in helping to move Kenya in the direction of democracy and account-able governance have focused on strengthening civil society organizations. We found NPI principles to be synergistic with ongoing activities in USAID/Kenya and, to our minds, being selected as an NPI/LEM gave us the chance to adapt our program based on lessons learned by other Missions. Our ultimate goal is have our partners in the public, private and voluntary sectors working together, and on their own, identifying and seeking to resolve local development problems and constraints.

> Our ultimate goal is have our partners in the public, private, and voluntary sectors working together, and on their own, to identify and seek to resolve local development problems and constraints.

USAID has strong partnerships with Kenyan and international NGOs. These institutions and others in the private, for-profit sector are integral to our mission goals and strategic objectives. Our current Country Strategic Plan (CSP) was developed with the close collaboration and active participation of our partners. This new CSP shares much with the NPI conceptual framework. Both depend on partnerships to build the capacity of local institutions and to improve the enabling environment in which they operate. Both emphasize strengthening local civil society institutions as a means to further the establishment of democratic, good governance systems and structures throughout the society. We received strong partner support for our new strategy and this translates directly into strong support for NPI. Continued close collaboration with NGOs and the business community will carry USAID/Kenya's program into the next century.

II. COUNTRY SPECIFIC ENABLING ENVIRONMENT

A. Starting Point

Unlike many countries in Africa--and Asia for that matter--civil society is extremely robust in Kenya. There are over 750 NGOs in Kenya, about 677 of which are registered with the government and a further 40-45,000 grassroots

organizations. It is estimated that Missionary schools have educated up to 80% of the present political, technocrat and private sector leadership. NGO medical units provide about 40% of health services. Church-affiliated NGOs consistently advocate for human rights since pre-independence days. Similarly, Kenya's business community is one of the strongest and most active on the continent, and has worked effectively with the Government to implement many of the recent economic reforms. This optimism is tempered, however, by the ongoing struggle to improve democratic governance and respect for human rights in Kenya.

B. Special Challenges, Constraints and Opportunities

In 1990, the Government of Kenya (GOK) passed legislation known as the "NGO Act of 1990". It required all NGOs operating in Kenya to be re-registered and to provide key information on their operations to the government. Most controversial was the provision that allowed the government to de-register any NGO without referring the dispute to a court of law. The legislation also gave GOK wide powers to deny registration for any number of reasons. The Kenyan NGO community was understandably opposed to many elements of this legislation and their collective efforts to review and rewrite some aspects of the legislation met with some success.

The NGO Act of 1990 required NGOs to form a coordination body--known as the National Council of NGOs (the NGO Council)--to regulate their own affairs and serve as the forum for promoting linkages between the NGO sector and the GOK. After a somewhat slow start, this forum has increased dialogue between the GOK and the NGOs in a positive way and has helped professionalize the NGO community through such measures as the establishment of an NGO Code of Conduct. USAID/Kenya supports these efforts through a three-year grant to the NGO Council provided in 1995.

With regard to the enabling environment for small businesses, despite a number of very serious legal and regulatory constraints against it, the private enterprise sector in Kenya has proven to be dynamic and vitally important in terms of poverty alleviation through employment creation and income redistribution. Small businesses in Kenya face a number of difficulties found throughout the developing world, with the most important of these being: an unconducive legal framework; poor provision of infrastructure; market constraints; poor access to credit; and poor access to technology. The government, donors--and of course the business community itself--recognize these constraints and have attempted to reform the legal and regulatory framework.

In March 1994, the government published a Sessional Paper that spelled out a strategy for facilitating growth and development of the micro and small business sector. While the proposed reforms were laudatory, a recent ODA study has identified several flaws in the policy design that have limited the strategy's implementation. Our own effort is focused on providing a national forum, through a contract with International Center for Economic Growth (ICEG), where private

sector and NGO voices can be most effectively heard. We can be optimistic that Kenya's entrepreneurial spirit and capacity will keep the policy reform process moving forward.

On the local democratic governance front, the structure of local government in Kenya has been altered little since the colonial era, but the actual autonomy, capacity, and performance of local government has been drastically reduced over the years since Independence. Through a series of Local Government Acts and amendments the Ministry of Local Government (MLG) has succeeded in centralizing and personalizing the application of local governance. Pre-and early post-Independence local administration responsibilities for major services such as education, health and public works, together with the resources previously allotted to these, have been captured by Nairobi-based ministries, with a resulting deterioration in services for many Kenyans.

Although huge obstacles and challenges continue to hinder reform throughout Kenya's political structure, there have in recent years been some elements of pluralism introduced into the local government system. Unlike many other African nations which have limited their multi-party elections to national office, the 1992 elections in Kenya included the selection of local authorities. In some cases opposition parties dominate the local councils and in many others, KANU (the dominant party nationwide) holds the majority but there is significant minority representation. Unfortunately, the capacity of the political competition at the local level to improve the level of service to local constituencies is severely limited by the centralization of responsibility and resources in the Ministries and by the poor technical capacity of the "newly-pluralist" councils. In sum, the 1992 elections presented both an opportunity and a challenge to increased participation in local democratic governance in Kenya. USAID/Kenya and other donors will continue to work from the top-down and from the bottom-up to take the opportunity and meet the challenge.

In conclusion, while obvious problems and challenges exist, Kenya also has many opportunities and advantages that can combine to result in self-sustaining, socioeconomic and political development in the not-too-distant future. Notwithstanding the many problems faced, the NGO sector in Kenya is vibrant and making a significant impact on both development and the democratization process taking place in Kenya. It is the depth and vibrancy of this sector that has facilitated the Mission's adoption of a highly participatory approach to development, centered on building capacity and partnerships among a very wide range of institutions. The fact that the government has allowed the institutionalization of this approach should be viewed positively and with optimism for the future. It points to the possibilities for real change.

III. MISSION ACTIVITIES DURING THE LEARNING PHASE

USAID/Kenya decided to apply to be an NPI/LEM on the strength of the CSP that the Mission was undertaking at the time NPI was announced. The Kenyan Country Strategic Plan's goals and strategic objectives are as follows:

Goals: broad-based sustainable economic growth in Kenya, contributing to crisis prevention in the greater horn of Africa. Its sub-goal is increased food security in Kenya. Strategic objectives are:

1. Effective demand for sustainable political, constitutional and legal reform created;

2. Increase commercialization of small holder agriculture and natural resource management; and

3. Reduce fertility and the risk of HIV/AIDS transmission through sustainable, integrated family planning and health services.

The strategy is designed to promote and strengthen partnerships. The actions the Mission has taken to carry forward NPI have been as follows:

a. Having intermediate results in each SO which include building local capacity and promoting civil society.

b. Having in each SO intermediate results that strengthen the collaborative relationship among local institutions and with donors and other international organizations.

c. Sensitizing SO teams to NPI.

d. Including NPI issues in the R4 reporting structure.

e. Keeping in touch with USAID/W on the latest regarding NPI.

The following are examples of how the Mission has restructured itself to do NPI-type business:

Within the economic growth SO, the Mission's export initiative (in an attempt to refocus the project to achieve greater sustainability as the project progressed) held a one-day workshop with the technical assistance team, the GOK and our collaborating partners (the Fresh Producers Export Association and the Kenya Association of Manufacturing). The workshop's purpose was to determine how/where to direct the USAID investments after the U.S. technical assistance contractor completed its contract. Options were discussed and recommendations made. The decision was to do cooperative agreements with collaborating partners. As a result of contracting with them directly, they have been required to install

better accounting procedures, management systems and policies. The contract with the American consulting firm has ended and thus this activity has been completely Kenyanized.

> This focus on partnerships with local institutions brings USAID/Kenya closer to Kenyan communities. Kenyan society, particularly women, are organized around self-help voluntary groups and around indigenous NGOs. Working in partnership with local institutions helps strengthen the link with grassroots communities and empowers such communities to articulate their own local needs more effectively. The organization of Kenyan society around voluntary associations is a demonstration that a strong civil society is opportune and can be mobilized to strengthen both democracy and the socioeconomic status of Kenyans.

In another case, the Mission worked with focus groups to determine problems and possible solutions for working with smallholder horticulture growers. This was necessitated as the threat of their being locked out of the European horticulture import market loomed large due to stricter pesticide residue restrictions. Farmers groups, NGOs, trade associations, food processors, middlemen, exporters and other donors participated in these sessions. Not only did USAID get a better grasp of the issues facing this high growth--yet threatened--sub-sector, but it had the secondary benefit of getting the varying parties talking with each other. As a result, the industry is clearer on what the threats are to the industry's growth and the action needed to address them, and there are more avenues open to talk to each other.

Many components of the population and health bilateral program are already organized in such a way as to give specific attention to focus groups and external partners. For example, the new AIDS, Population, Health and integrated Assistance (APHIA) program was designed with an unusual amount of participation; and mechanisms have been established to ensure that participation continues throughout program implementation. The GOK/USAID design team was guided by a 32-person Kenyan advisory committee and informed by the views of another 200 Kenyans. In addition, APHIA was designed with an unprecedented degree of donor coordination. The cooperation resulted in the identification of a set of synergistic activities for potential funding by other donors which will complement and enhance APHIA's impact.

While external partners have always been critical to USAID/Kenya, the base continues to broaden. As USAID/Kenya budgets are shrinking annually, it becomes increasingly important for USAID to reach out to other donors to complement and/or supplant assistance we previously used to be able to provide.

USAID/Kenya's democracy and governance (D&G) program is based on an assessment that involved a very collaborative process in which our team worked directly with leading local NGOs and individuals in the sector. As a result, our entire D&G program is working with local, politically active NGOs, both building their institutional capacity and implementing activities.

The activities described in all three sectors in our CSP contribute directly to the building of partnerships among local institutions and with donors, international organizations and GOK. This focus on partnerships with local institutions brings USAID/Kenya closer to Kenyan communities. Kenyan society, particularly women, are organized around self-help voluntary groups and around indigenous NGOs. Working in partnership with local institutions helps strengthen the link with grassroots communities and empowers such communities to articulate their own local needs more effectively. The organization of Kenyan society around voluntary associations is a demonstration that a strong civil society is opportune and can be mobilized to strengthen both democracy and the socioeconomic status of Kenyans.

There are, therefore, clear cross-cutting linkages to support the case for NPI that the strength of a democracy and the vitality of its economy rest on the degree to which citizens are "empowered". The USAID activities described above focus on involving the Kenyan people in their own sustainable, socioeconomic and political development.

IV. ABILITY TO LEVERAGE SUPPORT AND RESOURCES FROM OTHER DEVELOPMENT PARTNERS

A. Support

The Mission's intermediate partners (PVOs/NGOs, private enterprises, GOK and other donors) played both a direct and an indirect role in the development of the current Country Strategic Plan.

In planning the population and health strategic objective, the core team consisted of 20 people from the GOK and USAID. The core team was guided by a 32-person public/private sector Kenyan advisory committee, a USAID/W Joint Planning Team and by the views of 200 Kenyan customers. Representatives from four Government ministries and nine donor organizations participated in the design. The Japanese Embassy and Japan International Cooperation Agency (JICA) participated as de facto team members.

In developing the economic growth SO, the Mission consulted with key private enterprise sector and NGO partners that had benefited from USAID in the past. The Mission shared drafts of the strategy as it was being developed and held focus group meetings with many NGOs and private sector firms. Critical needs of small farmers were identified through country wide farm surveys which interviewed more than 3,000 farmers. There was also a survey of more than 9,000 micro and small entrepreneurs.

The democracy and governance SO was designed through a highly participatory assessment undertaken by the USAID/W Global Bureau. The team interviewed over 100 people including members of the opposition parties, clergy, the major human rights organizations, civil society groups and the Electoral Commission.

Other donors such as the World Bank, UNFPA, Britain, Sweden, UNDP, German and Denmark work with local NGOs, the business community, and local administrations which also work with USAID. This coordination will be better linked through NPI and strengthened new partnerships.

B. Leveraging Other Resources

International development organizations such as UNFPA, ODA, SIDA, GTZ, WB, DANIDA, JICA and UNDP are channeling considerable development resources through local institutions, focusing on developing the capacities of these institutions to provide development services more effectively. These organizations are also deeply involved in restructuring the enabling environment for local institutions and helping the democratization of Kenya. Similar to USAID, other major donors in Kenya see the empowerment of civil society as a key strategy toward sustainable development and democratization ends. Donor coordination in Kenya is good and getting better, and we feel confident that the already considerable quantity of resources going into NPI-type programming in Kenya will continue to grow.

As already mentioned, there are many local organizations engaged in civil society work ranging from advocacy for human rights to constitutional change. There are also a number of organizations already doing work in the area of conflict resolution and a large number of established NGOs involved in community development work. The greatest resource many of these organizations have to offer is a talented and committed local staff. USAID/Kenya believes that continued capacity building and financial support from a multitude of sources will enables these and other, newer organizations to shoulder an even larger portion of Kenya's socioeconomic and political development in the future.

Finally, the public/private/voluntary partnerships inherent in NPI raise new possibilities for mobilizing local capital and a huge pool of local talent from the business community. Kenya's recent excellent progress with its economic reform agenda and its sizeable economy and level of local wealth puts it at an advantage over many of its African neighbors. NPI will help utilize these resources more productively for Kenya's development.

V. CASE STUDIES

1. COBRA PROJECT: A CASE STUDY OF PARTNERSHIP

"Community Conservation", the cutting edge philosophy of modern wildlife conservation, is based on simple economics -- giving people an economic return from the wildlife living on their land and making wildlife assume a value in the community by encouraging the application of sensible conservation practices. The Conservation of Biodiverse Resource Areas (COBRA) Project is an innovative Community Conservation project being promoted by USAID/Kenya. The COBRA project has demonstrated real democracy in action by organizing local communities to take control of their economic assets, to use these assets for the common good of the groups, and to negotiate major changes in attitude with the Kenya Wildlife Service (KWS). The project has been implementing pilot community conservation programs in three focal districts - Laikipia, Samburu, and Kajiado - as well as the coastal area south of Mombasa.

COBRA began within the fledgling Community Wildlife Service (CWS) under the KWS. The CWS/COBRA team faced a big challenge in that KWS had always been an agency for enforcement of wildlife law; KWS personnel had always considered themselves as policemen first. To bring about an evolution within such a culture called for an extended strategy of workshops, training, recruitment of appropriate staff, and grassroots initiatives. This "greening" of KWS was ultimately successful. In the end, it was the senior wardens themselves, veterans of the poaching wars, who became the strongest proponents of the community conservation within KWS. The institutionalization of the CWS, within the KWS, the primary goal of COBRA, has been achieved. The new department within KWS, the Partnership Department, became one of the three pillars of the new KWS structure; and taking community conservation several steps further into multi-dimensional collaboration with communities, the private sector, the civil society sector, and other agencies in the governmental sector.

With support from USAID and other donors (World Bank, British, Japanese, Germans, Dutch and European Union) the COBRA project initiated major institutional reforms aimed at improving KWS financial and institutional management. KWS has restructured and reorganized its operations and improved relationships with communities around parks and reserves. A community project financing fund (Wildlife Development Fund) has been established within KWS. Good rapport established with communities around the parks and reserves has resulted in wildlife conservation and eco-tourism activities being initiated by communities in the focal areas. Over 300 community projects have been approved and financed at a cost of US$1.6 m. Approximately 50 km^2 have been set aside for game sanctuaries and more than thirty ecotourism enterprises established. Communities have formed associations, fora and wildlife conservancy units, that will increase the effectiveness of wildlife and bio-diversity conservation and management by doing advocacy and lobby for conservation (e.g., Laikipia Wildlife Forum, the Amboseli/Tsavo Association, Lerrogi/Kirisia Conservancy, etc.).

These groups are seeking assistance from local investors and indigenous NGOs in the development of ecotourism activities on their lands in order to maximize the benefits accruing from tourism revenue. Two examples of community projects (Kimana/ Tokondo sanctuary around Amboseli and Kurikuri Cultural Center in Laikipia) are discussed below.

Kimana Wildlife Sanctuary. Immediately adjacent to Amboseli National Park, the Kimana Group Ranch has long played host to wildlife moving in and out of the park. Indeed, with year-round water and scattered forest, Kimana hosts species, such as lions and giraffes, that have long since disappeared from the deforested park. Concerned over the conversion of wetlands adjacent to Amboseli to horticulture, KWS approached the community and began a community extension effort that included a participatory rural appraisal (PRA) and an area ecosystem workshop. The extension effort resulted in the Kimana Sanctuary, a community-managed wildlife sanctuary featuring a road circuit, guided nature hikes, a campsite, scenic overlooks, etc. that complement the attractions of Amboseli National Park and earn an income from the community in the form of gate fees and fees for supplementary services. The Sanctuary has had support from Kuoni, a tour operating company, and the Swedish Amboseli Association, a local NGO.

The Kurikuri Cultural Center. In Laikipia District, adjacent to the Mukogodo Forest, members of the Kurikuri Group Ranch of the Mukogodo Maasai have long lived a life of mixed pastoralism and hunting-gathering. Such a life style has been friendly to the environment. The Mukogodo Forest is one of the largest dry land forests remaining in Kenya. Its survival is a result of the good husbandry of the Mukogodo. Population growth, however, has brought more pressure to bear on resources. Concerned, KWS began an extension effort with the Kurikuri Group Ranch that climaxed with a participatory appraisal exercise that resulted in a Community Action Plan (CAP). The CAP identified areas of potential interest to tour operators. KWS facilitated contacts between the group ranch and several tour operators (e.g. Tropical Nature and Safaris), one of which signed a five year contract with the Kurikuri ranch for a camping concession. With minimal investment from KWS, which only played a facilitating role, the Kurikuri members have seen a major investment in ecotourism in their area - an investment that has already begun paying off in terms of receipts for visitors' overnight stays and employment of group ranch people.

Lessons Learned

Although the COBRA project is still a year from completion, several lessons are already discernable. While most of the lessons are appropriate for any community conservation project, some are unique to COBRA's setting within a parastatal.

First, experience with the COBRA project has shown that, since **coordination is so difficult among different partners,** the roles, rules, and procedures for the various partners in a community conservation should be clearly defined at the outset.

Second, in assisting a community-based conservation project, the **community's rights and legal status to the area of biodiversity** to be conserved, should be clarified and formalized.

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Third, after the initial stages of extension work with a community, the emphasis should shift from simple community extension to identifying partners, especially NGO/PVOs, which can work with the community on capacity building.

Fourth, a strong effort must be made to link the extension effort to the activities of other stakeholders in order to promote efficiency in the use of resources and **synergy among the various actors, such donors, NGOs, and government departments.**

Fifth, KWS, a hitherto enforcement parastatal has restructured and reorganized its operations and improved relationship with communities around parks and reserves. This goes to show that **effective partnership can remodel a law-and-order government agency to become more customer-friendly.**

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2. K-REP: BUILDING LOCAL CAPACITY

The creation of productive employment opportunities is the single most serious challenge facing Kenya today. The Kenyan labor force, currently numbering more than 11 million people, is growing rapidly and is expected to reach 14.6 million by the year 2000. Despite a recent downturn in the population growth rate, from 4% in 1984 to an estimated 2.7% in 1995, the labor force is currently absorbing entrants that were born when population growth was high. That growth will amount to 500,000 new job-seekers annually until the year 2000. Microenterprises (firms with less than ten employees) have demonstrated the potential to provide widespread employment in the medium-term.

Capacity building of local partners is not a new phenomenon in our microenterprise development program. The Kenya Mission has for many years placed significant emphasis in building the capacity of local institutions as a vehicle to achieving and sustaining development. The Kenya Rural Enterprise Program (K-REP) is an example of the Mission's achievement in this endeavor. K-REP is a local NGO that specializes in microenterprise finance. It was established in 1984 with funding from USAID to strengthen microenterprise credit programs and institutions and increase employment and income opportunities through loans, training, and technical assistance that facilitate microenterprise development.

The Mission has undertaken the following activities to build the capacity of K-REP over the past ten years: 1) staff training at all levels; 2) research and development of loan products and new ways of promoting small business growth; 3) development of management information and loan tracking systems; 4) design of monitoring and evaluation systems; 5) funds for on-lending to microenterprises; 6) purchase of equipment such as computers, office furniture, vehicles, etc.; and 7) in collaboration with other donors, establishment of a microenterprise information center.

K-REP has reached a point of spinning off its credit program into a commercial bank. The Mission is planning to provide technical assistance to make the transition a success. The following activities will be undertaken: 1) review and upgrade the management information system and install network connections in all area offices; 2) train senior management staff through attachments in other banks, management seminars, and exchange visits to other micro-finance banks; 3) train other staff -- namely, credit/savings officers, tellers, accountants, marketing officers and supervisors; 4) establish a capacity building unit and develop training and TA material on micro-finance; and 5) conduct studies, develop new micro-finance products, and design delivery and implementation process.

The transition of the K-REP credit program into a commercial bank is a replication of what has happened in other countries, especially in Latin America. K-REP will be able to mobilize savings to substantially increase credit coverage for microenterprises. This action is also expected to exert a significant influence on the development of financial markets in Kenya through developing sustainable financing systems, creating linkages, and increasing the depth and efficiency of financial markets.

Lessons Learned

Lessons learned by USAID/Kenya in capacity building of local institutions providing financial and non-financial services to microenterprises include the following:

First, good donor coordination is important in assisting the institution in formulating a strong program. It assists the organization to maintain a clear vision, plan for future development, and avoid getting pulled in too many directions. K-REP had supportive and competent donors (USAID, the Ford Foundation, and the British Overseas Development Agency) who convened regular donor coordination meetings that helped K-REP to develop a strong program.

Second, the strength of any institution is the quality of its staff and retaining them in the organization. K-REP staff at all levels are skilled, committed, and well trained for their jobs. They understand and share K-REP's mission, and are introspective and open about the challenges of their jobs and of the organization.

Third, leadership is very important in institutional development. K-REP has benefited from good leadership. The managing director is well respected by the staff, management, board, and donors. He has been with K-REP since it started, has grown up with the organization, and knows what is going on. He is forward-thinking, committed, pragmatic, technically proficient and very hard-working.

Fourth, the board of directors' role is to provide vision and address strategic and policy issues. Appropriately, it should not interfere in the day-to-day management or decision making. K-REP has a strong board that effectively plays its role of strategy formulation and holding the vision of the organization. Board members have a good mix of skills and background and have good relationship with K-REP management.

Fifth, a non-interventionist approach by a donor agency can yield good results. Provide resources and let the organization chart its own course. Relationship between the donor and the local organization should be collaborative in nature allowing the partner to consider practical alternatives for remaining viable and achieving sustainability. USAID's management role was described by evaluators as non-interventionist. USAID provided adequate resources and K-REP charted its course. Guidance was provided from USAID in a collaborative manner.

Sixth, the confidence building is a long-term process. Consistent support to K-REP by USAID over a long period of time attracted other donors to put their resources in K-REP's programs. As K-REP is spinning-off its credit program into a commercial bank, USAID's backing/support has provided the confidence required by private investors in this initiative.

Seventh, local capacity building is critical to achieving and sustaining development. As a result of K-REP's capacity as a strong, stable and independent Kenyan NGO, the organization is now able to raise funds from private sources and will not require any further donor funding.

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3. FPAK: BUILDING LOCAL CAPACITY FOR SERVICE DELIVERY

A precipitous decline in USAID/Kenya resources to the population and health sector occurred in FY 1996. The realization that the Mission could no longer devote over two thirds of the annual Pop/Health budget to family planning and HIV/AIDS service delivery caused the office to shift its investment strategy. Greater attention was placed on institutional capacity building and accelerated timetables for financial self-sustainability were instituted. Building the capacity of selected Kenyan NGO's, in particular, the Family Planning Association of Kenya (FPAK) became the priority over the expansion of service delivery.

USAID/Kenya worked in close collaboration with FPAK and engaged the services of the local Deloitte and Touche CPA firm to undertake a thorough analysis of FPAK management structure, organizational strengths, financial status and potential for generating income. This approach differed markedly from the traditional donor - grantee relationship. FPAK's top management and Board of Directors met frequently with USAID to discuss the shift from a donor-driven agenda focused on expanding access to quality family planning services to a relationship whereby USAID resources would facilitate the achievement by FPAK of a transition from being nearly 100% donor dependant to becoming 50% self reliant within a five to seven year period.

USAID/Kenya became much more of a partner with FPAK: together, they charted a course of action whereby FPAK would become less donor dependent, less donor driven and would in the future operate with a business approach to providing services. Other donors to FPAK were also facing cuts in their funding. USAID enlisted the support of these donors in formulating the shift in financial support to FPAK. In addition,

USAID increased the roles and responsibilities of an institutional contractor assigned to the Ministry of Health (MOH) and charged with assisting the MOH expand the government's health care financing and cost sharing program to include direct technical assistance to FPAK for putting in place the necessary financial systems, updating organizational structure and developing marketing plans.

Lessons Learned

First, building local capacity takes time and planning. We have learned that this type of shift in program emphasis does not come about easily. The amount of work is larger and more intensive than anticipated. Meetings and discussions were many and lengthy.

Second, resources are important. The use of the private sector for undertaking the institutional analysis was also more costly than we envisioned and required USAID to interpret what a family planning service provider does, why it is important and which elements of an existing program are crucial to maintain.

The final lesson is still emerging. Will FPAK survive the cuts in its funding as it shifts towards increased income generation? Will the client base of FPAK continue to grow and diversify? USAID/Kenya reasoned that the shift in support was a gamble, a gamble that had to be taken. The future viability of FPAK, and selected other Kenyan NGOs was weighed against increasing today's family planning HIV/AIDS services. The final answer is not yet known.

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4. SMALL BUSINESS POLICY-ENABLING ENVIRONMENT STRENGTHENED

Kenya's small business environment, as discussed in our proposal for selection as an LEM Mission, carries with it special challenges for the country. The small and micro-enterprise sector is the primary vehicle for creating jobs in a country with over 25% unemployment and forms the basis for a national strategy that addresses the country's growing poverty problem. A frontal assault on unemployment and poverty is not only important for propelling Kenya's economic growth to a level where it can begin the transformation to become a Newly Industrialized Country, but is also critical for avoiding conflict, confrontation and potentially explosive uprisings that have become all to common in sub-saharan Africa.

USAID and other donors have been working with specific credit, training, management and other interventions in the small and microenterprise sector for over a decade. Only recently however have the evolving donor-NGO-private sector partnerships become strong enough to have a significant policy-level role in the small and microenterprise sector. The newest and perhaps most critical partner--government--now views its

role in a more strategic manner within an enhanced enabling environment. As a result, donors are complementing each other by implementing key interventions in areas of their comparative advantage--the British ODA with the Government's Deregulation Unit to craft small business-friendly legislation, the World Bank at the macro-level, the European Union with establishing a public policy institute for analyzing and recommending policy interventions to government, the United Nations in a coordinating and gap-filling role, and USAID in providing a national forum where private sector and NGO voices can be most effectively heard.

As a first step, we have contracted with a "neutral" policy organization located in Kenya--the Africa office of multi-donor financed International Center for Economic Growth (ICEG)--to carry out a series of policy fora. The initiative will: 1) bring together an inter-ministerial group of top policy makers that takes ownership of small business policy reforms, 2) commission research on specific enabling-policy topics, 3) host semi-annual fora that brings together key stakeholders around specific topics for which the research has been undertaken, and 4) put forth recommendations for government's consideration. Much of the basis for the recommendations will spring from research which is being done by local institutions that focus on small enterprises.

The capacity of these entities is widely recognized and has been enhanced by more than a decade of donor assistance in the area. Although just initiated during the NPI time period, the synergy generated among various small enterprise policy initiatives and increased collaboration with donor, NGO, public and private sector partners is great and appears to be facilitating policy reform in the sector. Already, regulations at the local level, viewed earlier as an intractable morass of rent-seeking corruption, are being seen as a major area for change. In seminars held in major market cities, business regulations are viewed by the local officials and business owners alike as ripe for change to make it easier for small kiosks and businesses to operate.

Although just initiated during the NPI time period, the synergy generated among various small enterprise policy initiatives and increased collaboration with donor, NGO, public and private sector partners is great and appears to be facilitating policy reform in the sector.

Perhaps the most successful action in getting the policy component off to a good start was the comprehensive design that incorporated what has worked well in other countries into a more Kenya-specific context. This design process took the normal analysis (i.e., what has been done, what seemed to work, where were the gaps, what seemed to be the promising method for intervention, etc.) one step further. Donors and potential policy partners were all brought together for a one-day meeting to engage in a dialogue on USAID's ideas and brainstorm potential pitfalls, areas for greater concentration, etc. The final design greatly benefitted from this insight.

Lessons Learned

First, government is a critical partner. Although there has long been consensus by donors, NGOs and the private sector that critical reforms need to be addressed in this area, an unwitting, but absolutely vital partner--government--was critical for progress to be made.

Second, timing and a "critical mass" are important. Timing and collaboration among the donors, NGOs, private and public sectors has allowed a critical mass of resources to be targeted to the area. Earlier attempts by a few groups to affect policy change resulted in negligible results.

Third, experience in a particular area is essential for partners to establish credibility. The need for intervention and reform is based on decades of work in the small enterprise sector in Kenya. In fact, the term "informal sector" was coined by a United Nations study in Kenya in the 1970s. Projects and pioneering work in the this sector have been going on in Kenya since then. And it is not just the donors who have become experienced. It is the local NGOs and other microenterprise partners who have established themselves as knowledgeable players, not just with donors and government, but with each other.

Fourth, prior partnership experiences are excellent examples for how to go forward. USAID and other donors have worked with government and nongovernmental partners in the past in the area of enabling environment. In designing the new initiative, we looked at what not only worked well for USAID, but what seemed to be the most effective way of partnering by other donors in this sensitive area.

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V. LESSONS LEARNED

A. Key Lessons from Cases

The key lesson learned across these case studies has been that productive partnerships with indigenous NGOs can lead to participation, initiative and empowerment of local communities to take responsibility for their own development.

Through COBRA, community participation and empowerment have been added to addressing environmental degradation, and thus protecting Kenya's economically important national parks. This result was achieved through the innovative partnerships among the Kenyan Wildlife Service, farmers, entrepreneurs, and local residents to actively engage in protecting vital natural resources.

K-REP, a highly participatory, microenterprise lending scheme using the group lending model, has helped finance loans for members of about 1,000 groups; the groups accept democratic and civic values, including the principles of equality and access to credit by women.

Building the institutional and financial capacity of FPAK will help expand the access of local communities to family planning and HIV/AIDS services.

Through USAID contract with ICEG, a civil society dimension will be added to support small business activities in Kenya. A policy fora will be provided for small entrepreneurs to lobby for policy reforms which will help the activities of small businesses survive and expand.

B. Overall Mission Lessons

Overall, the most important lesson the Mission has learned is that where USAID/Kenya and the GOK partnership is threatened due to lack of transparency and accountability on the part of the latter, strong partnership with the NGO sector is an effective mechanism to advance USAID pro-gram priorities. We have also learned that where building partnerships is done with the knowledge of government in the form of consultation and dialogue, program implementation will usually get the support of government.

> A final lesson is that the NPI focus has helped sensitize Mission staff to the need to plan, design, implement, and evaluate activities together with our development partners. This has, in a way, helped demystify the belief that USAID systems are "too complex" because partners tend to become part of the systems.

Our experience has taught us one major lesson -- select a few NGO partners and develop their capacity and nurture partnerships over a long period of time.

VI. CONCLUSIONS

A. Value Added of NPI Approach

In terms of the value added by NPI, because USAID/Kenya has always had an NGO partnership approach, value added is actually limited to internal systems rather than the methodology of NPI as an entirely new way of delivering our program. Nevertheless, with the official adoption of NPI approach, USAID/Kenya will do more than just continue ongoing programs. We will be encouraging more innovative partnerships, and strengthening and developing more synergies among the NPI focus areas, as well as cross-cutting interventions.

In operational terms, a valued added of NPI approach would be the more readily accessible technical support from AID/W at no extra cost to the Mission. In a time of budgetary constraints, such support is crucial to our being able to carry out NPI activities.

> ... USAID/Kenya will do more than just continue ongoing programs. We will be encouraging more innovative partnerships, and strengthening and developing more synergies among the NPI focus areas, as well as cross-cutting interventions.

B. Next Steps for the Mission in FY 1998

USAID/Kenya's Country Strategic Plan will guide the Mission's program over the next five years. The intermediate results under each of the SOs address key NPI issues and incorporate local institutional capacity building throughout. To fulfill its obligations as an NPI/LEM, the Mission will devote additional effort to monitor and document both the results and the processes which lead to increased institutional capacity and developmental impact. A key new aspect of the strategic plan implementation will be the development of an information system that will facilitate both monitoring and learning from experiences under NPI.

The close correspondence between NPI and our new CSP means that almost all of the programs planned under the five-year strategy will be available for study and monitoring through the NPI/LEM process. The Mission would be developing indicators that can measure achievement of NPI objectives and how these link up with Mission and Agency Strategic Objectives. In this connection, it will be important to put in place an implementation and data collection system that will help NPI and Mission SOs to strengthen each other.

As the NPI-specific indicators are being developed, a Monitoring and Evaluation system will be set up that complements the M&E system for the implementation of the Mission's CSP. Our conviction is that NPI and the CSP conform closely enough that NPI data will only serve to reinforce the implementation of the Mission's Strategic Objectives. A regular reporting system, built into the results framework of the SOs, will include results on NPI. USAID/Kenya will continue to seek technical assistance from USAID/W, learn from other NPI/LEMs, and collaborate with its partners in Kenya and elsewhere to develop indicators for monitoring progress and measuring impact of NPI programming.

The D/G special objective will continue to support civic organizations in the nongovernmental sector by building their institutional capacity to provide an effective voice for political liberalization. There are opportunities under the Democracy and Government special objective to develop new partnerships through the myriad of new NGOs active in this sector. Through the PVO Co-Financing project there exists the opportunity for the Mission to deploy resources to build up the capacities of D/G related NGOs and to promote civil society activities at the grassroots community levels, as well as supporting networking among NGOs.

Another NPI objective that the Mission would like to strengthen is greater society-to-society linkages and south-south collaboration. Under our D/G project, we funded in August a project that sent two senior staff of IPAR, a local think tank, on a trip to three Asian countries (Sri Lanka, Indonesia, and Thailand) to learn how think tanks work in these countries. In Sri Lanka, they were hosted by Marga Institute; in Thailand by the Thai Development and Research Institute; and in Indonesia by CSIS, an independent think tank. The trip allowed the IPAR staff to exchange, compare, and share ideas about how various think tanks operate under

different models of democracy. The Mission plans to fund more such activities, aimed at promoting South-South linkages.

Under SO2, the Mission will support research on creating an enabling environment, addressing the many policies and regulations which make it difficult for small enterprises to register, license, locate near markets and grow. In this respect, USAID has contracted with a "neutral" policy organization -- International Center for Economic Growth -- to carry out a series of policy fora that will bring together key stakeholders around specific enabling policy topics and put forth recommendations for government's consideration.

Under SO3, USAID will increase support for the institutional capacity building and financial self-sufficiency of selected Kenyan NGOs involved in family planning and HIV/AIDS service delivery. In particular, the Family Planning Association of Kenya (FPAK) will be supported under this local institutional capacity building effort. USAID/Kenya will work collaboratively with FPAK to strengthen its organizational and management structure, financial status and resourcefulness. The ultimate goal of USAID/Kenya partnership with FPAK is to make the later less donor dependent and operate with a business approach to providing services.

C. Suggestions for the Agency as a Whole

USAID/Kenya's experience has shown that building partnerships with NGOs, small businesses and local governments takes time, and that it is worthy of our investments. Over the years, we have developed strong partnerships with local institutions based upon mutual respect and shared commitment to achieve mutually agreed upon objectives. These programs have expanded the participation, initiative and empowerment of the Kenyan population.

USAID/Kenya's experience has shown that building partnerships with NGOs, small businesses and local governments takes time, and that it is worthy of our investments... We cannot afford, in a country where government is not a good development partner, to lose the confidence of the nongovernmental sector.

However, if program resources continue to decline as we have witnessed in the past year, we stand the risk of losing the close collaboration and strong partner support that we have enjoyed over two decades and has allowed us to carry out NPI activities. Indeed, the very credibility of USAID/Kenya as a reliable development partner may be at stake. We cannot afford, in a country where government is not always a good development partner, to lose the confidence of the non-governmental sector.

In view of this, an NPI Innovation Fund should be established to leverage resources with our development partners and to finance special NPI-focused activities that are over and above existing strategic objective resources. If NPI is to

become a viable method of delivering sustainable development, it needs to be accompanied by a centrally allocated funds that could easily be drawn upon when needed.

D. How the Mission Envisions its Role as an NPI Mentor/Resource

The impact of USAID programs goes beyond Kenyan borders, serving as a model for the rest of the region. The above case studies clearly show the success of the NPI approach. But success creates its own burden and there is a need for USAID to make investments to create an "institutional memory" of NPI approaches to programming. It takes resources to document the strategies used by our three SOs regarding partnerships and to see the extent to which these reinforce one another. Such a documentation can be a resource to other Missions in the Eastern and Southern Africa region in terms of lessons learned and case studies.

We have begun doing this by writing up success stories for some of our activities, an effort which will be ongoing. We also documented the spread effects of USAID/Kenya projects in the GHAI region in an annex which we included in our CSP.

As an Agency, we need to look at what it takes to disseminate examples of excellence. We need to carefully consider a strategy for this. One example which the NPI team might want to look at would be the Bank Rayat Indonesia (BRI) rural lending program. The BRI has been so successful that it has attracted a great number of visitors seeking to learn from the experience. To ask the BRI to bear all of the costs in taking on the role of training the rest of the world seems a little unfair. Using some AID Global Economic Growth money, a visitors center has been established at BRI. This has ensured that visitors will be able to learn and that the institutional memory at BRI of their approach will not be lost. We need to consider this approach in other sectors and in other countries.

In Kenya, our highly successful population program has been a training grounds for many Africans. The same holds true for our agriculture policy and research efforts. We need to develop an Agency strategy which will most effectively disseminate the lessons learned from various successful programs around the world. USAID/Kenya is more than eager to be a resource to the entire region.

NPI FINAL REPORT -- *USAID/Philippines*

I. INTRODUCTION

Last February, USAID Manila volunteered to become a New Partnerships Initiative Leading Edge Mission (NPI/LEM). At the time we wrote our proposal, we viewed our participation as providing a resource to the rest of the Agency in terms of our rich experience--stretching back to the 1980s--working with NGOs, local government and small business. For us, NPI was an opportunity to continue and reflect upon work well underway. Beginning 1993, funding to or through NGOs reached 50 percent of total Mission commitments. That same year, the Mission began to dramatically simplify grant management procedures and involve NGO partners in designing what eventually became the Mission's program of coalitions for the disadvantaged.

Thus, at the time the NPI Learning Phase began, the Philippines already had important and highly relevant lessons to share. We continue to view NPI not only as a continuing process of sharing the Philippines' and our own experience, but also as an opportunity to address the unfinished work of building in sustainability into our programs and strengthening international linkages. Given the natural evolution of our work with the three NPI sectors, it is difficult to report on the effectiveness of NPI while limiting ourselves to the Learning Phase for the purposes of this Report. However, to the extent possible, we will draw attention to prior accomplishments and those that have occurred specifically during the Learning Phase (March-October 1996).

We continue to view NPI not only as a continuing process of sharing the Philippines' and our own experience, but also as an opportunity to address the unfinished work of building in sustainability into our programs and strengthening international linkages.

The simplification of grant management procedures took place prior to the Agency's reengineering exercise. It began with several internal and external consultations with grantees, USAID staff, and RIG/A, leading to agreement on several reforms, including:

- Increased flexibility and simplification in grant management;
- A single, user friendly Financial Management Guide replaced multiple, perplexing grant management guides;
- Quarterly financial and progress reports were consolidated into two semestral reports;
- A reorienting of grants toward managing for results;

- For some Strategic Objective (SO) teams, a two-step, competitive selection process was introduced to replace ad hoc proposal submissions;

These procedures were well established, and hence no major changes in internal Mission operations have occurred during the Learning Phase. However, we have deepened and broadened partnerships by:

- Involving partners, including NGO grantees, in SO refinement, selection of performance indicators, and semestral reviews;

- Focusing the PVO Annual Meetings more closely on the work of coalition-building;

- Initiating the first Conference of the Philippine Democracy Agenda, making USAID accessible to groups and individuals which had little previous contact with us;

- Local Government Planning Workshops were held in several provinces and major cities, bringing together governors, mayors, council members, NGOs, and civic leaders to set priorities for technical assistance under the Governance and Local Development (GOLD) activity. The Planning Workshops define current reality, establish practical visions, then define strategic directions and action plans for the area.

- The Technology of Participation (TOP) has taken root among leading local government units. Developed by the Institute of Cultural Affairs in Phoenix, it has been embraced with enthusiasm, and it is now being used well beyond local government activities, including universities and NGOs.

The TOP provides method and substance--through specific techniques called "discussion method," "workshop method," and "action planning method"--for intellectual collaboration among groups that typically include politicians, local government employees, NGOs, people's organizations, and business people, and number between 30 and 120. It enables participants to share their basic assumptions, define common ground, identify feasible approaches and move toward action.

> The Technology of Participation (TOP)... provides method and substance...for intellectual collaboration among groups that typically include politicians, local government employees, NGOs, people's organizations, and business people...

Discussion after the fact with participants in TOP sessions shows that they almost invariably "buy in" to the process and the legitimacy of the problems and solutions defined. Local committees work along on agendas defined during TOP sessions, often without any "project" assistance.

Over the next several months, USAID/Manila and its partners (Associates in Rural Development, or ARD, and four local NGOs) will document examples of use of these techniques as they spread, and will attempt to evaluate whether they are really making a difference for local democracy.

- ARD/GOLD has adapted the Civic Index, a tool originally developed by the National Civic League of the U.S. The Index is a tool for measuring civic life in terms of citizen participation and the relationships between government and citizens. The adaptation is known as the "Pinoy Civic Index" and is now being piloted in the Province of Capiz as part of a citizen's assessment of pilot municipalities, prior to receiving technical assistance in organizational development.

- As our Mission proposed itself as a Leading Edge Mission which could also teach, we have engaged in a fruitful exchange of staff and ideas with Sri Lanka. John Grayzel visited Sri Lanka in May of this year to assist in the design of the Citizens Participation Program (CIPART), while Roslyn Waters of Sri Lanka visited the Philippines in November on an observation trip (see reports in Volume 2, Section B, Annex 11). Having assumed regional responsibilities this year, the Mission is providing direct support to democracy programs in Mongolia and humanitarian NGO programs in Indochina. The transfer of several staff to Cambodia facilitates considerable informal coaching on NGO matters.

II. CIVIL SOCIETY IN THE PHILIPPINES

One of the strongest aspects of Philippine society is its rich and diverse civil society. Over the past three decades, the number of NGOs, people's organizations, corporate foundations, associations, and networks has mushroomed into the tens of thousands, while their influence in public policy slowly but steadily expands. Public policy encourages NGO development through simple registration procedures, the absence of project approval procedures, and legal recognition of the importance of NGOs in public deliberations. Therefore, over the past three years, our civil society program has been geared toward: first, supporting leading NGOs (Intermediate Institutions) to strengthen the NGO community; second, simplifying our own procedures; third, making ourselves and our deliberations accessible to the NGOs; and fourth, supporting coalitions of civil society to enable disadvantaged groups to participate in public policymaking.

During the Learning Phase period, and probably for the next few years, the challenges remain the same. The first challenge is to move the NGO community beyond its natural affinity for networking to create purposeful coalitions to effect policy change. One measure of progress in this direction is the conduct of the Annual Partners Conference (formerly the PVO Annual General Meeting). Prior to the Learning Phase, the Conference dealt with a wide range of PVO-NGO issues. The 1995 Conference began to look at the fundamentals of coalition building, with greater participation by the people's organizations and an increased use of Tagalog in discussions. This year, the Conference began to focus upon effective participation in local and national policy making by the urban poor, fisherfolk and indigen-

ous people's coalitions. [Note: an extensive summary of the presentations and discussions of this year's Partners Conference will be shared with the Learning Team]

As the focus narrows in on specific policies and laws, three challenges have arisen. These are likely to be faced by other Missions which attempt similar activities. First, USAID has had to clarify to its partners and remind its own staff that our objectives are different from those of the coalitions. For example, while the fisherfolk coalition may seek the passage of a Fisheries Code (to reserve a portion of coastal waters for small fishermen), USAID's role is to enable the coalition to monitor and lobby as the Code is deliberated in Congress. As a foreign donor, USAID cannot and should not interfere with the internal policy deliberations of a foreign nation. However, it can support the ability of a coalition to participate in those deliberations on its own behalf.

The second and related challenge involves handling apparent conflicts between coalition agendas and Mission/USG priorities. For example, the Indigenous People's Coalition's desire to limit mining appears to conflict with a broader economic agenda of promoting economic growth and U.S. investment. We manage these conflicts by reminding ourselves of the objective of promoting participation. Assisting indigenous people is not a matter of opposition to mining, per se, but rather promoting participation in the drafting of the implementing rules and regulations governing mining. If this is done, "win-win" solutions can be found which facilitate--rather than hinder--economic growth.

The third challenge is performance measurement. For USAID, the measure of success of the coalitions is participation in and of itself, though the coalition may measure longer-term success in terms of policy outcomes. Furthermore, with the assistance of consultants from the Global Bureau's Center of Democracy and Governance, the Mission has accepted qualitative measures of participation, rather than quantitative measures of social or economic impact. The Performance Monitoring Plan of the Governance and Participation Strategic Objective, which was shared with the Learning Team, combines qualitative case studies, scaling and quantitative measures.

One reason that qualitative measurement becomes important is that the most crucial stage of policy making is the implementation process. Success in participation requires more than a simple counting of bills or rules promulgated--it requires long-term monitoring, pressuring, and negotiating at several levels. Successive case studies capture this, and generate lessons learned for similar situations.

In addition to the three coalitions, USAID made four new grants this year. The U.S. PVO Volunteers in Overseas Cooperative Assistance (VOCA) will assist a coco farmer coalition, the Asian American Free Labor Institute will assist informal home workers, while two Philippine NGOs will assist a microentrepreneurs coalition and a network of Muslim NGOs concerned with education issues.

In spite of the considerable progress made up to now, USAID still has an unfinished agenda with respect to civil society and the NGO sector in general. Perhaps the biggest challenge for all Philippine NGOs is enhancing their financial sustainability. Compared to other countries, Philippine NGOs are less donor-dependent, having developed a range of funding sources, such as corporate support, contracts, fees and other income. Nevertheless, many NGOs are donor dependent (particularly those providing social services).

One potential source of expertise on financial sustainability is the new Asia Pacific Philanthropy Consortium. Although not supported by USAID, the Consortium includes two of USAID's key partners: The Asia Foundation and Philippine Business for Social Progress. Greater attention to sustainability in NGO micro-enterprise projects will be promoted through the microentrepreneurs coalition, which will promote models of full cost recovery. Our NGO family planning program is also promoting cost recovery in the delivery of services.

The second unfinished agenda is to strengthen international connectivities among Philippine coalitions and interest groups and international coalitions which could provide moral, technical, and political support. Taking advantage of USIS' International Visitor's Program, we have sponsored coalition leaders on trips to the U.S. to meet with NGO leaders. On their own initiative, the indigenous people's and fisherfolk coalitions have established ties with organizations in Indonesia. The leading Philippine microfinance NGO (Tulay sa Punglad Inc. or TSPI) participates in the Sustainable Microfinance Network together with Accion International, Banco Sol, and other internationally renown NGOs in this sector.

The third unfinished agenda, which cuts across several sectors, is to establish mutually supportive relationships among the three NPI sectors--NGOs, small business, and local government units. The TOP and Pinoy Index of the GOLD Project are providing tools for genuine collaboration between the NGO and the local government sector. In spite of the long tradition of corporate philanthropy, linking NGOs to the small business sector has proven more challenging. However, our forestry and the Growth with Equity in Mindanao (GEM) programs are working on these linkages in Bohol and Mindanao, respectively.

[one goal is to establish]...mutually supportive relationships among the three NPI sectors--NGOs, small business, and local government units. The TOP and Pinoy Index of the GOLD Project are providing tools for genuine collaboration between the NGO and the local government sector. In spite of the long tradition of corporate philanthropy, linking NGOs to the small business sector has proven more challenging. However, our forestry and the Growth with Equity in Mindanao programs are working on these linkages in Bohol and Mindanao, respectively.

III. CASE STUDY

WOMEN IN GRASSROOTS DEMOCRACY

Capiz Women, Inc. (CWI) is a women's movement of community leaders organized in 1990 in the province of Capiz, Panay Island, Philippines. Today, CWI is a movement of 11,000 women from all walks of life -- from teachers, fish vendors to laundry women who are now in the mainstream of development as advocates of grassroots democracy.

Organized, enabled and empowered by the Gerry Roxas Foundation (GRF) through USAID's democracy program, the CWI is a strong partner of local government units and nongovernmental organizations in Capiz. CWI has mobilized multi-sectoral alliances and coalitions in developing and sustaining advocacy and action programs in environment, health and nutrition, microenterprise credit and local governance.

As members of local development councils, they are the community's voice, "eyes and ears" as "watchdogs" of local government construction projects. Part of their local advocacy is enjoining the men and women in their families and communities to pay their taxes to the local government. They are now assisting an indigenous community in Capiz to reclaim their ancestral rights over their domain. Taking off from GRF's innovative "Moneyshop" micro-lending program, CWI has begun the transition from being borrowers to owners and managers of the Moneyshop, and has been serving the credit needs of their women entrepreneurs. They are now linked with the business sector for enterprise support and marketing assistance. A number of the leaders have also ran for local elections as village chiefs and won.

After only six years in development work, the Capiz women have proven that participation of women as partners and stakeholders is a key factor to success in sustaining democracy and local development.

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IV. LESSONS LEARNED

Out of the experience of the past three years, including the Learning Phase, we have two lessons to share with the NPI Learning Team and the Agency:

Lesson 1: USAID can most quickly improve the enabling environment for NGOs, local government, and small business by making itself accessible, and by streamlining its grant and contract management.

If anything should come out of the Agency's NPI activity, it should first take the form of internal corrections in the way in which the Agency does business with respect to NGOs. Creating an enabling environment undoubtedly requires that we influence the behavior of host governments and donors in favor of liberalizing registration and project-approval procedures. But while we may influence other parties, we have an important degree of control over our own actions. What the Democracy team learned out of its reinvention exercise of 1994-95 was that a Mission can strip away layers of self-imposed policies (often growing out of over-reactions to specific problem cases or audits), limit itself to the essential Agency procedures of sound grant management, and take advantage of authorities available to us to focus more on results and less on approvals.

Once freed from excessive internal processing (e.g. approvals, multiple internal committees, quarterly reports, etc.), scarce staff time can be freed up to spend time with people on the ground. We have also seen across the portfolio that contracts with ample authorities for the contractor to act in a catalytic fashion can lead to real opportunities for partnership among NGOs, LGUs, and business. However, *partnership is a labor intensive business.* There is no substitute for a well-trained staff -- particularly in countries where interpersonal relationships are critical to success. The lack of training opportunities for staff, including substantive training, democracy training (given the lack of experienced democracy officers in the Agency), management training (following the principles of partnership and reengineering), and language training, make USAID staff less capable of partnering with the groups it wishes to assist.

> *Lesson 2: Sustainable development is demand-driven. If we can identify partners and customers who want what we offer and are willing to assume responsibilities, we will get results. Demand-driven programs resolve the apparent conflict between two Agency principles: management for results and partnership.*

The greatest possibilities for success come when we can identify groups whose objectives are consistent with our own, such as coalitions, LGUs and LGU Leagues, and small businesses. Most of these have clear, short- to medium-term goals. This creates the possibility of a relationship based upon performance, rather than an historic claim on resources. Our GOLD Project, for example, follows a principle of assisted self-reliance in which the LGU and local NGOs set their priorities and receive technical assistance and training. Our GEM program links small business to markets and finance, while in family planning and health, the LGU Performance Project ties disbursements to actual performance indicators. In the case of the coalitions for the disadvantaged, the coalitions are defined by objectives and determine their own measures of performance. Once USAID identifies the right partners, its role becomes one of an intermediary and a catalyst, linking good ideas, people, and resources.

At least one outside observer has noted a disturbing trend in USAID toward micromanagement as the Agency emphasizes results.[1] This is partly due to a confusion over roles and responsibilities of teams and contractors as to who is ultimately responsible and accountable for achieving results. But another explanation may be that in some cases, by looking to central government agencies to solve national problems, we lack partners and clients with sufficient initiative and commitment to the results we seek. Through its emphasis upon partnership with NGOs, local governments and small business--groups which often have clear, achievable goals--NPI can also support the principle of managing for results.

> Once USAID identifies the right partners, its role becomes one of an intermediary and a catalyst, linking good ideas, people and resources.

We should be clear about what partnership (the "P" in NPI) is and is not. It is not about "being nice" to NGOs and others out of fear or abdication of responsibility. The record shows that Manila has drastically reduced its number of NGO grantees, has aggressively restructured its family planning and maternal child health programs to make them more results-oriented, and is closing its PL 480 Program entirely. In the GOLD Project, we have limited ourselves to only ten LGU sites, in contrast to previous local government projects. These changes have been difficult for some former partners to accept, and for our staff to carry out.

Partnership involves agreement between the parties and a shared expectation of roles and results--and hence, selectivity. In many cases, former partners simply decided that they were not interested in the current direction of our programs, and are continuing without USAID assistance. In other cases, we have turned away prospective partners because of different expectations. But where we now have partnerships, they are usually stronger and more productive. Genuine partnership requires hard decisions to achieve results.

> Partnership involves agreement between the parties and a shared expectation of roles and results--and hence, selectivity...Genuine partnership requires hard decisions to achieve results.

V. NEXT STEPS

1. We are discussing with the Learning Team the possibility of TDY assistance (in January) to help document the evolution of PVO Co-financing programs since the 1980s. Related topics which could be examined include alternative models of financing, NGO-corporate connections, NGO-LGU relationships, the effect of changes in GOP policy toward NGOs, the role of influential family ties on

[1] See Marina Fanning, "A Contractor's View: Performance-Based Contracting" in On Track, Vol. 2, No. 5, July-August 1996

NGO development, the role of NGO training centers, and the impact of reinvention/ reengineering on NGOs.

2. In early 1997, the Democracy Team will conduct a third round of competition for grants to disadvantaged coalitions. Following consultations with potential partners, the Mission will decide whether or not to pre-designate the disadvantaged sectors, or maintain the competition open to all sectors.

3. Over the next 11 months the University of the Philippines -- with USAID support -- will complete the third round of Conferences, leading to the formalization of the Philippine Democracy Agenda.

4. While the Mission's portfolio is basically fixed for the next few years, a number of activities in the design or pre-design stage may hold opportunities for increasing small business-local government-NGO collaboration. These would include Microenterprise Access to Banking Services (which intends to expand microenterprise lending in Mindanao through the rural banking sector), a broadened GEM program in Mindanao, and a revised industrial environmental program.

VI. RECOMMENDATIONS

1. Based upon our lessons learned, we believe that institutionalizing NPI will require a revitalization of training for USAID staff. This includes substantive training (especially in the relatively new democracy sector), management training which focuses upon cross-cultural partnerships, and language training. Over the past three years, opportunities for training and networking have nearly disappeared. Skills are steadily deteriorating, and thus the foundations for people to people partnership are eroding apace. At the same time, renewed attention is needed to the core practices of Reengineering, such as customer assessments, simplification, expanded teamwork. There are many good ideas both in and outside USAID which need to be disseminated and institutionalized. The best practices need to become part of the management training curricula, and form part of the promotion precepts. Teams that champion best partnership practices should be acknowledged and receive cash awards.

Based upon our lessons learned, we believe that institutionalizing NPI will require a revitalization of training for USAID staff. This includes substantive training (especially in the relatively new democracy sector), management training which focuses upon cross-cultural partnerships, and language training.

2. Regional conferences and networking are needed, not only so that USAID can take advantage of its own human resources, but help its staff network with others both inside and outside the Agency, expanding horizons and obtaining fresh ideas on partnership.

3. If the Agency wants to institutionalize NPI beginning in 1998, it must be willing to invest a small but significant amount of money into it. Perhaps a fund for innovation and experimentation similar to the PRIME fund for microenterprise could be created, along with funds for cross visits, regional conferences, training, and information exchange.

4. Currently, information exchange among Missions is ad hoc, often through personal contacts via electronic mail. While the Learning Team is to be commended for introducing NPI-LINK, its use as a recorder of meetings in Washington has probably inhibited it from becoming a forum for information exchange and debate. What are needed are fora dominated by field-level players with practical problems, diverse perspectives, and a good grasp of the best practices. An NPI website (on the Agency's external and internal websites) could also be used to post best practices and links to other resources.

For USAID/Manila and its partners, NPI is a formal expression of what comes naturally to us by now. Although staff reductions will require us to be more parsimonious and efficient, we will continue the kind of program and partnership style that is consistent with NPI and which works. We stand by ready to support other Missions as the NPI is institutionalized.

VII. <u>ANNEXES</u> - A list of additional materials available from USAID/Manila can be found in Volume 2, Section B, Annex 11.

NPI FINAL REPORT -- *USAID/Sri Lanka*

I. INTRODUCTION

Because the NPI approach is strikingly similar and complementary to USAID's Program Strategy for Sri Lanka, USAID/Sri Lanka sought to be a Leading Edge Mission (LEM) under the New Partnerships Initiative (NPI). It is consistent with the Mission's program goal of achieving a "Green" Democratic Sri Lanka with broad-based sustainable development. USAID/Sri Lanka works both at the local level to build sustainable institutional capacities and at the national level to ensure a supportive enabling environment. During the Learning Phase, NPI was (and will continue to be) used as an integrated, cross-cutting approach to enhance the Mission's achievement of its three strategic objectives (SOs): (1) economic growth - increased private sector employment and income; (2) environment - improved environmental practices to support sustainable development; and (3) democracy - greater empowerment of people to participate in democracy.

The NPI approach is especially relevant to Sri Lanka's development situation, which accounts in large part for the congruence of USAID/Sri Lanka program's with NPI. The functioning of civil society in a meaningful way will be a key factor in resolving some of the most important current sources of ethnic conflict in the country. NPI approaches can serve to enhance the political appeal of devolution, given that NPI not only supports the implementation of devolution, but is a powerful development tool in and of itself. Capable local institutions, such as empowered NGOs, a vibrant small business sector, and effective local government working in partnership with citizen groups, are central requirements for maintaining political and social stability in Sri Lanka, and for building on its impressive but fragile developmental accomplishments.

Specifically, the Mission's motivation for joining the Learning Phase as a LEM was four-fold:

- The Mission recognized that the NPI paradigm would provide an effective tool for discovering and encouraging expanded synergy and integration between and among the Mission's three strategic objective programs;

- The Mission felt that its experience with NPI techniques would be of use to other Missions which are not as far along in employing the partnership approach to development assistance. Given that NPI is a coherent and logically consistent way to "capture" the essence of the USAID/Sri Lanka program, a collateral benefit of serving as a LEM would be enhanced visibility within the Agency for the Mission's program and its highly developed best practices;

- The Mission wished to avail itself of the opportunity, however slight, to augment its program resources by virtue of participating early on in the NPI Learning Phase. At a minimum it is hoped that the NPI process will result in a more targeted and focused use of local currency resources;

- The Mission hoped to incorporate an explicit NPI approach into a new environmental SO program, the basic design process for which was underway during the Learning Phase.

II. COUNTRY CONTEXT: FOSTERING PARTNERSHIPS IN SRI LANKA

Sri Lanka is one of South Asia's oldest and more stable democracies. The country has made significant progress in evolving from a socialist, centralist economy to one that is a largely open and free market economy. It has relatively good human and natural resources with comparatively impressive social indicators with growth averaging five percent in the 1990s. Despite economic progress, poverty persists and per capita income is only $650 per annum. Income distribution disfavor the poor and poverty is concentrated in rural areas where 80 percent of the population resides.

The GSL has recognized that the majority of new employment and income opportunities will be created by private enterprises. A privatization program was initiated in mid-1989 in order to restructure public enterprises, make them more efficient and reduce the burden on the government budget. Privatization has also enabled the private sector to become more market oriented, and encouraged them to inject necessary investment to upgrade operations and improve profitability. Access to technology, along with professional management, is enabling many of the companies to become more internationally competitive. While the GSL has traditionally played a major role in providing infrastructure facilities such as transport, power, telecommunications, solid waste management, water supply and sanitation, it has now embraced a strategy for greater private sector involvement in the development of infrastructure. Financial markets--though still developing--are mobilizing more funds for productive investment. Notwithstanding the already commendable progress, the ongoing civil war, inconsistent GSL economic policies, high cost of finance, and access to markets and new technologies remain obstacles to private sector development.

There is widespread belief in the rule of law and support for the legal structures that exist to uphold the rule of law. The formal judicial structure based on English and Dutch legal systems, deals with a wide range of civil, criminal and commercial cases. A separate system of labor tribunals hear the labor and industrial disputes, while an informal structure of mediation boards comprising of volunteers trained in dispute resolution exists for people who do not have the need, time or financial resources to use the court system. On the administrative side the government is in the process of implementing its established laws and policies to facilitate decentralization and devolution of authority to regional and local level government institutions.

A number of U.S. PVOs are active in Sri Lanka, and--as detailed in subsequent sections of this report--USAID is working cooperatively with a number of them. There are currently over 50,000 NGOs and CBOs in Sri Lanka. These NGOs' capabilities and activities vary from village level development to policy advocacy. Some NGOs provide relief and welfare services, as well as humanitarian assistance. Many cross ethnic and religious barriers, and give voice to their constituents in such disparate areas as politics, labor, women, environment, and human rights. However, most NGOs are only beginning to make the transition from a welfare to a participatory development orientation which looks beyond the individual community and seek changes in specific policies and institutions. There are also a few national umbrella organizations that link many of these local NGOs. There is freedom of speech and association, as well as minimal restrictions on the formation and actions of NGOs operating outside the direct conflict areas.

At the turn of this decade the GSL set an ambitious target to reach the status of a newly industrialized country (NIC) by the year 2001. While the pace of growth in Sri Lanka has been less rapid than that of other NICs, the GSL's development strategy focuses on sustainable economic growth with an emphasis on broad-based human resource development. USAID/Sri Lanka's Strategic Framework for 1992-96, as well as its subsequent Country Program Strategy for 1996-2000, were designed to support the priorities emerging from this strategy and ensure growing opportunities for individuals, enabling all of Sri Lanka's citizens to contribute to the process of social and economic development.

USAID activities have subsequently focused on partnerships with the private sector, and integrating the informal sector into the mainstream activities, as well as continuing support to the public sector. USAID has also provided direct support to farmers and investors in agriculture and agri-business sectors in the Mahaweli area by promoting the integration of farm and marketing systems, and by providing funds and assistance needed to launch new enterprises in this sector. Assistance has also contributed in articulating policy changes and restructuring government bureaucracies.

The ethnic war has left many homeless and unemployed. Many local and international NGOs--together with the GSL--have been active in providing limited humanitarian assistance to the civilians in the conflict areas. However, much remains to be done, and an end to the conflict does not appear

imminent. There are special issues and important opportunities in working with people in these conflict areas.

▸ Fostering Partnership in the Context of Ethnic Strife ◂

Sri Lanka's 14-year, ethnic-based internal conflict persists in the Northern and Eastern provinces. It has cost the lives of over 50,000 Sri Lankans, and hundreds of thousands of families have been displaced or otherwise adversely affected. The conflict is primarily confined to a specific geographic area, with sporadic terrorist attacks carried out in the capital city (Colombo) and other parts of the country. Around two million people live in the conflict areas in the northern and eastern parts of the country, and an estimated 700,000 live in camps for internally displaced persons. Most of the population outside of the conflict zone, numbering 16 million people, lead normal civilian lives.

This unique situation places special challenges and constraints on fostering partnerships under NPI. The mission has generally overcome these difficulties by designing programs with differing levels of partnerships for three broad groups of people:

- Those living in the conflict areas who are economically and/or politically not able to leave, principally farmers;
- Internally displaced persons, especially children, many of whom have been living in centers for up to ten years; and
- The 16 million civilians living in the rest of the country under fairly normal circumstances.

The government devolved extensive powers to the provinces under a special Provincial Councils Act in 1987. However, many citizens and officers at the local level are unaware of their powers, rights and responsibilities. Further devolution of power has been proposed through a comprehensive plan for a change in the constitution, shifting the country from a parliamentary democracy to a federal democracy. Unfortunately, this issue has become completely politicized, thus undermining the potential developmental benefits.

An additional constraint stems from the historical tendency of central government and NGOs to form somewhat uneasy partnerships due to perceptions by national religious organizations that international NGOs especially were seeking to "convert" citizens, and by NGOs that feared too much control over their daily operations. During 1995 this tension escalated with the intensity of the civil conflict in the north and east of the country. The current mistrust concerns the provision of humanitarian assistance by (primarily international) NGOs to victims of the conflict. Through a number of channels, the UN is coordinating meetings and lobbying on behalf of international and local NGOs in order to reach a consensus for operating in the conflict areas, as well as "sensitize" NGOs regarding the concerns of the GSL.

USAID has funded U.S. PVO relief operations which, in turn, have found partnerships with local NGOs, multilateral organizations and the GSL to reduce suffering and to help victims maintain some normalcy. USAID is also now conducting training programs for appointed and elected members of local government agencies and communities to sensitize them to their rights and responsibilities under the current act. The emphasis is on good local governance with the participation of NGOs, communities, and the private sector. In addition, the mission is conducting pilot activities in four sites bringing together the Democracy and Environment projects, local government agencies, NGOs, and the communities around issues identified as important by the communities themselves. This type of activity will be continued on a larger scale through a recently awarded grant to PACT, Inc.

The indirect purpose of this and related assistance is to present devolution as a development issue, rather than primarily a political issue. The challenge is to demonstrate, through example, the

developmental benefits of devolved power. In other words, ordinary citizens should be able to take a rational position not only on the political aspects of devolution, but also on the developmental benefits they have personally experienced.

▸ Building Local Capacity ◂

The Mission supports NGO empowerment by improving the technical and management capacities of NGOs to participate in sustainable development activities.

Under the NAREP project community-based resource management (managed by The Asia Foundation or TAF), coastal resources management (managed by the University of Rhode Island) and shared control of natural resources activities, local communities are being organized to manage natural resources and mitigate negative environmental impacts in rural and urban areas through community actions. NAREP has also helped develop institutional and professional capacities of ten environmental NGOs. These NGOs are now involved in policy advocacy and watchdog functions such as environmental planning, education, legal advise, journalism and organizing community groups for environmental programs.

The CIPART Project, through TAF, has strengthened alternative dispute resolution systems by supporting mediation boards which provide the community an answer to the expensive and slow formal justice system. TAF also supports Sarvodaya, a local NGO to play both a public information and advocacy role by conducting legal aid clinics for local government officials, as well as for the public.

Through four sub-grant activities, TAF is providing support to further professionalize the judiciary and strengthen rule of law. The assisted organizations are: the Bar Association of Sri Lanka (Continuing Legal Education Program); Attorney General's Department (skills development and support to a unit dealing with citizen complaints); University Colombo Faculty of Law (Clinical Legal Education Program); and an NGO - the Lalith Athulathmudali Trust for Legal Education (continuing legal education for young lawyers).

Sarvodaya and Agromart are two NGOs which the Mission targeted for strengthening early in the decade. The extent of the strength of these institutions is measured by the following criteria: democratic structure, membership, financial sustainability and transparency. The PVO Co-Financing project has also mobilized Agromart to form women's societies to empower women in rural areas with better access to resources and information. This has enabled women to gain the necessary skills and means to improve their lives and gain confidence to start their own small businesses, compete in the local market, increase family income, and improve opportunities for the entire community.

The Mission has two Special Objectives which reinforce its democracy strategic objective by helping to reduce suffering of disadvantaged groups, as well as reduce the impact of Sri Lanka's ethnic conflict. Grants to NGOs have enhanced their capacities to deal with the HIV/AIDS threat in Sri Lanka, and to enable children displaced by the ethnic conflict and others who have lost limbs in the conflict, to return to a meaningful place in their communities.

Through a contract with LAMSCO, a local management services organization, the Mission has built up local capacity and awareness of management principles and accounting practices for NGOs. USAID has used the service organization to train and introduce "best practices" to NGOs for program and financial accounting.

The Technology Initiative for the Private Sector (TIPS) and Agro-Enterprises (AgEnt) activities support regional chambers of commerce, including Women's Chambers of Commerce, to facilitate small and medium manufacturers to expand business opportunities and encourage management improvement as well as dialog between business and local communities. TIPS also draws on U.S.

business organizations such as IESC (a U.S. PVO) to provide training/technical assistance and technology transfer to Sri Lankan business organizations.

▸ Creating an Enabling Environment ◂

The Mission has instituted a policy agenda to provide analysis and leverage to resolve policy constraints. The Mahaweli Enterprise Development Project (MED), the Microenterprise Support Activity (MESA) and Policy Reform Support Activity under the Mission's umbrella Sustainable Economic Growth Program (SEGP) are establishing a competitive banking structure and specialized intermediary financial institutions for small businesses and NGOs.

Under the Promotion of Private Infrastructure project (PPI) USAID contributed to the GSL's landmark decision to form public-private partnerships in improving the country's infrastructure. The project strengthened the institutional capacities of the Bureau of Infrastructure Investment and the line agencies and helped create an institutional structure to establish regulations and procedures for soliciting, receiving and negotiating private sector infrastructure projects.

Activities under the Policy Support Unit of the PSPS project supported over 20 local business chambers and associations. This encouraged and assisted dialogue between the private sector and the government, improved their capability to advocate their interests, and opened up the government's decisionmaking process on key issues affecting Sri Lanka's private sector. As a result there is now a more transparent and productive partnership between Sri Lanka's private and public sectors.

Although access to financial services is vital to the success of microentreprises, those in the Mahaweli region have little or no access to such services. A venture capital company formed in 1989 to help meet the needs of Mahaweli Business Center clients for credit has not been able to meet the growing demand for a fuller range of services, particularly for working capital. The gap between what existing financial institutions will provide and the needs of microenterprises continues to grow.

MESA is addressing this problem by enlisting a wide range of participants who are interested in helping solve this problem. Preliminary discussions with private commercial banks, government organizations and entrepreneurs reveal the need to establish a framework where each of these entities is represented and allowed to bring its unique strengths to bear on the delivery of financial services. In MESA's catalytic role, a range of approaches will be used to establish a sound financial framework and improve the environment for business.

▸ Intersectoral Linkages - NGOs, Small Business, Local Government ◂

USAID is introducing shared control of natural resources through new private-public partnerships which offer the most promising opportunity to develop effective solutions. Under NAREP, provincial councils and local governments work together with community organizations and user groups to increase local management of natural resources [See Case Study 1]. Through these partnerships, intensified and sustainable agricultural production increases while conserving the physical, biological and soil environments. To date, over 100 SCOR user groups have improved their use of land and water resources, benefiting nearly 50,000 people. Coastal resources management activities combine the partnership approach with local businesses, government and CBOs to improve management of important coastal resources and facilitate participation in decision-making processes which affect their lives.

▸ Society-to-Society Linkages ◂

TIPS assists the partnership program between U.S. and Sri Lankan Chambers of Commerce to provide assistance in environmentally related technology transfer through the U.S.-Asia Environmental Partnership. This component of TIPS facilitates the purchase of U.S. environmental technology and services by Sri Lankan businesses and promotes the local production of environmental goods and services. In addition, TIPS and AgEnt develop information networks to help small and medium

manufacturers acquire needed technology, improve the quality of their products and marketing skills, and enter export markets--thereby assisting local businesses to form international partnerships.

III. MISSION ACTIONS AND NPI ACTIVITIES DURING THE LEARNING PHASE

The NPI approach has been and remains central to how USAID/Sri Lanka's program strategy has developed and its strategic objectives formed. All three of the SOs include activities in the NPI focus areas of NGO empowerment, small business partnerships, and democratic local governance. The NPI cross-cutting interventions (grassroots capacity building, enabling environment, expanded linkages/partnerships) are also key to all three of the strategic programs. This aspect of the Mission's overall program forms the basis of what it has to share with the NPI Learning Team, and ultimately the Agency at large.

As a result of the Mission's overall reengineering efforts begun in mid-1994, it was already optimally structured for NPI at the beginning of the Learning Phase and thus did not engage in further restructuring. The Mission's Office of Program Planning and Support (PPS) has assumed the coordination, advocacy, and reporting functions for the Mission's NPI initiative. PPS staff serve on all three of the Mission's SO teams and are charged with developing and supporting cross-cutting initiatives to integrate the three NPI areas, and identifying synergies that can be achieved among the sectors.

► Mission Operations ◄

The Mission introduced NPI during the development of the RFA for CIPART's Local Governance/ Participatory Development component by encouraging the applicant to form a consortium of collaborating relationships among such partners as universities, research groups, specialized consultants, and Sri Lankan NGOs and PVOs. This approach was adopted so that implementation of the program could directly benefit from the varied expertise of the different types of organizations. Cost sharing by all partners was encouraged, helping to increase the total available financial resources for the project component. The Recipient is also required to work closely with TAF--CIPART's other cooperative agreement partner--to ensure the appropriate and effective integration of all project activities and achievement of the project's objectives.

This component of CIPART will increase the capacities of local government institutions to implement their responsibilities efficiently and effectively in partnership with local citizens, NGOs and the private sector. It will enhance local governments' awareness and responsiveness in delivery of services to people and communities by working with several levels of the local government. Support to ***pradeshiya sabhas*** is an important component, as they constitute the first level of rural elected local government officials who work with citizens' groups and are accessible to ordinary people. USAID will also provide technical assistance to local governments and communities to create awareness of the laws and policies of the devolution of political power to the local level. CIPART will incorporate the principles of civil society to enhance collaborative relationships between citizens through NGOs, CBOs and national and local government to identify and mutually resolve problems.

► Program Design and Local Currency Programming ◄

Concurrently with the NPI Learning Phase, the Mission was engaged in detailed design of the Natural Resources and Environmental Practices Program (NAREP II).[1] The NAREP II design effort became an

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[1] NAREP II, to be launched in July 1997, will succeed the Natural Resources and Environmental Policy Project (NAREP I) as the Mission's primary implementation vehicle under SO2. NAREP I, authorized in 1990, is primarily a policy project, but it provides significant assistance to the Sri Lankan environmental NGO community under its "Public Participation in Environmental Management" component, as well under the "Coastal Resources Management" component. The Shared Control of Resources sub-project of NAREP I (to continue through 1998) provides resource management assistance to user groups in two rural watersheds.

"experimental lab" for the incorporation of NPI principles into an SO program from the ground-up. In essence, NAREP II will provide resources to support public and private sector efforts to promote a balance between economic use and conservation of natural resources/biodiversity in order to increase productivity and income for poor people in ecologically critical areas of the country. These results will be attained through various means--including participatory and partnership arrangements among local governments (including provincial councils), local NGOs, CBOs and private sector firms--for the development and implementation of natural resources management and biodiversity conservation approaches in selected sites. These efforts will be complemented by alternative employment and resource-friendly income-generating activities for the population in target communities, drawing on linkages with local small businesses to the greatest extent possible.

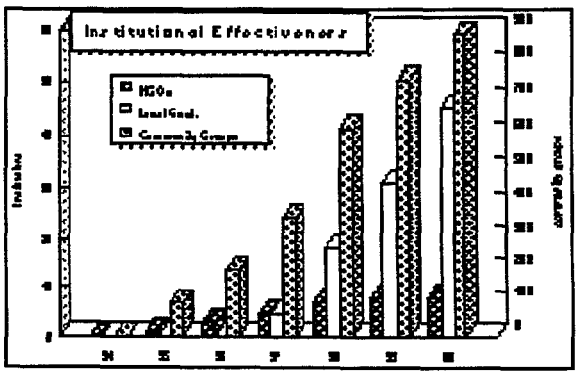
By designing NAREP II in an NPI-led, cross-cutting manner, the Mission gained valuable experience in forging partnerships among the three SOs to promote synergy through cooperative, mutually supportive implementation arrangements. This is best exemplified by the agreements reached between the 3 SO Teams regarding programming of the Mission's PL-480 local currency "NGO Special Account." In the course of the NAREP II design, the SO Teams worked together to include Special Account-funded activities within NAREP II which will also support SO3's local governance initiatives, and, in some instances, SO1's efforts to strengthen the local private sector in target areas. This collaborative--as opposed to competitive--process of allocating Special Account resources has been adopted by the Mission as standard practice as a result of experience gained during the Learning Phase.

▸ Result Frameworks / NPI Results Framework ◂

There is much similarity between the Mission's Results Frameworks and the NPI Framework. The NPI Framework indicates the processes and mechanisms used to achieve Strategic Objectives--and thereby Sustainable Development--while the Mission's Results Frameworks superimposes the actors and players who use these processes and mechanisms (see the Mission's Democracy Objective Results Framework, Annex 2).

Monitoring Capacity Building of local organizations

UNIT	94	95	96	97	98	99	00
1. Increased effectiveness of local institutions							
1. # of strengthened targeted NGOs & local government institutions							
TARGET (cum) #	0	1	3	10	25	39	53
NGOs	0	1	3	5	7	8	8
LG	0	0	0	5	18	31	45
2. # of strengthened community groups							
TARGET (cum) #	0	102	204	362	621	755	885
MARD	0	50	50	50	50	50	50
SCOR	0	50	150	250	400	400	400
FOA	0	0	0	0	20	50	80
CARE	0	2	4	7	11	15	15
CIPART	0	0	0	55	140	240	340



A salient feature of the Mission's Strategic Framework is that it is people-oriented. Each of the three SOs' Results Frameworks has a policy component which addresses the enabling environment through the Mission's policy agenda. The other components of the Mission's program consist of capacity building of individuals or institutions at different levels of the economy and address the four main players of society, i.e. the Government, NGOs/PVOs, Business Enterprises and the community.

The Mission uses a wide range of methods to track its progress towards its SOs. The Mission has selected a number of performance indicators at the SO and intermediate levels. This is complemented by a quarterly Mission Program Results Review process and report wherein the Mission keeps track of activity level indicators, sets up benchmarks and monitor progress against the policy agenda. Regular dialogue with partners and customers through field visits and discussions is also an important method of results tracking. The Customer Service Plan (Annex 3) shows the relationships between the Mission's partners, intermediate customers who are also involved in delivering services through the activities carried out by the Mission, and the end users/beneficiaries.

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Some of the Mission's indicators encompass the measure of progress in NPI. These indicators measure capacity building while a few indicators measure performance as a result of the partnerships. The performance monitoring plan for these indicators is given in Annex 4.

1) percentage of people with access to legal services and information;

2) percentage of people who believe local government is responsive to their needs;

3) number of user groups with joint responsibility for management of natural resources;

4) number of development projects jointly implemented by local government and NGOs;

5) number of strengthened, targeted LGs;

6) number of strengthened, targeted community groups;

7) number of strengthened, targeted NGOs

▸ South-South Linkages ◂

USAID/Sri Lanka directly benefitted from AID/W assistance through its support for the TDYs in May of a Global/DG member of the Learning Team (Patrick Fn'Piere) and the USAID/ Philippines Democracy Officer (John Grayzel). Both officers provided insight, support and guidance to the Mission and its SO3 (Democracy) Team for achieving the Democracy SO, and elaborated on the relevance of NPI to that process. While a significant part of SO3 is focused at improving local governance, the TDYs helped to underscore the importance of including national level partners and the private sector. There were also many specific observations and clarification of such concepts as: local government versus local governance, the difference between community-based resource management and democracy strengthening activities, conflict resolution compared with "designing your way out of conflict", the importance of local private sector involvement in local governance, and areas of mutual importance and sharing that Sri Lanka and the Philippines offer each other.

USAID/SL plans to follow-up on these useful TDYs, particularly in further developing the "South-South" tie between Sri Lanka and the Philippines. It is recognized that each country has some of its experience to offer the other, whether it is the Philippine practice in peer coaching at the government level and NGO coaching on strategies for influencing government decisionmaking, or Sri Lanka's approach to the well-knit activities in conflict management by a strong local NGO. The support offered by NPI was instrumental in launching this constructive cooperation.

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▸ Leveraging Resources/Support from Other Development Partners ◂

Through its environment program, USAID/Sri Lanka collaborates with the World Bank/IDA and Japan on NGO participation in the shared control of resource management activities. The World Bank has adopted SCOR's approach in its Forestry Development Plan, and IFAD and the UK/ODA are similarly interested in beneficiary participation in this sector.

USAID/Sri Lanka also collaborates with many donors and international organizations in the Democracy and Governance area, including the UK, IFRC, WFP, Dutch, CIDA, NORAD, FORUT, and WOCCU. These organizations are particularly aimed at empowering people at the grassroots level by helping Sri Lankan NGOs move from social welfare and relief orientation to supporting the NGO role in improved credit delivery systems for micro-enterprises, democracy programs, income generating activities, and rehabilitation programs with a development approach.

The UN also coordinates a Donor Forum meeting where international donors and NGOs meet monthly to discuss their programs and identify areas of priority. The meetings are a useful forum to discuss mutual problems, especially in carrying out humanitarian and rehabilitation assistance in the conflict areas. Partnership approaches are encouraged in order to avoid overlap in implementation and to maximize complementarity.

IV. CASE STUDIES OF INNOVATIVE APPROACHES

Case Study 1: Public-Private Partnership to Manage Coastal Resources

Development problem: Rekawa is a seaside rural community located in the Hambantota District of Southern Sri Lanka. Since most of those in the community are engaged in sea/lagoon fishing and agriculture, local people are almost totally dependent on the area's natural resource base. As a result of poor management of the fisheries and land, the productivity of the Rekawa lagoon had begun to markedly decline--endangering both the natural capacity of the ecosystem and the livelihood of hundreds of families in the area.

Why this approach? Because the tradition of natural resource management in Sri Lanka is generally one of centralized planning and decentralized implementation, the demands of communities have often been overlooked and they have been denied the opportunity to provide ideas, share knowledge and make decisions about actions which affect their lives. In order to ensure the sustainable management and stewardship of Rekawa's coastal resources, USAID is assisting the central government, represented by the Divisional Secretary, to lead a participatory process designed to facilitate collaborative decision making and build the capacity of both local community groups and local government.

Case Study 1, Cont'd

Activities: Under the NAREPP Coastal Resources Management Project (CRMP)--managed by the University of Rhode Island--steps have been taken to seek collaborative resource management with those who have a stake in the resources of the area. Through a Special Area Management (SAM) process started in 1993, numerous nongovernmental groups, community members, and local/ central government authorities have been engaged in a participatory process to identify environmental management problems in Rekawa, engage in joint planning and management sessions, and formulate a "SAM Plan" which is adaptable enough to meet the changing needs of the community.

This collaborative process is supported by a Rekawa SAM Coordinating Committee (RSAMCC) comprised of representatives from local government authorities, various central government agencies (e.g. the Coast Conservation Department), local nongovernmental and community-based organizations, private sector groups (e.g. Enterprise Development Center) and international NGOs (e.g., PLAN International). The RSAMCC--which meets monthly--acts as an information clearinghouse on SAM Plan development and implementation and serves as a coordinating body for interagency planning. Although it does not directly involve community members in implementation, it provides a regular public forum for stakeholders to voice their ideas, raise issues of concern, debate areas of disagreement, and cooperatively develop solutions to shared problems. Many partnerships between government and community groups have been and are being formed through this active body.

The Rekawa Community Coordinating Committee (CCC) was also established to more effectively capture and articulate the interests of various community members. The CCC represents several federations/ societies, including organizations of women, youth, voluntary organizations, farmers, and sea and lagoon fishermen. After each monthly CCC meeting, local members' issues are vetted at the RSAMCC forum by the CCC representatives. As a result of this mechanism, those in the community are now more confident that their voices are heard and opinions taken into account by the authorities.

The use of educated youth as catalysts is an innovative aspect of the CRMP. Nine youth from the community have been recruited, given intensive training as Volunteer Community Organizers, and appointed throughout the area. The catalysts have worked closely with local officials and the community to increase awareness about natural resources and environment conservation, assist in self-employment and income-generating activities, and facilitate the formation of federations.

In the absence of one single overarching NGO in Rekawa representing the community, the Rekawa Lagoon Fishermen's Cooperative Society (RLFCS) has acted as a catalyst to bring the wide range of CBOs together under a single registered NGO. This new Rekawa Development Foundation will be responsible for representing the community in natural resources management and other decisionmaking processes that affect the overall community. To demonstrate its support for the Foundation, the local *Pradeshiya Sabha* has donated a building which will serve as the NGO's project office. The site will also serve as a new, expanded Sales Center for the RLFCS, which is currently selling items such as chicken and fishing nets.

The RLFCS--the first lagoon fishery society ever registered in Sri Lanka--has been very active in promoting a more favorable local enabling environment for its members. One of the first tasks undertaken by the Society was to develop a set of guidelines to regulate fishing gear and methods in the lagoon. The fishermen--who identified the need for the guidelines--were assisted by CRMP and the Department of Fisheries and Aquatic Resources Development. While the guidelines were initially enforced using social pressure by those in the community, they have now been submitted for legal recognition and ratification by the government. The Society's ultimate objective of taking over management of the lagoon's resources will be greatly facilitated by the adoption of these guidelines.

Case Study 1, Cont'd

On a more macro level, an improved enabling environment for coastal zone management (CZM) is also being fostered through the preparation of a plan by CRMP and the Coast Conservation Department. The CZM Plan--translated into both Tamil and Sinhala--was recently submitted to the government for public comments. In order to facilitate effective implementation of the CZM plan, capacity building training is being provided under the CRMP project to local and provincial government officials, as well as NGO personnel.

Lessons Learned:

▸ Intensive community awareness and education programs are very important in fostering understanding of the need for sustainable management of the environment and natural resources. Once there is a realization of the issues involved, people assume ownership of the process and responsibility for the community's interests.

▸ Local people should also have a sufficiently high stake in the outcome of solving the problem at hand, since they are more prone to act when the negative consequences of their actions are apparent in the short-term and their economic livelihood is threatened.

▸ In order to wean people away from the over exploitation of natural resources in the long-term, it is critical to assist in the development of viable alternative income generation activities. People's willingness to engage in initially less lucrative activities--such as poultry farming rather than coral mining--is also influenced by "peer pressure" from others who are adversely affected by their activities.

▸ Because the RSAMCC is chaired by a representative of the central government, there is a risk that the momentum and ultimate success of the process will depend largely upon the particular official encumbering the position. A low level of commitment or an uncooperative personality, for example, might be very difficult for the community to overcome.

▸ Neither the importance of local authorities nor the value of their support should be undermined. Since they have legal jurisdiction over many proposed activities, their cooperation and goodwill can greatly facilitate the accomplishment of the community's objectives.

Value Added/Utility of NPI Approach:

As a result of these intensive community awareness-raising efforts, local people are now more aware of their legal rights, confident in their ability to express and advocate their needs, and empowered to make decisions and take action in their best interest. CBO representatives claim that the CRMP project is largely responsible for creating this heightened awareness for environmental concerns, as well as for guiding and assisting in strengthening their organizations. They have also noted that the broadly participatory nature of the SAM process has been different from previous situations where government officials decided <u>for</u> the community without consultation <u>with</u> the community.

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Case Study 2: Participation of Communities and Local Government in Biodiversity Management

Development problem: The hill range of Ritigala in the North Central Province of Sri Lanka has been designated a Strict Nature Reserve (SNR) by the government due to its unique flora and fauna, including many rare and threatened species of medicinal herbs and other plants. Because farmers from surrounding villages have come to rely upon resources from the SNR to supplement their incomes--particularly through the extraction/sale of plants and logging of timber and firewood--and outside commercial intermediaries have increased large-scale resource extraction, Ritigala's biodiversity, as well as its flora and fauna, are seriously threatened.

Why this approach? In order to foster the emergence of the local community as the leading partner in these activities, substantial groundwork was laid over the course of 8-12 months prior to the actual design of the Community Based Resources Management (CBRM) component of the NAREP project. During the "pre-CBRM" phase, preliminary studies were conducted to gain insights into the conservation status of the SNR and the socioeconomic situation of the villagers in the five target areas. In Ritigala, community awareness programs were undertaken to educate people about the value of protecting the SNR and to increase their understanding of the link between the Reserve's biodiversity and the villagers' unmanaged resource extraction. Not until this foundation had been established did community members, government officials and technical experts meet to discuss and cooperatively design a project to sustainably manage Ritigala's resources and develop alternative income generation activities.

Activities: Once the pre-CBRM phase had been completed, the Asia Foundation (TAF) identified Tanthirimale Gramodaya Mandalaya (TGM)--a multi-ethnic NGO--as the most capable indigenous institution to facilitate the formation of a representative NGO to manage the Ritigala CBRM project. As a result of TGM's capacity building work with 60 local CBOs and eight school environmental clubs, the Ritigala Community Based Development and Environment Foundation (RITICOE) was established in early 1995. TAF also facilitated a linkage between RITICOE and the Bandaranaike Memorial Ayurvedic Research Institute, an organization with strong scientific expertise upon which to base the community education efforts. TGM and the Research Institute worked closely with RITICOE for approximately six months before phasing down their level of direct assistance as the NGO grew stronger and broadened its base of community support. RITICOE is now headed by two young women leaders from the community.

One important aspect of RITICOE's work is its support to income generation, under which existing micro and small businesses (e.g. the cultivation and processing of medicinal plants) are supported and new ones established. 30 businesses have received training this year in skills development, marketing, credit and management with the joint assistance of RITICOE, the *Pradeshiya Sabha* and other government agencies, while nearly 200 men and women have been trained on entrepreneurship and business development skills. Discussions with government representatives have also begun regarding the formation of new businesses which will responsibly use the natural resources at the community's disposal and generate sustainable financial resources for RITICOE's operations.

Linkages with the government have also played an important role in this process. Two Divisional Secretaries representing 14 villages in the area have been involved from the inception of the CBRM Program. Another example of the central government's support and willingness to partner is its donation of the building in which RITICOE is now housed, provided in exchange for the community's labor in rehabilitating the structure. On the local government side, a management committee has been formed with the participation of the three local *Pradeshiya Sabhas*--including the opposition leader--to implement CBRM activities. An initial lack of PS involvement has been overcome by efforts to identify areas of common interest and to build trust between RITICOE and the local government, leading to a higher level of cooperation.

Case Study 2, Cont'd

In an effort to further enhance community participation, RITICOE recently provided technical assistance for the formation of Village Development Centers (VDCs) to handle local level planning, implementation and monitoring. A VDC represents all of the CBOs in a village, formally uniting them and coordinating their programs in a more comprehensive manner. An advisory committee (including divisional and local government officials, the School Headmaster, religious leaders and other stakeholders in the village) and members of the broader community are also actively involved in the preparation and implementation of the village development plan, with technical assistance from RITICOE. These VDC plans are accepted by the government as authentic documents worth supporting, and several government institutions have sought the support of RITICOE to implement their programs.

Lessons Learned:

▸ The intermediate organization selected to build the capacity of a new NGO is important to the success of the project. TGM was ideally suited for this role because it was highly regarded within the community, its leadership well-respected, its relationship with the government longstanding, and its connections broad and well-established. TGM's position of strength lent legitimacy to RITICOE, facilitated important relationships and linkages, and accelerated the transfer of technical skills and knowledge.

▸ To the extent possible, the role of USAID and its intermediate partners as facilitators, catalysts, idea generators and linkage builders should be emphasized. Such an approach will more effectively foster the independence and confidence of local groups, facilitate the establishment of new linkages among sectors, and discourage an over-reliance on external assistance. In this case, the leadership and independence of local community leaders has been greatly enhanced by the fact that no USAID/TAF project officer works on-site. In addition, both TGM and the Research Institute were careful to decrease their level of involvement as the capacity of RITICOE increased.

▸ It is easier to foster public-private collaboration by initially addressing relatively "non-controversial" issues where the community is not viewed as a threat to the authority or power of the government. Once a greater level of rapport, trust and open communication has been established over time, community groups have a greater degree of freedom and "capital" to voice their opinions or make demands in more confrontational areas. Transparency is also critical. Because RITICOE has explained the program thoroughly to government officials at every step of the process and continuously updates the district government on its activities, there is no fear of information being hidden or authority challenged.

▸ In order for partnerships to form, there must be strong areas of common interest among the groups involved. Although community members initially questioned the contribution of government officials in Ritigala, they later realized that many things could not be accomplished without working with the government. In line with its policy of participatory management, the government viewed the project as an opportunity to reach a more micro level than it otherwise would, and to achieve the objectives of resource protection by working closely with local people.

▸ In order for community participation to be broad, sustainable and genuine, members should be fully involved in the entire process, from preliminary design through implementation and monitoring.

Value Added/Utility of NPI Approach: While villagers and government officials initially lacked confidence in their ability to engage in a productive partnership, people's attitudes have changed dramatically under the CBRM project. There is a much greater recognition of the respective value and contributions of the parties involved.

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Case Study 3: Building Local Government Capacity

Development problem: Although citizens' participation in democracy and development is more easily accomplished at the local government level, local officials in Sri Lanka are poorly informed about their duties, responsibilities and powers. A number of issues related to local authorities have been identified, including: poor local government environment and linkages; low status, morale and motivation of officials; breakdown in local government systems and procedures; poor knowledge of statutory functions, accounting procedures/practices and local laws; lack of community linkages; and deterioration of community services.

Why this approach? The Citizens' Participation (CIPART) Project aims to empower ordinary citizens to participate in democracy under three main areas: law, media and local government/participatory development. The local government activities will be implemented by a consortium of NGOs led by PACT, a U.S. PVO. Since the NGO consortium will work primarily through local CBOs and citizens, there is a vacuum to be filled on the local government side in order for officials to be prepared to meet the increasing demands of enlightened and empowered citizens. To ensure the success of the local governance component, the Mission has developed a direct training program to inform, prepare and sensitize local officials.

Activities: Technical assistance and training activities are being planned, implemented, monitored and evaluated by the Local Government Management Unit (LGMU) from April 1996 through March 1997. The objective of the LGMU--established under the Ministry of Provincial Councils, Cooperatives and Indigenous Medicines--is to assist urban and local authorities to increase their capacity and efficiency to provide better services to people at the local level. It also seeks to create greater opportunities for local people to participate effectively in decision making processes related to development activities. Because the objectives of LGMU and CIPART are complementary, collaboration will enable LGMU to contribute meaningfully in an area of mutual concern.

The following capacity building activities will be conducted by the LGMU in three provinces of Sri Lanka:

- Training of Trainer workshops
- Orientation programs for elected members of *Pradeshiya Sabhas*
- Orientation for Divisional Level Officials
- Knowledge and Skills training programs for elected and appointed officials
- Training Programs for Provincial Local Government Administrators
- Training Programs for Regional Development Officers and Community Development Officers

Preliminary Lessons Learned:

▸ Local level officials are extremely responsive to these training programs and open to suggestions regarding participatory development.

▸ It is more effective to conduct training programs at a site other than that where a government official is resident because the training program then has their undivided attention.

▸ The local level officials from areas where there are strong community-based organizations are more responsive to the training programs due to the pressures from the community and the required higher level of accountability.

▸ Urban areas where there is high politicization and conflicting priorities are more problematic than rural settings.

Value Added/Utility of NPI Approach: At the local level there are three main partners: local government agencies, nongovernmental organizations and communities. Identifying and addressing the special needs of each group in this way enables the groups to more effectively and constructively interact while conducting development activities within their own communities. The NPI approach enables these three groups to capitalize on their diverse strengths - authority, capacity and knowledge of local affairs.

Contact Person: Thusitha Dharmawardena, USAID/Sri Lanka

Case Study 4: Capacity Building of Mediation Boards

Development problem: Citizens experience serious delays under the legal systems in Sri Lanka. To obtain a District Court decision--which serves as the court of first instance for all civil matters--a delay of five years is common. In some extreme instances, the adjudication of District Court cases may take 10-15 years. By the late 1980s, many commissions and evaluation teams investigating these legal delays strongly recommended the establishment of alternate dispute resolution (ADR) systems.

Why this approach? Many of the teams recommending ADR systems promoted the mediation board model currently used in the U.S. Because the cases filed in District Courts largely dealt with land, inheritance, rent and eviction issues, mediation boards comprised of respected village elders were seen as ideally suited to the task of amicable dispute resolution in these areas. USAID made funds available to The Asia Foundation to set up mediation boards throughout the country.

Activities: The mediation program of the Ministry of Justice seeks to professionalize mediator trainers and mediators, develop awareness of mediation among local government officials, and increase public awareness of the existence of the mediation boards and their role in dispute resolution. The program also aims to introduce and promote the concept and benefits of alternative dispute resolution among future generations of Sri Lankans. Activities include: Training of trainer programs; training programs for mediators; stakeholder workshops for judges, lawyers, and law enforcement officials; public information campaigns; and educational programs for high school level students. After the stakeholder workshops were started in 1994, the number of mediation board applications increased from 82,845 in 1994 to 100,342 in 1995.

Lessons Learned:

- As mediation boards do not require representation by lawyers, they are more cost-effective than formal court cases, and consequently more affordable to litigants in lower income groups.

- As mediation boards strive to reach win-win solutions for the parties involved, the decisions made are more participatory and sustainable.

- There is a direct relationship between the reduced number of court cases and the increased number of mediation board hearings.

Value Added/Utility of NPI Approach: In 1991, the government of Sri Lanka introduced the Mediation Boards Act of Sri Lanka. Legislation has now been introduced which makes it mandatory for certain types of disputes to be deferred to a mediation board prior to filing a formal complaint. When filing action at the lower courts, these cases must be accompanied by a Certificate confirming that the case was heard at a mediation board and that the results were unsuccessful. Similarly there is also legislation empowering judges to refer any matter to the mediation boards. This has reduced the number of cases filed in the lower courts from 643,869 in 1991 to 468,121 in 1995.

Contact Person: Thusitha Dharmawardena, USAID/Sri Lanka

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Case Study 5: Enhancing the Enabling Environment for Exports

Development problem: Cheap labor alone will not keep the country's products competitive. Small and medium local exporters need to place more effort in improving the quality of Sri Lankan products to compete effectively in the international market. The ISO 9000 certification of a product ensures a systematic design, development and execution of an accepted international standard and enhances a products' ability to penetrate markets.

Why this approach? USAID assistance through the TIPS project is assisting local businesses by providing the services of an International Executive Service Corps (IESC) volunteer, an expert on Quality Systems Management, to lead Sri Lankan exporters in obtaining ISO 9000 certificate specification for their products.

Activities: The IESC volunteer is presently engaged in a cooperative effort with the National Development Bank, their technology fund and the Sri Lanka Standards Institute to work out a comprehensive long-range program for Sri Lankan companies to obtain ISO 9000 certification for their products. The IESC volunteer will also provide direct "Expert" training for 20-25 pre-selected Sri Lankan consultants to be able to advise the Sri Lankan private sector on ISO 9000 standards.

Value Added/Utility of NPI Approach: The GSL declared 1996 as The Year of Productivity to encourage international competitiveness. In keeping with this productivity campaign many players have participated in promoting international competitiveness. The partnership approach has provided a means to both the small and medium exporters to improve the quality of their products to enable the reach and access to international markets. TIPS laid the foundation by promoting the concept of "Quality" which is an essential ingredient for international competitiveness. The Sri Lanka Standards Institution will operate the certification procedure. Also TIPS with the concurrence of USAID and the Sri Lanka Ministry of Industrial Development and the National Development Bank will introduce cost sharing grants to private sector companies undertaking quality related business initiatives.

V. LESSONS LEARNED

1. Intensive community awareness and education programs are very important in fostering understanding of the need for sustainable management of the environment and natural resources. Once there is a realization of the issues involved, people assume ownership of the process and responsibility for the community's interests.

2. Local people should also have a sufficiently high stake in the outcome of solving the problem at hand, since they are more prone to act when the negative consequences of their actions are apparent in the short-term and their economic livelihood is threatened.

3. In order to wean people away from the overexploitation of natural resources in the long-term, it is critical to assist in the development of viable alternative income generation activities. People's willingness to engage in initially less lucrative activities--such as poultry farming rather than coral mining--is also influenced by "peer pressure" from others who are adversely affected by their activities.

4. When a CBO is chaired by a representative of the central government, there is a risk that the momentum and ultimate success of the process will depend largely upon the particular official encumbering the position. A low level of commitment or an uncooperative personality, for example, might be very difficult for the community to overcome.

5. Neither the importance of local authorities nor the value of their support should be undermined. Since they have legal jurisdiction over many proposed activities, their cooperation and goodwill can greatly facilitate the accomplishment of the community's objectives.

6. Intermediate organizations selected to build the capacity of new NGOs are vitally important to the success of the project. Ideally, such intermediate NGOs should be highly regarded within the community, its leadership well-respected, its relationship with the government long-standing, and its connections broad and well-established. This will lend legitimacy to the new NGO being fostered, will facilitate important relationships and linkages, and will accelerate the transfer of technical skills and knowledge.

7. It is easier to foster public-private collaboration by initially addressing relatively "non-controversial" issues where the community is not viewed as a threat to the authority or power of the government. Once a greater level of rapport, trust and open communication has been established over time, community groups have a greater degree of freedom and "capital" to voice their opinions or make demands in more confrontational areas. Transparency is also critical. The CBO should explain the program thoroughly to government officials at every step of the process and continuously updates the district government on its activities, there is no fear of information being hidden or authority challenged.

> 8. To the extent possible, the role of USAID and its intermediate partners as facilitators, catalysts, idea generators and linkage builders should be emphasized. Such an approach will more effectively foster the independence and confidence of local groups, facilitate the establishment of new linkages among sectors, and discourage an over-reliance on external assistance.

9. In order for partnerships to form, there must be strong areas of common interest among the groups involved. Although community members may initially questioned the contribution of government officials, they may later realize that many things could not be accomplished without working with the government. In line with its policy of participatory management, the government should be encouraged to view the particular activity as an opportunity to reach a more micro level than it otherwise would, and to achieve its objectives by working closely with local people.

10. In order for community participation to be broad, sustainable and genuine, members should be fully involved in the entire process, from preliminary design through implementation and monitoring. When all parties are involved from the very beginning, there is an increased sense of ownership.

11. It is more effective to conduct training programs at a site other than that where a government official is resident because the training program then has their undivided attention.

12. The local level officials from areas where there are strong community-based organizations are more responsive to the training programs due to the pressures from the community and the required higher level of accountability.

13. Urban areas where there is high politicization and conflicting priorities are more problematic than rural settings.

14. As mediation boards do not require representation by lawyers, they are more cost-effective than formal court cases, and consequently more affordable to litigants in lower income groups.

15. As mediation boards strive to reach win-win solutions for the parties involved, the decisions made are more participatory and sustainable.

VI. CONCLUSIONS

▸ Value Added of NPI Approach ◂

More recently, NPI approaches have been explicitly incorporated as "value added" elements in the development of two new initiatives: the design of the Natural Resources and Environmental Practices (NAREP II) Program (SO 2, Environment), and in the procurement of technical assistance for implementation of the local governance activity under the Mission's Citizen's Participation (CIPART) Program (SO 3, Democracy).

Based on experience and lessons learned under the existing NAREP I project, NAREP II will support and develop public-private partnerships at the local and national levels to manage the natural resource base at selected sites. Investors at the village and regional levels will be encouraged to take part in alternative income generation processes through incentives and facilitation provided by the relevant authorities having jurisdiction over resource uses, eg., ecotourism, medicinal herb processing, wildlife and forest management, etc. The primary vehicle for these initiatives will be the vibrant NGO/CBO community in Sri Lanka and the private sector.

Under CIPART, the Mission has recently awarded a major cooperative agreement to PACT, Inc., to assist with the Strengthening of Local Governance and Participatory Development activity. The objective of this activity is to empower people by bringing local government, communities, and NGOs together--including the private sector where possible--to identify and solve common problems. The indirect purpose is to highlight the vital importance of a devolution plan for resolution of the country's ethnic conflict, and to present devolution as a "common sense" development issue instead of only a political issue.

The objective of [CIPART] is to empower people by bringing local government, communities, and NGOs together--including the private sector where possible--to identify and solve common problems. The indirect purpose is to highlight the vital importance of a devolution plan for resolution of the country's ethnic conflict, and to present devolution as a "common sense" development issue instead of only a political issue.

Under the recently inaugurated "CIPNA" (joint CIPART-NAREP initiative) activity, five sites (four rural, one peri-urban) have been selected for continuing and expanding the activities started under NAREP's community-based resource management component. The objective of the CIPNA initiative is two-fold: to encourage participatory linkages at the community level among local government units, NGOs, CBOs, and the private sector in identifying and resolving problems at the local level; and to serve as democracy and governance "learning sites" for potential replication on a national scale. NPI's focus on partnerships, NGO empowerment, and enhanced local governance helped stimulate this synergy between two key strategic objectives.

▸ Next Steps ◂

1. Under the Mission's Democracy Objective, greater empowerment of people to participate in democracy, the Mission will support development of local government institutions and help provide effective services and allocate resources on behalf of the citizenry.

2. Through ongoing access to NPI-LINK and perhaps future "south-south" exchanges (e.g., regional workshops, cross-visits among Missions, etc.) USAID/Sri Lanka will continue to refine, expand, and share its NPI know-how with other missions.

3. After appropriate consultations with USAID/Washington, the Mission will look into preparing a short video on its NPI best practices.

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VII. ANNEXES

1. Glossary of Acronyms
2. Results Framework for Building Democracy
3. Customer Service Plan
4. Performance Monitoring Plan
5. Chart of NPI Related Activities and Partners

GLOSSARY OF ACRONYMS

ADR	Alternate Dispute Resolution
AgENT	Agro-Enterprises Project
BOO/BOT	Build-Own-Operate/Build-Operate-Transfer
CBO	Community Based Organization
CBRM	Community Based Resources Management
CCC	Community Co-ordinating Committee
CIDA	Canadian International Development Agency
CIPART	Citizen Participation
CIPNA	CIPART/NAREP
CRMP	Coastal Resources Management Project
CSE	Colombo Stock Exchange
CZM	Coastal Zone Management
FORUT	Campaign For Development & Solidarity
FSSISL	Federation of Chambers of Commerce & Industry in Sri Lanka
GSL	Government of Sri Lanka
IDA	International Development Agency
IESC	International Executive Service Corps
IFAD	International Fund for Agricultural Development
IFRC	International Federation of the Red Cross
IIMI	International Irrigation Management Institute
LAMSCO	Lanka Asia Management Systems Company (Pvt.) Ltd
LEM	Leading Edge Mission
LG	Local Government
LGMU	Local Government Management Unit
MESA	Microenterprise Support Activity
NAREP I	Natural Resources & Environmental Policy Project
NAREP II	Natural Resources & Environmental Practice Program
NGO	Non-Governmental Organization
NIC	Newly Industrialized Country
NORAD	Norwegian Development Co-operation
NPI	New Partnerships Initiative
ODA	Oregon State University
PACT	PACT, Inc.
PPI	Promotion of Private Infrastructure Project
PPS	Office of Program Planning & Support, USAID/Sri Lanka
PRSA	Policy Reform Support Activity
PSPS	Private Sector Policy Support Project
PVO	Private Voluntary Organization
RFP	Request For Proposal
RITICOE	Ritigala Community Based Development & Environment Foundation
RLFCS	Rekawa Lagoon Fisherman's Association
RSAMCC	Rekawa Special Area Management Co-ordinating Committee
SAM	Special Area Management
SCOR	Shared Control of Resources
SEC	Securities & Exchange Commission of Sri Lanka
SNR	Strict Nature Reserve
SO	Strategic Objective
TAF	The Asia Foundation
TDY	Temporary Duty
TGM	Tanthirimala Gramodaya Mandalaya
TIPS	Technology Initiative For the Private Sector
UK/ODA	United Kingdom Official Development Assistance
URI	University of Rhode Island
VDC	Village Development Center
WFP	World Food Program
WOCCU	World Council Of Credit Unions

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PERFORMANCE MONITORING PLAN FOR 3.1

Strategic Objective 3: GREATER EMPOWERMENT OF PEOPLE TO PARTICIPATE IN DEMOCRACY

Intermediate Result 3.1: INCREASED EFFECTIVENESS OF LOCAL INSTITUTIONS

INTERMEDIATE RESULT INDICATOR	PRECISE DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	SPECIFIC SOURCE OF DATA	DETAILS OF DATA COLLECTION METHODS AND APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/OFFICE AND SUPPORTING ACTIVITIES
1) NUMBER OF TARGETED NGOS AND LOCAL GOVERNMENTS ACHIEVING A DEFINED RATING	Targeted NGOs: One or two CIPART assisted local NGOs specializing in such sectors as micro-enterprise development for women or youth, relief and rehabilitation and fundamental rights, with a stated mandate to strengthen member NGOs. Targeted Local Governments (LG): Pradeshiya sabhas or other local government entities selected to be partner organizations under CIPART Achieving a defined rating: Meeting minimum criteria for: Democratic structure (NGO) Diversity and # of membership (NGO) Level of budgetary resources (NGO & LG) Types of "umbrella activities" (NGO) Accountability & transparency requirements (NGO & LG) Staffing and qualifications of staff (LG) Types of development activities (LG) Sustainability (NGOs & LG) UNIT: # of NGOs, # of LG bodies	Project Reports Project Evaluations, Urban Programme Unit Reports of the (LG) Min. of Home Affairs, Provincial Councils & Cooperatives	To be developed by lead implementing organization during FY95	Annual	Built into CIPART Project Costs	USAID PRJ/DHVI CIPART Project Manager
Comments/Notes:						

PERFORMANCE MONITORING PLAN FOR 3.1

Strategic Objective 3: GREATER EMPOWERMENT OF PEOPLE TO PARTICIPATE IN DEMOCRACY

Intermediate Result 3.1: INCREASED EFFECTIVENESS OF LOCAL INSTITUTIONS

INTERMEDIATE RESULT INDICATOR	PRECISE DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	SPECIFIC SOURCE OF DATA	DETAILS OF DATA COLLECTION METHODS AND APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/OFFICE AND SUPPORTING ACTIVITIES
2) NUMBER OF COMMUNITY GROUPS ACHIEVING A DEFINED RATING	Community Groups: Project assisted groups organized at the community level to accomplish a common goal. Achieving a defined rating: Meeting minimum criteria for: Democratic structure of organization Level of funding Sustainability Accountability Transparency UNIT: # of community groups	Baseline citizen's survey results, Project Reports, Project Evaluations, Local government Reports	Quarterly reports submitted by lead U.S. implementing P.V.O. under CIPART and SCOR and AGENT contractors	Annually	Built into CIPART, SCOR and AGENT Project Costs	USAID ANR/ SCOR Project Manager USAID PRJ/DHVI CIPART Project Manager
3) NUMBER OF DEVELOPMENT PROJECTS JOINTLY IMPLEMENTED BY LOCAL GOVERNMENT AND COMMUNITY GROUPS/NGOS	Development Projects: Projects resulting from the establishment of a jointly administered development fund which will meet basic criteria concerning people's participation development priorities, environmental considerations and sustainability. UNIT: # of development projects	LG records and NGO records Project Data Base	Project Evaluations and Quarterly reports submitted by lead U.S. implementing P.V.O. under CIPART and SCOR and AGENT contractors	Annually	Built into CIPART, SCOR and AGENT project costs	USAID/PRJ/DHVI CIPART Project Manager:
Comments/Notes:						

USAID/SRI LANKA

RESULTS FRAMEWORK FOR BUILDING DEMOCRACY

27-Mar-96

RESULTS

Strategic Objective 3
Empowerment of People to Participate in Democracy T/F 7 yrs.

Percentage increase in expenditure by local govt
Percentage increase in people with access to legal services and information.*
Percentage increase in people who believe Local Government is responsive to their needs*

Increased Effectiveness of Local Inst.
Pradeshiya Sabhas

8 targeted NGOs achieving a defined rating.
45 targeted Local Governments achieving a defined rating.
885 community groups achieving a defined rating.*
73 jointly implemented development projects.

More Responsive and Responsible Media
University of Colombo

2 targeted television stations using multi-source reporting.
5 targeted news publications using multi-source reporting.
1 radio station using multi-source reporting.
Increase in percentage of citizens with information on national and local issues.*

Increased Effectiveness of Dispute Resolution
Mediation Boards/NGOs

Backlog cases in courts of appeal reduced to 6,000.*
275,000 people using mediation boards.*
Resolved mediation board cases increased to 65%.*

Improved Democratic Policy Reforms
USAID/NGOs

1. Guidelines estsblished for NGOs' role in development.
2. Participatory policies introduced within Local Government

Strengthened NGOs & citizens' capacities
USAID/NGOs/SLAVSC

1. Effective agents of economic advocacy: NGOs, farmers, microentrepreneurs, and labor groups.
2. Effective agents addressing problems of women, youth, victims of North & East conflict and HIV/AIDS victims.
3. Umbrella NGO groups which consolidate citizen's groups' input, amplify their concerns, facilitate resource transfers provide training programs, and disseminate information.

An Accountable Local Govt. System
USAID/Min. of Provincial Councils

1. Trained government officials in public administration and financial management.*
2. Identified development priorities, project planning and implementation.
3. Jointly administered fund established to finance development activities.
4. Increased expenditure by Local Govt.

Improved Media Reporting
USAID/TAF/Min. of Information

1. Strengthened media associations promoting professional media standards.
2. Increased professional journalists & editors.*
3. Improved university journalism degree programs thru faculty & curricula development.

Improved Administration of Justice
USAID/TAF/Min. of Justice

1. Computerized system established for tracking adjudication of legal cases.
2. Trained judges & lawyers.*
3. Expanded legal aid services and legal literacy.
4. Improved civic education programs in schools and universities.
5. HR institutions engaged in public dialogue with government through media.

RESOURCES

RESOURCE PACKAGE 1
CIPART/PVO CO-FI

	$'000		FTE
Bilateral DA	2800	US DH	2
Bilateral POP	300	US PSC	-
Regional Funds	275	FSN PSC	3
Global Funds	510		
HCC	500		
L. Currency	4000		

RESOURCE PACKAGE 2
CIPART/PVO CO-FI

	$'000		FTE
Bilateral DA	3500	US DH	2
Bilateral POP		US PSC	-
Regional Fun		FSN PSC	3
Global Funds	65		
HCC	500		
L. Currency	4000		

ASSUMPTIONS

1. GSL's policies will foster broad-based growth and socio-political stability.
2. There will be continuing efforts to resolve the conflict in the North & East.
3. GSL will demonstrate increasing committment to devolution of centralized authorities and resources.
4. GSL will increasingly support an independent media and judicial system.

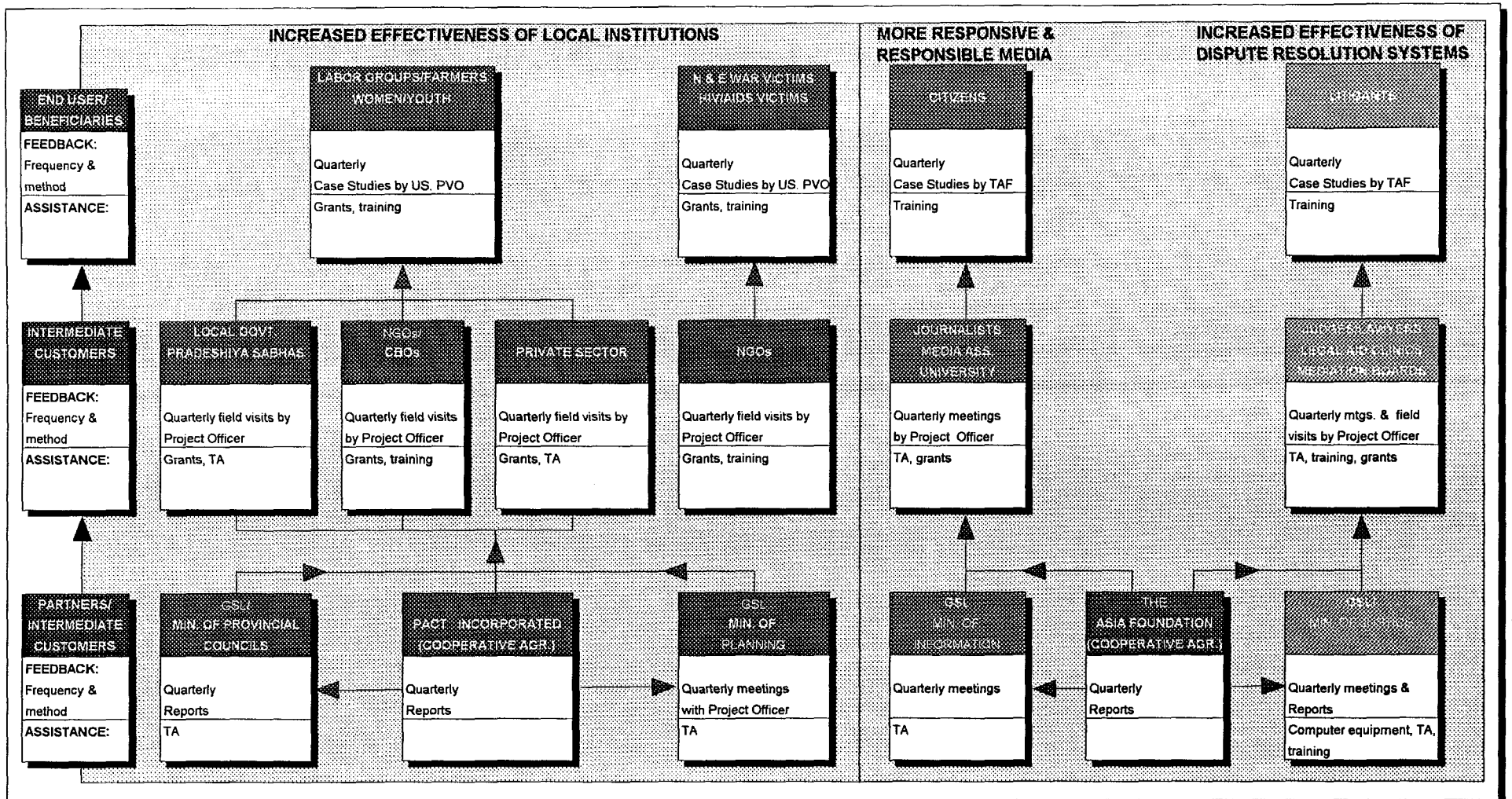
* Data will be Gender Dissaggregated

8/19

USAID/SRI LANKA

BUILDING DEMOCRACY - CUSTOMER SERVICE PLAN

VISION: To achieve the Democracy Team's objective of Greater Empowerment of People to Participate in Democracy



The Objective:
Greater empowerment of people to participate in Democracy is to be achieved through strengthening local government institutions, community based NGOs, legal systems and media.

The three specific results being pursued are:
1. Increased effectiveness of local insitutions
2. More responsive and responsible media
3. Increased effectiveness of dispute resolution systems

Providing Customer Service:
1. Decision on providing technical assistance, & selection of technical consultants will be made in close consultation with the customers.
2. Selection of equipment will be primarily guided by customer requirements and will meet customer satisfaction.
3. We will periodically meet/survey our customers to assess their expectations and determine their needs.
4. Workplans will be jointly reviewed by all customers and modified accordingly.
5. Customers will be treated with courtesy, respect & promptness.

Point of Contact in USAID/Sri Lanka for Customer Service issues:
1. Roslyn Waters
2. Thusitha Dharmawardena
3. Louis Kuhn
4. Rani Samuel
5. Shyamala Fernando
6. Allan Reed
7. Nishana Fernando

PERFORMANCE MONITORING PLAN FOR SO 3

Strategic Objective 3: GREATER EMPOWERMENT OF PEOPLE TO PARTICIPATE IN DEMOCRACY

PERFORMANCE INDICATOR	PRECISE DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	SPECIFIC SOURCE OF DATA	DETAILS OF DATA COLLECTION METHODS AND APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/OFFICE AND SUPPORTING ACTIVITIES
1) PERCENTAGE OF PEOPLE WITH ACCESS TO LEGAL SERVICES AND INFORMATION	Access to legal services: People whose pending case has been heard within the court system/mediation board Access to information: People who are satisfied with the print/electronic media as a primary source of information relevant to their needs	Court records, Min. of Justice records, interviews	National Sample Surveys	Every 2 years	Built into CIPART PROJECT	USAID/PRJ/DHVI CIPART Project Manager
Comments/Notes:						

USAID/SRI LANKA

CAPACITY BUILDING ACTIVITIES

20-Nov-96

Relevant NPI Focus	Activities	Project	Primary / Intermediate Partnerships
1 Small Business Partnerships	Increased effectiveness and scope of Field Business Centers	MED	International Science & Technology Institute/ Employment, Investment, Enterprise Development Division of MASL
2 Small Business Partnerships	Capacity building of Credit Associations	MED	International Science & Technology Institute
3 NGO Empowerment/Small Business Parnerships	Strengthening 20 Business chambers to support grassroot level & small & medium enterprises	PSPS	International Science & Technology Institute
4 NGO Empowerment/Small Business/ Local Governance	Quality improvement certification program in collaboration with a development bank and the Sri Lanka Standards Institute	TIPS	International Executive Service Corps.
5 NGO Empowerment	Urban community based resource management (waste management)	NAREP	The Asia Foundation (TAF)
6 NGO Empowerment	Coastal Resource Management	NAREP	University of Rhode Island
7 NGO Empowerment	Capacity building of Womens Organizations	PVO	Agromart
8 NGO Empowerment	Provide training & TA for improved credit programs of credit societies	PVO/MESA	Thrift & Credit Societies
9 NGO Empowerment	Human Rights awareness progams for community organizations, trade unions, women's orgainzations, farmers etc.	CIPART	TAF/ Lawyers for Human Rights & Development
10 NGO Empowerment	Increasing effectiveness of Mediation Boards	CIPART	TAF
11 NGO Empowerment	Legal aid and Literacy programs in villages	CIPART	Sarvodaya Legal Aid Services/TAF
12 NGO Empowerment	Structured apprenticeship for Journalism Degree Program	CIPART	University of Colombo Journalism Unit/TAF
13 NGO Empowerment/Local Governance	Public information & advocacy of privatization of SOEs	PSPS	Public Enterprise Reform Commission
14 NGO Empowerment/ Local Governance	Water & land resource management by resource user groups	SCOR	International Irrigation Management Institute
15 NGO Empowerment/ Local Governance	Municipal solid waste disposal practices	HIG/PPI	Municipal Governments
16 Local Governance/Policy	Civil education & promotion of privatization of municipal services	HIG/PPI	Municipal Governments
17 Local Governance	Public opinion surveys	CIPART	International Centre for Ethnic Studies/ TAF

NPI FINAL REPORT -- *USAID/Zambia*

SUMMARY

The NPI Learning Phase for USAID/Zambia (USAID/Z) was effectively curtailed to four months rather than six because we lost the Project Development Officer (and NPI/LEM Coordinator) position in mid-summer 1996, due to Agency downsizing.

A difficult working environment during the NPI Learning Phase--both in Washington and in Zambia--precluded the Mission from actively pursuing additional windows of opportunity. Although the Mission was already committed to doing more in the areas of NGO capacity building, networking, small enterprise development, and strengthening of Zambia's civic culture, the Agency's current budgetary constraints and earmarks practically foreclosed NPI efforts in the areas of natural resource management, agriculture and economic development (the "growth" sources in the economies of our host countries).

Despite these difficulties, the Mission's participation in the NPI Learning Phase did help focus attention on the positive contributions that the NPI conceptual framework can make on development in Zambia.

I. INTRODUCTION

USAID/Z's goal in joining the NPI Learning Phase was two-fold: (i) Zambia's struggle to consolidate a transition to democracy after 27 years of State Socialism; [supports the Mission's current Strategic Plan]; this complements the NPI's focus on civil society; and (2) USAID/Z recognized the need to carry Zambia's development beyond the current foreign assistance framework. Our proposal planned to build capacity and expand linkages among local institutions in the public, private and voluntary sectors of Zambian society.

USAID/Z recognized the need to carry Zambia's development beyond the current foreign assistance framework. Our proposal planned to build capacity and expand linkages among local institutions in the public, private and voluntary sectors of Zambian society.

It was hoped that, even though initial activities would focus on specific development sectors (health, private industry, rural Zambia, civic culture), innovative programming would give Zambians the ability to move into the next century on a firmer socioeconomic and political foundation.

The Mission planned to engage a wide variety of existing and new development partners in the Learning Phase, and closely track and monitor this process to see if NPI/LEM experience could become a source of knowledge for other countries making similar transitions.

A key assumption was that in many transitions, the nongovernmental parts of civil society were being held back by a lack of capacity, a poor enabling environment, and weak linkages/partnerships with other potential allies.

USAID/Z, by concentrating on these constraints, would be able to help build the voice of citizens in public affairs, help build the social capital of Zambia, and thereby improve the country's ability to move beyond reliance on development assistance. These hypotheses were to be checked against the reality of Zambia.

II. COUNTRY CONTEXT - FOSTERING PARTNERSHIPS IN ZAMBIA

A. Starting Point

The 1991 elections, a return to democracy and a bold economic reform program raised hopes that the country's enormous development potential could be unleashed. However, a lack of experience, work capacity, entrenched statist beliefs and other hangovers from the past, occasionally led to mixed signals about how Zambia could effectively engage a multiplicity of institutions and resources in realizing its potential.

There are both positive and negative factors in Zambia's enabling environment for building capacity in the NPI focus areas of NGO Empowerment, Small Business Development and Local Democratic Governance. These were thought to make Zambia a good laboratory for testing the principles and values of NPI.

1. NGOs

A common criticism is that Zambia does not have nongovernmental organizations (NGOs), but rather "nongovernmental individuals," meaning a weak-to-nonexistent supporting constituency. The interest and ability of grassroots organizations to recruit, retain and benefit from volunteerism is underdeveloped and the dependency of Zambian NGOs on government and outside donor assistance is excessive.

Although many Zambian NGOs may lack broad-based constituent membership, citizens rely to a significant degree on these organizations, particularly for social services. As an example, it is variously reported that between 20-40 percent of the population secure curative and preventive health care through NGOs, particularly from religious missions. Significant government-NGO coordination of service delivery has brought about this circumstance. Problems arise, however, when NGOs seek to move beyond government-sanctioned service delivery into policy advocacy. Zambia's experience with open policy dialogue is limited. Targeted, results-oriented examples were thought to be needed to help demonstrate the successes and synergies that can emerge from authentic partnership.

2. Small Business

Since the 1991 election, the enabling environment for private enterprise development in Zambia has improved immensely. For example, privatization of state-controlled productive capacity, has led to more than 80% of the original parastatal companies being sold or closed by the end of 1996. In 1992, the private sector had no role in crop marketing, in 1994, the private sector share was 100%. Statistical records of the impact of this change are weak. There is significant anecdotal evidence which suggests that small businesses have captured a dominant share of emerging opportunities (good examples are private transport and grain mills), as bloated parastatals are liquidated and broken up to create more marketable packages for successor financial investment. Moreover, the space for the informal sector more generally has gotten much wider.

3. Local Democratic Governance

Local Government in Zambia is organized into 61 Districts, among which 10 are classified as urban districts. The administrative unit is the Local District Council (the LC). At present, one of the most strategically significant functions within the system of local councils is the delivery and disposal of community water supplies. A bill is presently before Parliament to regulate water and sanitation services in a manner which removes from the LC previous discretionary administrative and financial powers over this function. Following the anticipated passage of the law, LCs will retain control over only three remaining functions:

-- the allocation of state lands, and regulation of land and building uses for environmental control and urban development purposes;

-- the environmental sanitation services and preventive health education functions;

-- the maintenance of road access and associated drainage structures.

B. Special Challenges/Opportunities/Constraints

1. NGOs

During the run-up to the recent elections, ruling party spokespersons and prominent politicians criticized the activities of certain churches and NGOs as bordering on sedition, calling for more "effective control" of NGOs and a review of their tax-exempt status. Much of this criticism can be traced to the oversensitivities of a government facing elections under controversial constitutional amendments, but there are also continued misunderstandings about the complementary roles of government and NGOs. Moreover, real barriers to the improved stature of NGOs in Zambia are embedded in the history and behavior of these organizations. The challenge is to encourage more productive cooperation with government and with

other institutions and entities in the definition and implementation of sustainable development policies and programs in Zambia.

2. Small Business

While there are no explicit government policies to encourage small business, (i.e., credit, tax incentives), there are no barriers to enter the market, other than the will to innovate and become an entrepreneur. There are however, more general economic barriers; in part a by-product of the structural adjustment program. Credit is excessively costly. The banking industry is unable to service small business credit applications from new and untested small business entrepreneurs. However, the playing field for small business is more level than it has been for decades.

Although the commitment to economic reform remains strong, political difficulties often arise from the negative socioeconomic impacts that result from certain reform policies and their lag effects. The continued lack of improvements in living standards challenges popular expectations about the benefits of economic liberalization and tests government's will to stay the course. We believe that continued efforts to improve the business enabling environment and targeted programs to help small and medium size enterprises will help to sustain the reform program.

3. Local Democratic Governance

Over the past five years a severe attack has been made on the resource base of local government. Revenue options have been closed and resources have been diverted toward central government or autonomous agency uses. Only a few elements of the assigned role of government remain within the resource capabilities of local councils. A key function of local government as it relates to the USAID portfolio in Zambia is the responsibility for control of noxious environmental contributors (rats, mosquitoes, rubbish, and drainage) to the very high incidence of chronic and epidemiologic disease.

Knowledgeable authorities point to the discrepancy in rhetoric coming from central government over issues of devolution of power to local government as a means to combat chronic and serious issues of social welfare, and the record of action. Local government issues are driven by central government initiatives. There are almost no independent institutions in Zambia which take up the cause of local government reform. Civic society is only weakly represented in this area by Rate Payers Associations, churches and ward committees held over from the previous political regime. Professional and social organizations have become nearly moribund as a result of long-term dependency on government support, followed by the withdrawal of that support.

III. MISSION ACTIONS AND INITIATIVES DURING THE LEARNING PHASE

A. General Description of NPI Activities Undertaken

As part of the Learning Phase for USAID/Zambia, the following activities were undertaken.

- The Mission's NPI Learning Team organized itself and produced its charter, the Civic Society/Public Sector Partnership, which stated team goals, expected results, expected activities the team would undertake, resources available to the team, team make-up and management, and a work schedule. (March, 1996).

- The NPI Learning Team then produced a two-page briefing paper, New Partnerships Initiative: What is it? which served to familiarize the Mission with NPI: objectives, focus, methods, the main NPI hypotheses, USAID/Z's aim as a Leading Edge Mission, Mission resources available, the WID component of the NPI, and identified the kinds of organizations the Mission would be working with during the Learning Phase. (March, 1996).

- The Team produced an organizational paper USAID/Zambia -- the "Leading Edge Mission" which linked proposed Learning Phase activities with the Mission's Strategy and with the reengineered activity design, monitoring and evaluation system, inclusive of all relevant participants, to bring about the ultimate results. Although the initial focus of the Learning Phase would be on Health and Democratic Governance, activities affecting the entire Mission portfolio were anticipated by the close of the Learning Phase. (April, 1996).

- The Team then produced a Typology of Organizations with which it proposed to work during the Learning Phase in "The Government Sector," "The Mercantile Sector," "Civic Society," and "Linkage Actors". Further, three "troublesome concepts" regarding civil society organizations, which were philosophical rather than organizational/practical in nature, were identified. (May, 1996).

- The Team then produced a concept paper, A Local Government Partnership in Zambia, which highlighted the dire financial circumstances of local government in Zambia, identified professional and stakeholder NGO groups which might take up the cudgels for local government reform, explored local government reform, and explored local financing options in the provision of water and sewerage services. Nothing much appears to have come from this concept paper because it failed to identify any realistic options for addressing the erosion of the local councils' financial resource base. (June, 1996).

- Technical assistance in the form of a several week visit by two members of the USAID/Washington-based NPI Learning Team (Robert Young, AFR/SD and

Joshua Ginsberg, PPC/DP) contributed greatly to a flurry of NPI-related activities in June and July 1996.

- The Learning Team sought to address the current lack of civic dialogue in Zambia. In response it drafted a concept paper entitled Center for Civic Dialogue; an NGO Consultative Forum Network, noting that "there is broad agreement within Zambia on the need to expose major national issues and policies to informed public debate, so that the public can have a greater sense of participation in the policymaking process". The idea was to have the CCD organized as a "contractual network" for the already existing NGO Consultative Forum (NGOCF), to conduct research, recruit and engage in constructive dialogue opinion leaders, politicians, business executives, professionals and academics. Nothing seems to have resulted from this proposal, for lack of follow-up in ensuing months. (June, 1996).

- Next, the Team pursued the creation and operation of a Zambian Civic Service Organizations Coalition (Z-CSOC) in an effort to increase NGOs' independence and improve their prospects for sustainability by mobilizing domestic resources. They produced a concept paper entitled Z-CSOC: A Civic Service Coalition Program, which laid out preliminary findings, concepts, and program structure. (June, 1996).

- The Team then focused on the SME sector and proposed to develop the concept of a Kenyan business sector mentoring program, the Kenya Management Assistance Program (K-MAP) as a model for Z-MAP. As proposed, Z-MAP would make use of executives and technicians in Zambian business to provide technical and managerial assistance to SMEs; an effort to be initiated through the existing IESC program in Zambia. The Team incorporated its analyses and recommendations in Z-MAP: A Zambian Management Assistance Program. Z-MAP has been made part of the Mission's combined Human Resources Development Assistance project and IESC's Private Sector Support Project, co-located at and implemented through the Zambian Association of Chambers of Commerce and Industry (ZACCI). (July, 1996).

- The Learning Team prepared a Mid-Course Update report which listed the Team's work through July 1996; progress to that date; identified three possible/viable approaches under the NPI umbrella which the Mission was already pursuing before we became an NPI/LEM; contained a matrix which showed the intended impact on the Mission's portfolio; and explained how each of the approaches could share important characteristics, as each could be undertaken by two or more civil society organizations, as separate but linked contract activities under the umbrella of the NGO Consultative Forum. (July, 1996).

- In its final paper, the Learning Team described in a case study a CARE-sponsored initiative for a small-scale savings and loan program, based again on a successful Kenyan model, K-REP. The Zambia-CARE Credit Program

paper outlines how CARE's Peri-Urban Loan for Small Enterprises (PULSE) savings and credit program works. CARE-PULSE is a charter member of the Micro-Bankers Trust (M-BT), an umbrella organization of 8 credit programs, which also include the Catholic Secretariat Development Commission, Country Services Ltd; Credit Management Services Ltd.-Kabwe. Progress Finance Ltd., Women's Finance Trust of Zambia, World Vision - Zambia, and the YWCA. (August, 1996).

- The Learning Team also produced an NPI-Zambia Results Framework (attached as Annex 1).

- Three related documents were prepared by Private Agencies Cooperating Together (PACT): "Greater Self Reliance as an NPI Activity for USAID Zambia;" "The Zambian Third Sector--Towards Typology of the Voluntary Sector in Zambia;" and "Depending on Ourselves: Zambian Experience in Domestic Fund Mobilization."

- Finally, an interesting "South-South" NGO relationship has been developing in the health sector of USAID/Zambia's portfolio by linking Zambian health NGOs with PROCOSI in Bolivia. PROCOSI is a network of 27 NGOs which work in the areas of child immunization, reproductive health and community sanitation. The membership consists of 14 local NGOs and ten international NGOs, such as CARE International and PCI. The idea is to create a similar network in Zambia--a number of Zambians have been sponsored by the USAID Mission to visit Bolivia and become familiar with the concept and how it operates.

**\NPI-Z initiatives: _____ USAID/Z impacts **	**Center for Civic Dialogue** (CCD): forum for discussion and research on reform with NGOCF, business, academia, media, government	**Civic Service Organization Coalitions** (CSOC): planning/capacity building/cofunding for service linkage within NGOCF and several donors	**Zambia Management Assistance Program** (Z-MAP): local technical advice and training to link NGOCF, corporate, small business
Enabling Environment	Provides advocacy in support/elaboration of policy change and issues which affect all sectors	Service groups increase constituency identity/ support as representatives of distinct publics	Volunteerism reduces/ controls cost for training and technical assistance for SMEs
Society to Society Links	Advocacy, formerly undertaken separately by legal, economic and business groups, is broader/stronger	U.S. philanthropic funding support and greater U.S. advocacy for international development cooperation	Advocates for a sound business environment and sub-contracting between big and small firms
Inter-sectoral Links	Research and advocacy in D/G has impact for agribusiness and private sector	Health, water and agriculture networks share resources to increase impact	Education, services and industry sectors achieve a degree of support sustainability
Capacity Building	Deepens and strengthens peer review to improve quality control and added prestige for dialogue with government and donors	NGOCF-civic service groups jointly plan, allocate funds, monitor, report and build local prestige and donor confidence	Improves the efficiency of small/ med. scale business, thereby helping employ the unemployed

IV. ABILITY TO LEVERAGE RESOURCES/SUPPORT FROM OTHER DONORS AND DEVELOPMENT PARTNERS

Discussions were held with the NGO office of NORAD in Lusaka to explore the approach used by that donor to justify involving Norwegian domestic service organizations. Adoption of these oversight procedures by USAID promises to generate cost savings and improve the prestige, sense of self direction and posture of PVOs contributing their own funds overseas. The World Bank has adopted conditionality in new assistance awards which favors an NGO role in development assistance. USAID participated in discussions within NGOCF concerning definition of its role with government.

For the SME development activity under ZACCI (with HRDA and IESC) we leveraged funds from the German Friedrich Ebert Foundation.

V. CASE STUDIES OF INNOVATIVE APPROACHES/ACTIVITIES

Partnership - Z-MAP: ZAMBIAN MANAGEMENT ASSISTANCE PROGRAM

Activity Outline: As the NPI team held discussions with the Zambian community, it became clear that there is considerable support for further increasing the role of Zambians in the provision of technical services to small enterprises. Done properly, this would have the additional attractive feature of improving the program's efficiency. One model for doing this is that of K-MAP, the Kenyan Management Assistance Program.

K-MAP is a Kenyan domestically focused "International Executive Service Corps" (IESC), based on the use of volunteered time for advisory services by Kenyans with known technical expertise. There are substantial advantages to indigenous programs such as K-MAP, which is a separate but close collaborator, of IESC:

1) Costs are significantly reduced by the elimination of the need to pay for costly international travel and per diem for the volunteer expert (and often for his/her spouse).

2) Local businessmen are familiar with both the cultural and business environments in a way in which expatriate advisors may not be.

3) Such a program, being locally developed and, potentially, locally funded to some level, has a greater chance to achieve sustainability.

(continued)

Minimal fees would be charged for Z-MAP services, if unpaired with an IESC volunteer, the initial stages of the program. In pursuit of financial self-sufficiency, and in proportion to the capability of the firms serviced, full IESC-scale fees should be charged for Z-MAP assistance.

Z-MAP will make use of executives and technicians in Zambian businesses to provide technical assistance to primary small and medium sized enterprises (SMEs). Z-MAP can be initiated through the existing program of the IESC in Zambia, with only a minor adjustment involving recruitment of executive volunteers currently employed in the Zambian business community. The activity will follow the established fee system of IESC in-country. It will serve as a pilot of the feasibility for establishing an indigenous IESC, and to encourage the participating corporations to make contributions in support of such an indigenous organization.

Links between Z-MAP and the Existing USAID/Zambia Program

Privatization and Small Business: The Z-MAP concept has a direct connection with the Mission's Private Sector Strategic Objective as a means to sustain shop-floor training, technical assistance, and advocacy, following the completion of current USAID investments in the sector.

Health: Z-MAP technical support may be provided to health-oriented NGOs, businesses, and franchises to improve their service delivery and operating efficiency.

Democracy and Governance: Z-MAP unites personnel with experience in larger businesses to the needs of small business operators. This offers the opportunity that Z-MAP may add established and recognized voices to issues which constrain small and medium enterprises and help find solutions to those constraining issues. Z-MAP can serve as an advocate for better policy and practice on the part of government and the business community for the wider improvement of economic circumstances in Zambia.

Z-MAP is not yet active, but in 1997 will become part of an ongoing set of activities in support of SME development. No lessons learned thus far.

Potential Pitfalls

Lack of Expertise: Zambia is at a disadvantage when compared to K-MAP's experience in that the Zambian economy has not generated as wide a skills base from which a Z-MAP might draw. Thus, when a Z-MAP will be established, it will be necessary for Z-MAP to "Partner" with IESC (and/or perhaps its equivalent in South Africa) for the provision of those skills which are not available from volunteers within Zambia. IESC has indicated that not only is it willing to draw on its own base of U.S. expertise, but that is now networking through the Washington-based "Senior Voluntary Advisory Services" with similar volunteer services coming from other developed economies, including Austria, Australia, France, Germany, Italy, the Netherlands, and the UK.

(continued)

Concern for Confidentiality and Trade Secrets: The problem of trust is complicated by business/ethnic tensions between black and east Asian communities. The business community is small. Careful controls must be used to assure confidentiality of business information among local volunteers and participating small businesses, and to ensure ethical behavior and confidentiality.

Contact Person: Susan Gale, USAID/Zambia

Partnership/Capacity Building - A Civil Service Organization Coalition Program

Activity Outline: The NPI team, in its discussion with the Zambian community, learned about a vital program of coalition service delivery which goes back 17-18 years, under the aegis of the Rotary International Foundation (RI), the Norwegian Assistance Program (NORAD) and the cooperation of the Zambian Department of Water Affairs. The program has made use of at least US$500,000 of NORAD funds, US$350,000 of RI funding, and US$300,000-350,000 of Rotary Club funds generated primarily in Norway, but also (cash and in-kind volunteer services) in Zambia.

The example references the activities of just two Zambian organizations over an 18 year period among several dozen which exist in the country. The same local organizations and others in Zambia have simultaneously been pursuing similar activities in different development areas of concern. The Norwegian model is distinct in character to similar long-term support undertaken by USAID in Zambia with such PVO organizations as AFRICARE.

Once granted, Norway's development assistance agency NORAD fully entrusts the local and international civic service organization with monitoring and accounting for the impact of the program. The NORAD model provides an opportunity to elaborate and craft procedural improvements in USAID processes to increase efficiency, to facilitate resource leveraging opportunities and to share grassroots motivations among people.

This civic organization activity has the potential to provide necessary support for USAID/Z's health portfolio, focussed on issues of the child preventive and primary health care, family planning and HIV/AIDS control. These are programs of health professionals which are managed and supported through the Ministry of Health.

Links between Z-CSOC and the Existing USAID/Zambia Program

This activity will be led initially by work-in-progress through private primary health and family planning networks organized from the membership of Zambia's NGO Consultative Forum. The NGO Forum itself, and other NGO networks drawn from it, may undertake program development in other sectors. This coalition building will have at least three objectives: first, to mobilize resources for program development; second, to provide training in planning, program management, and self-sustainability for its members; and third, to provide an effective medium for advocacy regarding issues of concern to the NGOs. Membership in the coalition may be from a broad spectrum of stakeholders, such as NGOCF's membership, which includes health, small enterprise, family life, gender, scouting, legal, and environmental concerns.

There are two activities in this program. The first uses an existing mechanism developed through civic service club activities to improve environmental sanitation and water supply in connection with local government programs to upgrade health clinics in villages and suburban communities. This program will make use of no new money in Zambia, but explore ways to creatively use a fund of (Norwegian) US$150,000 which is already on deposit for civic service club activities. The second activity is a proposal to work with NGOCF to train/educate members about alternative resource mobilization and funding mechanisms.

Potential Pitfalls

The driving force behind this initiative was USAID/Zambia's former PDO (and NPI coordinator), whose position was unfortunately eliminated as a result of Agency downsizing. Since his departure, the momentum for this initiative has slowed down considerably and may be lost altogether.

Contact Person: Paul Hartenberger, USAID/Zambia

VI. LESSONS LEARNED

- The Learning Phase of six months was very short for us in order to generate much in the way of "lessons learned," in that it took some time for the NPI Learning Team to get organized and become operational (April); decide on which organizations to focus on (May) and actually carry out learning-type activities (June-August). The NPI/LEM coordinator's position was eliminated because of Agency downsizing and he was effectively lost to this exercise in mid-August. USAID/Z's NPI Learning Phase was therefore limited to only four months.

- NPI was not well understood and therefore not well received by Mission management, because it seemed to be an additional organizational burden and time consuming activity calling for a "special

focus and reporting element" for many things the Mission was already doing as part of its ongoing program elements. The additional NPI workload at a critical time of Agency personnel downsizing, without an associated workload reduction, was unmanageable.

- If additional resources had been attached to the Initiative it might have been more of an incentive than it turned out to be. Its value-added attribution was generally perceived as being low since the Mission was already committed doing work in the areas of NGO capacity building, NGO networking, small enterprise development and strengthening of Zambia's civic culture. NPI did help focus the Mission's attention on the work it does in these areas, however, and despite the extra workload and negative feelings, it is clear that improvements in the Mission's programs have emerged.

- Realistically, the Agency's current budgetary constraints and earmarks practically foreclose NPI efforts in the natural resource management, agriculture and economic development sectors (the "growth" sources in the economies of our host countries).

- The enabling environment for Zambian NGOs with a civic culture focus was negatively affected during the controversial constitutional amendment processes and an acrimonious run-up to the November 1996 presidential and national elections. There were no windows of opportunity to explore in this sector during this difficult political period in Zambia.

- "R4" considerations for Zambia may have been behind BHR/PVC's decision not to fund an integrated village health proposal from World Vision, which might have been incorporated into the Z-CSOC initiative. Other NPI-related activities--already on the front burner before we became an LEM--are reasonably well protected:

  - Z-CSOC for the Health Network has earmarked money from the PHN portfolio.

  - Z-CSOC for a water and environmental sanitation program within the PHN portfolio is funded from money already on hand in Oslo, Norway.

  - Z-MAP funding is reasonably secure from the coming 2 years within the planned grant budget for IESC, and the HRDA project with ZACCI.

- Financial sustainability has been and continues to be a major focus with our SME development activities. We have worked out a projection which would make these support activities self-sustaining within ZACCI over a three-year period through cross-subsidizing training, consultancies and hands-on technical advisory services at larger companies,

paying "full-costs-plus," for the benefit of smaller companies unable to afford to pay full costs.

- The proposed NPI activities which the USAID/Zambia NPI/LEM team identified have an acknowledged urban bias. Based on our limited NPI/LEM experience to date, it almost seems that agriculture and rural activities do not feature prominently in economic growth, or that rural people's lives will not be affected by macroeconomic or sectoral policy change. Of course this is inaccurate. The LEM team traveled to rural areas and worked with rural groups, but the time frame for the Learning Phase was too short to develop rural-based activity proposals in the case of Zambia.

- A timely visit by two Washington-based members of the Learning Team provided much needed and welcomed technical assistance that helped develop and refine many of the achievements made by the Mission during the Learning Phase. With unmanageable workloads throughout the Agency, assistance such as this is necessary to accomplish tasks when they are additional to the already overwhelming level of work.

VII. CONCLUSIONS

A. Value Added of NPI

Because of the many ongoing activities already supported by USAID/Z, with the types of development partners identified under NPI, it is somewhat difficult to ascribe a great deal of value-added during the curtailed four months' Learning Phase of NPI. A difficult working environment--both in Washington and in Zambia--precluded the Mission from actively pursuing additional windows of opportunity. Yet even under these circumstances, the richness of the case studies and lessons contained in this report demonstrate that participation in NPI has not been a negative experience. The attention focused on NPI topics and issues has generated new awareness and understanding within the Mission and among its partners.

B. Next Steps

Because of USAID budgetary constraints, as well as policy differences between the USG and the GRZ over constitutional amendment and elections-related issues, certain elements of our current portfolio may be at risk. Further, the Mission will be designing a new 1998-2002 CPSP for Zambia over the next few months. We cannot at this time prejudge where we will be heading and with what kinds of resources.

- USAID has approved the Zambia Association Chambers of Commerce and Industry's (ZACCI) proposal to assume management for the Mission's small enterprise training program, together with the International Executive Service Corps, with the view of making it self-sustaining in three years.

▸ USAID has signed an MOU with ZACCI for the IESC to recruit and make use of Zambian executive volunteers, leading toward an independent Z-MAP program for the benefit of USAID's HRDA program with ZACCI.

▸ USAID will continue to explore with the Zambian NGO Consultative Forum the Z-CSOC "network" concept as part of their proposals to donors for support of the NGOCF Secretariat.

▸ USAID/W should explore NORAD's innovative contractual instruments, which accept civil service organizations' own planning and monitoring. The contractual approach may be used in a water and environmental sanitation support activity associated with Mission's PHN and Agriculture Strategic Objectives.

▸ USAID/W should explore U.S. civil society support opportunities to co-fund D/G dialogue and research initiatives, as well as the Z-MAP effort with the Senior Volunteer Advisory Service in Washington, D.C., on behalf of the Zambia program.

▸ Though much of the program development for NPI will take place in the concerned countries, Washington can make good use of its apportioned special technical assistance in Legal Affairs and the Contracts office to examine instruments which add to the prestige of civil society partners. OMB Circular A-76, which distinguishes the governmental role from acceptable private implementing agent roles, is a place to start this examination; the Operational Program Grant mechanisms of the Agency represent another starting point.

▸ It is unfortunate that the USAID PVO certification of the Lions International organization has lapsed, despite active development programs by Lions volunteers in Zambia and around the world. The lapse implies structural deficiencies in our program. The Learning Team should review these relationships. It should identify PVO agents which can further the exploration of opportunities in the private sector in the pursuit of a private civil society-led program of development cooperation.

C. Mission's Role as an NPI Resource/Mentor

With the "downsizing" loss of two USDH positions (one being the NPI coordinator) and our senior-most FSN, the Mission has lost its capacity to be a NPI resource to other Missions. The PHN and D/G offices may be able to play mentor roles to a limited extent.

ANNEX 1

PROPOSED NPI/ZAMBIA RESULTS FRAMEWORK

Focal Concern: What is the value added? Strengthened services (including dialogue and advocacy) and resource mobilization for the legal, governance and economic dimensions of our program.

Result: The enabling environment of economic policy, legal-regulatory-judicial conditions and democratic governance is improved through a strengthened civil society and improved linkages among USAID's local and national development partners.

Sub-result: At the local level this is accomplished through increased efficiency, accountability and transparency of NGOs, small businesses and democratic local government.

Sub-result: At the national level this is accomplished by a strengthened legal-regulatory and judicial system (including human rights), democratic governance and sound socio-economic policies.

The NPI/Z program to incorporate these Results into the Mission's portfolio comprises five steps:

1) Assessment of the NPI Results objectives in the Zambia context;

2) Identification of priorities for early achievement in:
   -- the Health sector, and
   -- the small and medium business enterprise area;

3) Examine the constraints and opportunities and potential partnerships in both these activity areas (institutional capacity is a constraint);

4) Examine approaches to achieve results through advocacy and direct assistance to institutions;

5) Craft a Results Framework and Results Package which ties these to Mission activities and efforts of other institutions, donors and the government.

NEW PARTNERSHIPS INITIATIVE-ZAMBIA

RESULTS FRAMEWORK

Goal: A robust civil society resulting in sustainable development

Subgoal A: The national enabling environment is substantially more conducive to development.

Obj. A.1: The legal environment is substantially more conducive to sustainable development.

Measurement indicators:

- Legislature actually provides serious work on improving the commercial law code begins.
- Resources are mobilized for the Law Development Commission to begin sustained in-depth work on priority topics.

Obj.A.2: The instutions of democracy and governance are more responsive to citizen interests.

Measurement indicators:

- true multiparty democracy returns with active opposition and peaceful dialogue on issues.
- local governments are provided with their own tax or revenue bases adequate to perform their basic responsibilities.
- a center for civic dialogue is established that bolsters the breadth of and media attention to legal and socio-economic reforms.

Obj.A.3: Further reform of socio-economic policies lends increased impetus to market-oriented economic growth.

Measurement indicators:

- further reform of socio-economic reforms are achieved, as reflected in progress with respect to ZCCM, the budget, revenue mobilization, and improved management of the foreign exchange and financial systems.
- the scale of the survivalist portion of the micro-enterprise sector begins to shrink.
- employment in enterprises with 5 or more workers grows more rapidly than the rate of the labor force.
- non-traditional exports increase.
- economic growth is more than 2% greater than the rate of population growth.

Subgoal B: Local instutions are significantly strengthened.

Obj.B.1: NGO institutional infrastructure is improved and raises NGOs to a higher level of self-sustainable efficiency.

Measurement indicators:

- A reasonable definition of NGOs is developed through NGOCF dialogue with government.
- NGOCF is formally developed and mobilizes significant resources for its own provision of services to its membership.
- NGOCF begins to become an effective voice for its members concerns through dialogue in both the media and the halls of government.

Obj. B. 2 Small enterprises increasingly prosper in an improved enabling environment and increased access to training services.

Measurement indicators:

- Z-MAP begins to take place as an increasingly domesticized IESC.
- Z-MAP begins to provide advisory/training services to small and medium-sized enterprises.
- Z-MAP begins to policy advocacy with GRZ.
- incomes begin to increase in enterprises with five or more employees.

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NPI PARTNER MISSION

FINAL REPORTS

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NPI FINAL REPORT -- *USAID/Ecuador*

I. INTRODUCTION

During the past two decades, Ecuador has developed and/or supported a host of NGOs dedicated to addressing development problems: think tanks analyzing social and economic issues, environmental organizations for both green and brown problems, indigenous organizations, women's rights groups, financial institutions serving microenterprises, a secondary mortgage institution, judicial reform organizations, PVOs working on minor's rights, and NGOs delivering family planning and primary health services. At the same time, the capacity of the Government of Ecuador (GOE) to deliver critical social services (health, education, social security, and housing) has faltered. Ecuador needs to utilize NGOs to take up the slack.

Given the continuing weakness of central ministries and the lack of coordination among them, strengthening democratic local government is even more essential for Ecuador now. USAID/Ecuador and RHUDO/SA have long supported partnerships with NGOs and the decentralization of authority to municipalities. To this end, USAID and RHUDO have moved ahead with assistance activities to enhance the capacity of local government and NGOs to deliver health services, manage water systems, collect solid waste, reduce water and air pollution, and expand the role of women in local government. Ecuadorians more and more are realizing that local government will have to play a larger role in the solution of their most pressing problems.

II. COUNTRY CONTEXT - FOSTERING PARTNERSHIPS IN ECUADOR

The challenge for Ecuador for the remainder of this decade is to alleviate pervasive poverty, which affects about 35% of the population. Ecuador remains one of the least developed countries in South America. Despite some improvement in economic growth (there was a modest growth in GDP during the period 1990-95, after the recession of the 1980s) and in opening the economy, Ecuador must strengthen social and economic policies to improve the quality of life for the vast majority of the population. Per capita GDP growth has averaged about one percent since 1990. Real wages are still 23% below 1986 levels, and income distribution is one of the worst in the Andean Region. These problems are compounded by a high population growth rate of 2.3%, the highest urbanization rate in South America, poor quality of basic education, and poor health conditions.

Ecuador's health statistics are worse than those of most middle-income Latin American countries. Lack of safe water and sanitation, the prevalence of infectious and communicable diseases, and malnutrition are the most common causes of child death in Ecuador. The prevalence of chronic malnutrition among children under five is 55%. Large proportions of women still do not have access to adequate pre- and post-natal care. Democratic and judicial institutions remain fragile and need to

become more effective in dealing with some of the country's most critical problems. Ecuador's growing environmental degradation has attracted international attention and points to the need for a coherent strategy to deal effectively with this problem.

In response to the above, USAID is pursuing four Agency Strategic Goals in Ecuador: economic growth, family planning and health, democracy and environment. USAID's program consists of a highly integrated approach for helping Ecuador achieve sustainable development. Accordingly, activities which encourage broad-based economic growth also include major emphasis on social and democratic policy reforms, microenterprise development, and productive activities for low-income groups. Activities with NGOs focusing on basic health and environmental protection support sustainable economic growth by including efforts to provide greater economic opportunities to the poor. There is a strong inter-relationship between family planning and health activities and USAID's economic growth and democracy objectives. Activities to increase access to the justice system for individuals and groups concerned with the long-term sustainability of their environment (including the training of paralegals and introduction of alternative dispute resolution mechanisms) are essential to achieving the results related to protecting the environment.

Modest U.S. assistance has leveraged large financial support for Ecuador from the World Bank and the IDB, and enabled civil society, as represented by selected NGOs, to implement their programs in strengthening democracy and in promoting sound economic, social and environmental reforms.

SO 1: Increase sustainable economic growth for a broad base of the population - USAID assistance is being provided to expand opportunities and participation by low-income groups in a growing market economy. This is being accomplished through these activities: increasing access to financial services by microentrepreneurs; increasing access by low-income groups to housing solutions; and increasing opportunities for low-income groups to receive donor financing for productive activities and social infrastructure. In addition, USAID efforts are also directed towards promoting policies which will increase the competitiveness of the economy. Specifically, these reforms are helping Ecuador to initiate social reforms and deepen economic reforms. The delivery of this assistance is through greater use of NGOs to advocate policy change and deliver basic services. Moreover, partner NGOs are working on building consensus for reform by educating Ecuador's leaders through studies, seminars, and conferences, and through advocacy of reform legislation.

SO 2: Reduce levels of mortality and fertility to levels which are commensurate with sustainable development - USAID assistance increases the quality, access, and sustainability of family planning services in Ecuador. Activities include: research and training; social marketing, communications, and awareness building; and alternative approaches to increase cost recovery and financial sustainability. At present, USAID is directing its efforts towards improving the policy environment for health reform and increasing the provision of primary health care services by NGOs. As with other Strategic Objectives, USAID catalyzes other donor

support for policy reforms such as decentralization, targeting of benefits, and increasing private sector provision of services.

SO 3: Improved responsiveness of selected democratic institutions with greater citizen participation - USAID has selected the justice sector as one in which democratic institutions can be strengthened and where limited resources can make a difference and lead to major reform while increasing other donor assistance. USAID assistance, channeled primarily through NGOs, focuses on attainment of results in five key areas: private sector constituencies and coalitions promoting needed reforms; improved efficacy of selected laws; increased access to the justice system by disadvantaged and minority groups; strengthened legal system; and enhanced government capacity to combat corruption.

SO 4: Promote the sustainable use of natural resources, the conservation of biological biodiversity, and the control of pollution - USAID concentrates its environmental activities on improving natural resource management, conserving biodiversity, improving urban environment management, and reducing pollution. USAID has supported innovative environmental management strategies with four indigenous groups, whose people inhabit Amazonian and coastal regions of Ecuador. In addition, USAID has worked extensively with municipalities to improve the provision of urban environmental services and strengthen local environmental NGOs.

III. MISSION ACTIVITIES DURING THE LEARNING PHASE

A. NGO Empowerment

1. Enabling Environment for NGO Empowerment

- SO 2 (FP/Health): Much of what is said about FE is also true of CEPAR, another local USAID NGO partner. They have been instrumental in forging links with government, (national, provincial and canton level), the private sector, other NGOs, and universities to undertake policy dialogue and reform in the health sector. Specifically, they have partnered with the Pan American Health Organization to establish provincial health reform committees and initiatives in Azuay and Loja Provinces. They have also established municipal reform efforts in

> • SO 1 (Growth): Fundacion Ecuador (FE) is Ecuador's premier "think tank" led by private sector leaders. It is collaborating with grassroots based NGOs, chambers (commerce, production, industry, small industry, etc.) and creating linkages with governmental agencies to foster an enabling environment by undertaking policy dialogue with the highest levels of the GOE in both the social and economic sectors to reform the legal, regulatory and business environment in Ecuador.

Cotacachi and two more cantons this year with the objective of coordinating the planning and efficient use of local health resources.

2. Capacity Building for NGO Empowerment

- SO 1 (Growth): To assist in capacity building, FE staff has continued training programs to upgrade its own technical capacity, management skills, fundraising capability, and personnel management skills. In turn, FE has also assisted grassroots level NGOs to further improve their own capacity in those areas. In addition, FE will conduct national surveys to identify weaknesses and strengths of NGOs providing financial services to micro and small enterprises in order to focus its assistance to their needs.

- SO 2 (FP/Health): With the local FP NGOs APROFE and CEMOPLAF, a major and initially promising effort at sustainability is underway. USAID has provided extensive TA and operational research to strengthen their logistics and information systems, as well as promotional efforts for selling their services. Regulations and operational guidelines for sustainability funds are under development. USAID has also helped identify other donors to provide funding as USAID winds down.

- SO 2: USAID has orchestrated significant leveraging of additional resources in support of the CARE-APOLO PHC model projects, with over $1 million pledged by Canadian and Dutch agencies to APOLO field projects in Cuenca, Chordeleg, the Municipality of Bolivar, and Lago Agrio. The number of new NGOs being strengthened during the reporting period include ASMECX in Santo Domingo and a Santa Elena Municipality-Catholic Church venture. The municipalization-decentralization partnerships with local NGOs and CARE have been emulated by the new GOE administration.

- SO 2: A concerted effort to train local NGOs in social marketing techniques, by CARE and a G Bureau contractor BASICS (AED-MSH), is enabling them to better identify and meet the needs of their target population.

- SO 4 (Environment): The Nature Conservancy (TNC) working in conjunction with FUNAN, a local NGO, has been strengthening the capabilities of Asociacion Rumicocha, a community level environmental association. TNC is providing TA to build up administrative capabilities and fundraising capacity. As a result, Asociacion Rumicocha submitted a successful proposal for additional resources from Ecuador's Social Emergency Investment Fund.

- SO 4: CARE is working with Ecociencia, a local NGO, to strengthen their capability in biological research and ethnobiology/ethnobotany.

Ecociencia now has one of best capabilities for remote sensing imagery interpretation in Ecuador. CARE has financed the training of PhDs for Ecociencia staff, therefore promoting linkages with U.S. universities.

- SO 4: Jatun Sacha, a key Ecuadorian NGO for biological resources, runs the national herbarium and is the top authority on identification of Ecuadorian and Amazonian plant life. CARE has strengthened this organization through study tours and technical assistance to build capabilities in management procedures, administration and financing. CARE has assisted them with project proposal writing and, as a result, Jatun Sacha has received additional funding for forestry management in Esmeraldas.

- SO 4: Without a strong civil society structure in place to maintain balance during changing political administrations, the situation in the Galapagos Islands has become too politicized recently. To complement the Charles Darwin Foundation's focus on research, The Nature Conservancy is initiating a program in the Galapagos in order to build the necessary local NGO capacity in the islands.

- SO 4: PLAN International has recently expanded its participation in the shelter sector: RHUDO/SA assistance in improving operations and making it more sustainable contributed to the strengthening of this US PVO. RHUDO/SA is now starting an evaluation with PLAN of community infrastructure (water sewer) projects at lower income level neighborhoods in five Latin American countries which will further enhance PLAN's capabilities to contribute in this sector.

- SO 4: RHUDO/SA is providing technical assistance in conjunction with the EP3 project to strengthen the capabilities of Oikos Corporation, a local NGO, as it works with the municipality of Cuenca to develop a model sustainable city.

3. Linkages for NGO Empowerment

- SO 1: To establish linkages with U.S. based NGOs, FE has continued to conduct meetings with US NGOs (e.g., Accion International, Project Hope, FINCA, WOCCU, Catholic Relief Services, and others) and facilitated linkages with local level NGOs (CEPAR, Fundacion Natura, OIKOS, Fundacion Alternativa, CorpoMicro, and others) in Ecuador.

- SO 2 (FP/Health): CEMOPLAF and CARE, stimulated by proactive Mission involvement, have combined resources to develop two new integrated clinics, which add MCH services to existing FP services in remote and indigenous communities. The CARE input helped finance clinic improvements and provided financial feasibility studies on sustaining these new services.

- SO 2 (FP/Health): A basic tenet of the APOLO Project is that CARE will strengthen local NGOs to provide better quality, cost recoverable and sustainable services, and in turn assist them with linkages with private sector, universities and municipalities. This is happening in several pilot sites.

- SO 2: CEPAR has also served to link NGOs together as a force for positive change and health reform. It has sponsored NGO fora on health reform, has been elected to represent the NGOs on the National Health Council, and is a catalyst for NGO active participation in provincial level reform committees.

- SO 3 (Democracy): USAID's activity with the local NGO CEPAM was specifically designed to strengthen the linkages between CEPAM and four other local NGOs already working with the "Comisarias de la Mujer," GOE bodies charged with implementing the law against violence towards women. The activity also includes funding to provide training and TA to other NGOs that are interested in working on anti-violence and women's legal needs. One of CEPAM's longer-term objectives is to transform their current network of organizations into a more formal corporation.

- SO 3: Projusticia, the GOE's coordinating body for justice sector reform, also has as a stated objective the encouragement of an informal network of NGOs and similar organizations who are interested in legal aspects affecting human rights, the access to justice through mediation, and other legal issues. The Mission is working to support Projusticia in establishing the necessary linkages among the organizations so that they come together to form their own network.

- SO 3: CLD, another local USAID NGO partner, manages a network that represents bar associations, law faculties and other key legal eagles through its working groups (on penal code, administrative code, and civil code). CLD is also developing linkages and coordinating mediation services through the development of an ADR directory.

- SO 4 (Environment): The Mission has developed linkages between FUNAN, Asociacion Rumicocha, the Quito water authority (EMAAP), various flower growers associations, and some electric power generation companies. The community represented by Asociacion Rumicocha is situated on the edge of the Cayambe Coca Ecological Reserve, which encompasses the watershed serving Quito. The Asociacion is getting involved in the management of the ecological reserve by means of a written agreement whereby EMAAP pays for the park guards provided by the Asociacion Rumicocha to patrol the ecological reserve. Discussions are underway regarding a surcharge on water and the establishment of a permanent, binding procedure by

which EMAAP and the municipality of Quito would provide a percentage of the cost of the use of the water for the management of the watershed, thereby guaranteeing quantity and quality of water as a result of improved management. Studies on the impact of such a surcharge have been completed (who are the water users, where is the water coming from, what is the cost of managing resources, how much should go to the communities) and USAID is now beginning the process of building the social marketing capabilities of the local organizations to convince people of the benefit of long-term management of their watershed.

B. Small Business Partnership

1. Enabling Environment for Small Business Partnership

- SO 1 (Growth): Through its policy dialogue initiatives, FE continues to work with the GOE to improve the enabling environment by establishing laws, policies and institutions that support the creation and growth of micro and small businesses (e.g., with NGOs such as Fundacion Alternativa, ASOMICRO and with the chambers of small industries). With additional financial support from other international donors (the IDB and CAF), it is working to reform the banking and financial sector by improving the prudential supervision capability at the Superintendency of Banks and the Superintendency of Companies.

Through its policy dialogue initiatives, FE continues to work with the GOE to improve the enabling environment by establishing laws, policies and institutions that support the creation and growth of micro and small businesses (e.g., with NGOs such as Fundacion Alternativa, ASOMICRO and with the chambers of small industries).

2. Capacity Building for Small Business Partnership

- SO 1: Working with business associations and the GOE, FE is contributing toward the privatization and reform of the education, health, social security, and pension sectors which enhances the development of microenterprises and small business firms.

3. Linkages for Small Business Partnership

- SO 1: Working through the IDB's Programa Bolivar, FE is creating linkages between international organizations and NGOs to provide new technology, develop international networks.

- SO 1 (Growth): FE, in conjunction with the IESC, engages in delivery of technical assistance (financial, marketing, business planning, etc.) to small businesses in collaboration with U.S. firms.

C. Strengthening Democratic Local Governance

1. Enabling Environment for Strengthening Democratic Local Governance

- SO 1: A major focus of FE's program is decentralization and municipal development. FE is organizing activities that will upgrade the capacity of indigenous NGOs, municipal associations, business groups and citizen groups to reform the legal and regulatory environment and engage those groups in national advocacy. FE possesses an excellent capacity to create linkages between those associations and groups and the donor community, particularly IDB, World Bank and CAF.

2. Capacity Building for Strengthening Democratic Local Governance

- SO 4 (Environment): CARE, working in conjunction with the local NGO Ecociencia and the governor of Esmeraldas, has been strengthening local governance capabilities of selected communities within the 500,000 hectares in the lower buffer zones of the Cotacachi Cayapas Ecological Reserve. Working with 22 communities in the buffer zone, CARE has trained paralegals, para-biologists, and para-foresters. Through ecotourism activities, CARE has set up the mechanism for community-based decisionmaking. By upgrading community members capabilities in literacy, management skills, interpersonal relationships, and marketing, CARE has empowered the communities to make decisions that effect themselves and contributes to local governance skills.

3. Linkages for Strengthening Democratic Local Governance

- SO 1 (Growth): In order to increase women's participation in local government activities, RHUDO/SA is promoting NGO type partnerships in eight South American countries with NGOs made up of government authorities. These partnerships collaborate in the implementation of pilot projects and research efforts on how to improve the gender considerations of local government. The pilots deal with small businesses, women in poor neighborhoods, strengthening neighborhood organizations (health etc), and the training of women. The International Union of Local Authorities (IURA) is the lead agency; their capacity to deal with gender issues and with municipal governance has been strengthened as a result of this activity.

USAID/Ecuador's Demand-Side Approach to Education Reform

Development Problem to Be Addressed: Education has long been recognized as a cornerstone of economic and social development. It has become even more important as technological changes accelerate change in the world economy. Economic and social development will depend increasingly on knowledge-intensive industry, agriculture, and services and education is critical to developing the knowledge skills to adjust to rapid changes. A more educated citizenry will allow Ecuador to learn to compete in the international market place, combat poverty and corruption, pay taxes, demand accountability for government expenditures, and to respect contracts and law. In addition, with increased education for girls, fertility and infant mortality rates decline and family well-being improves.

The problem in Ecuador, is that although coverage is reasonably high at the primary education level in Ecuador, especially in urban areas, its quality has decreased. The result is that while increased access to primary and secondary education may no longer be a problem, the quality of Ecuadorian education is generally poor and is unresponsive. As a result, this problem has become an equity issue. Since it is the children of poor families that feel most strongly the effects of low quality, these families have fallen into the vicious circle that impedes inter-generational improvement of their lives. As a result, USAID/ Ecuador believes that the formation of human capital is crucial for Ecuador's future economic growth and social betterment and to become competitive for 21st Century world markets.

A Demand-Side (NPI) Approach for Education Reform

USAID/Ecuador is working to strengthening the NGO sector to advocate for improvement of education quality and effectiveness through policy reforms that creates the demand for a structural adjustment of the education system in Ecuador. USAID has chosen this approach because it does not have the OYB resources to engage the public education sector through supply-side interventions that: improve infrastructure, teaching methodologies, new learning techniques, curriculum reform, including development and procurement of textbooks and teaching materials in grades one through nine, teacher training, and improving general management practices, including automation of record keeping.

Currently, the IBRD and the IDB, which have a sizable presence in Ecuador, finance an assistance portfolio to the Ministry of Education at the primary level of approximately US$140 million in these traditional assistance modes. Moreover, the ministry is not using all these resources effectively, as a result of: a lack of a coherent education policy framework, a widely fragmented political spectrum, weak management, and conflicting bureaucratic requirements of the multilateral donors.

USAID/Ecuador believes that this demand-side approach can have a much greater payoff, if the method of delivery of educational services are changed in the entire sector. Annual education expenditures by the GOE amounts to about US$600 million dollars, compared to multilateral funding that averages about US$20 million dollars on an annual basis. USAID works with NGOs to build a demand in the environment for education reform, and to achieve a national consensus on education priorities through local Ecuadorian partners. One such partner is the Fundacion Ecuador (FE), a highly respected NGO composed of the country's principal business leaders concerned about social issues and specially education. Under the Policy Dialogue and Implementation Results Package of SO 1, the Mission currently provides core funding for institutional support to the foundation. This NGO is committed to fostering dialogue and debate on the steps needed to achieve economic growth and social sector reform in Ecuador.

Description of Actions Undertaken/Planned

The Mission has already provided modest field support to the FE through the Education and Human Resources Technical Services (EHRTS), and the Advancing Basic Education and Learning (ABLE II) projects. The technical assistance provided included the development, writing/publication of the "Crisis in Education" study, a number of smaller research topics, discussion on the development of "social marketing strategy," and dialogue and fora with GOE officials and representatives of the civil society.

The Mission has recently approved funding for an FE proposal that includes the establishment of an Education Unit within the FE that will focus its attention on developing a strategy and constituency building for education reforms in Ecuador. This Unit will concentrate its efforts on the following activities: (1) The development of a coherent national policy that has the purpose of improving the quality and effectiveness of primary and secondary education, with a significant support of the private sector and NGOs in the delivery of public education financed by the government. (2) An autonomous school experiment which will serve as the basis for discussions for reforms with the Ministry of Education and the rest of civil society, will also be carried out by the FE.

Lessons Learned

USAID/Ecuador believes that our private sector approach focussed on creating a national consensus and the demand for education policy reform is both appropriate and cost effective under the circumstances. USAID's past experience and catalytic role makes us much more effective on the demand side at strengthening and assisting NGOs to advocate, introduce new ideas, and achieve national consensus for education policy reform. The IBRD and the IDB are more appropriate institutions to work with the public education sector (the supply side). This proposed division of labor is mutually reinforcing and complements the multilateral donors' investments in traditional modes of assistance to the public education sector.

Results/Value Added/Utility of NPI Approach: The expected result is improved quality of education, as measured by a reduction in the primary education repetition rates. Intermediate steps leading to this result are: a diagnostic identifying constraints in the education sector; publication and discussion of the diagnostic; increased credibility of FE among key sectors; the concepts of accountability in the education sector widely disseminated; and consensus building on concepts for education sector reform.

Primary Contact Person for Additional Information: Guillermo Jauregui, Social and Economic Policy Advisor, USAID/Ecuador

V. LESSONS LEARNED

As noted above, the principles of NPI converge with those already in place at the Mission. We look forward to receiving additional input and information from the NPI staff to complement the work of the Mission, particularly in the area of local governance. This is an area where the Mission staff are looking for new low cost and cost-effective ideas. NPI is an important step to implement more cost-effective ways of achieving development. In this context, we continue to strive for innovative approaches to development.

VI. CONCLUSIONS

A. Value Added of NPI Approach

Over the reporting period, the Mission has continued to achieve results based on the principles outlined as the "NPI approach." The threads formed by the NPI principles have been woven throughout the fabric of the Mission's portfolio for decades now. A case in point has been the strengthening of the capabilities of the family planning NGOs, CEMOPLAF and APROFE over the last 25 and 30 years respectively. This strengthening has been accompanied by the formation of linkages with both U.S. and international FP organizations, both in terms of financing and technical interchange. They have now reached the point in their development where the Mission is taking the final steps to ensure their long-term sustainability.

With over 85 percent of the Mission's FY 1996 Operating Year Budget going directly to NGOs, the principle of NGO empowerment has long been a cornerstone of the Mission's portfolio. The social and economic policy reforms initiated by the Mission over the past few years focus on increasing the competiveness of economy, i.e. enhancing the enabling environment for small businesses. And the Mission has worked in collaboration with RHUDO/SA to undertake activities to strengthen democratic local governance.

B. Next Steps

- Reschedule the delayed trip of NPI staff to visit, consult with, and provide guidance to USAID/Ecuador.

- Establish an information link similar to the RF-Net or the G/DG's electronic newsletter.

- USAID/Ecuador will continue to implement its NGO based portfolio using the same partnership approach that has been successful for the last few decades.

NPI FINAL REPORT -- *USAID/Indonesia*

I. INTRODUCTION

Goal

USAID/Indonesia (USAID/I) joined the NPI Learning Phase in order to learn about new approaches, improved mechanisms, and innovative ideas which could strengthen USAID/I's Strategic Objective #5 (SO5) -- democracy and governance.

In June 1995, USAID/W authorized the Strengthening Democratic Initiatives (SDI) Project, a five-year, $30 million project. The SDI Project's purpose is to "increase the effectiveness of selected institutions, particularly NGOs, which promote democracy in Indonesia." By joining the NPI team, we believed we would be able to contribute to the Agency's DG objective while simultaneously improving SO5's effectiveness in this field.

II. COUNTRY CONTEXT

Democracy in Indonesia

Indonesia's New Order government under the leadership of President Soeharto has, in almost three decades, brought major achievements in controlling population growth, raising living standards, reducing poverty and increasing food security.

Such broad-based economic improvement has not been accompanied by an expansion of political participation. The New Order government's attempts at promoting a "special" indigenous form of democracy called Pancasila has not resulted in a representative democracy, with clear separation of powers, freedom of association, free elections, freedom of the press and judiciary, and political parties. Indonesia's judicial institutions remain virtually undeveloped across the board, a legacy of the colonial period.

Indonesia's rapid economic growth has, nevertheless, created an increased demand for democracy in Indonesia. The most significant structural change that has occurred in Indonesian society since the early 1970s is the emergence and rapid growth in civil society of nongovernmental organizations (NGOs), thousands of which now exist. Key members of the Indonesian NGO community have been at the forefront of the democracy movement. NGOs have increasingly become willing to take on advocacy roles and to represent the needs and interests of civil society.

Indonesia's continued success in core areas of sustainable development is inextricably related to greater democratization and improved governance. Democratization is an essential part of Indonesia's sustainable development because it facilitates the protection of human rights, informed participation and public sector

accountability. Civil society and communities' understanding of local conditions and their ability to organize and mobilize local residents are vital to sustainable development. Without these, the capacity of Indonesian society to improve its quality of life and pursue equitable economic and social growth (within an enabling policy framework), while safeguarding the cultural and natural environment, will be greatly impaired.

Democracy initiatives taking place now come at a critical time in Indonesia's history, given that the country will soon be going through a major political transition. Such activities have the potential to influence the shape of Indonesia's future political system.

III. MISSION ACTIONS DURING THE LEARNING PHASE

USAID Targeting of Advocacy NGOs

USAID/I's SO5 Team and the SDI Project achieve their purposes by funding and supporting selected NGOs active in the democracy sector. Grants under SDI are intended to: (1) increase NGO advocacy for democratic participation; (2) increase the number of NGO activities which promote respect for rule of law; and (3) enhance the capacity, reliability and responsiveness of selected NGOs.

USAID/Indonesia's commitment to creating an enabling environment favorable to advocacy NGO development in Indonesia--particularly for small, emerging advocacy NGOs who wish to establish their activities--is outlined in USAID/I's Country Program Strategy as follows:

> "...some smaller Indonesian NGOs that are establishing themselves as leaders in the area of women's labor rights, micro-lending advocacy, environment, etc. will also be supported. NGOs will be selected on the basis of their credibility with the community and their track record as advocacy agents. They will be assisted to become better advocates, so that they will be in a stronger position to effectively lobby for the basic ingredients of a democratic system and to better participate in national policy formulation. NGOs will also be supported in activities that promote greater respect for rule of law by all parties in Indonesia. These organizations will also be encouraged to strengthen their own internal organization so that they will be autonomous and better able to participate in democratic development." *(page 83, USAID/Indonesia Country Program Strategy, March 1995).*

Due to our participation in the NPI process, SO5 decided to expand the number of partners we collaborate with in the field. To date, we have worked with established U.S. PVOs, such as the Asia Foundation and AAFLI, and have supported numerous indigenous NGOs in order to achieve the results specified in our SO5 framework. During the NPI Learning Phase, SO5 conducted a worldwide search for new partners through a traditional RFP process. We invited over 75 U.S. PVOs to

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send us their proposals, as we were seeking new ideas and innovative approaches for supporting SO5 programs in Indonesia.

Although our global search for new partners resulted in only 3 proposals, we were able to select a new "partner" for our NPI project. We selected a U.S. PVO which has worldwide experience in institution building and an excellent reputation for forging new partnerships with indigenous and international NGOs--PACT. The purpose of the NPI Cooperative Agreement (CA) is to facilitate continued Indonesian democratization through the provision of training and technical assistance (TA) and subgrants to Indonesian NGOs. Through this CA, SO5 hopes to identify and assist smaller, fledgling NGOs which may have more of a regional--rather than national--focus.

In addition to the CA, SO5 also utilized the "experimental grant" mechanism to work with five new grantees. Experimental grants, an invention of reengineering, enabled SO5 to provide grants to NGOs which may not be able to comply with USAID's strict grant-worthiness requirements. The purpose of these "experimental grants" is to enable USAID missions to work with new, emerging NGOs which may lack appropriate accounting systems and/or personnel to implement USAID supported activities. These grants are "experimental" because the NGOs are reimbursed for their expenses on a monthly basis (through a voucher system). Unlike traditional grantees, the experimental grants do not receive a cash advance for the expenses they incur.

The five "experimental" grants within SO5's portfolio focus on important DG activities. These activities revolve around rule of law issues such as advocacy for children and women's rights, environmental protection and human rights. Without the "experimental" grant mechanism, SO5 would not have been able to assist these five NGOs in FY96.

IV. CASE STUDIES

USAID/I does not have a case study to share with the NPI Learning Team. However, we conscientiously used the NPI approach in soliciting a new partner for the NPI CA. We also utilized the "experimental" grant mechanism, a by-product of the Agency's NPI/reengineering philosophy, to assist fledgling NGOs.

In addition to these mechanisms, SO5 developed a very sophisticated SO5 framework and a computerized monitoring/evaluation system. Our SO5 framework contains numerous indicators which enable SO5 to measure progress and track achievement in the DG field. It is important to point out, however, that the SO5 team has been utilizing a results framework and a performance-based budget methodology for the past two years (prior to the NPI Learning Phase). This year, a Management System International (MSI) evaluation team will assess the SO5 framework and the monitoring system. Hopefully, this team will review the progress and analyze the inter-relationships of the entire results framework by assessing questions such as: Is performance progressing as anticipated? Do the

linkages hypotheses result in the target changes for the SO? Do the indicator measures lead to NGO generated changes in GOI policy formulation? Are there exogenous factors which the framework does not measure but, nonetheless, effect GOI policymaking process and the promotion of democracy through effective institutions? We anticipate that the MSI evaluation team will provide valuable insights, recommendations, and possibly "case studies" which can improve our future performance.

V. LESSONS LEARNED

Although NPI and reengineering provide new literature and innovative approaches for the DG sector, it is important to recognize that USAID must continue to comply with numerous regulations which make the grant-making process extremely labor-intensive and cumbersome. The "experimental grant" mechanism, for example, did not reduce the paperwork and, ironically, increased the level of effort required (in women hours) for the SO5 team. Furthermore, the recipients of the "experimental grant" are still required to comply with USAID financial regulations. In many ways, the "experimental grants" are a burden to NGOs because many lack the capital for the start-up costs they incur. It is also difficult for them to pre-pay the recurrent costs associated with SO5's results oriented programs.

VI. CONCLUSIONS

The decision to implement democracy programs in Indonesia through civil society--rather than the public sector--is based on USAID/I project evaluations and a comprehensive Democracy Assessment (completed in 1996) which classified Indonesia as a Sustainable Development Country in the pre-transition or early stage of political and democratic development. Given Indonesia's level of political development, the Democracy Assessment identified *advocacy NGOs in civil society* as the most strategic and appropriate implementing agents for democracy activities which increase democratic culture and participation, and enhance respect for rule of law in Indonesia.

USAID/I's assessment of the political climate and actual situation in Indonesia suggests that this is indeed the proper approach for the promotion of democracy in this country. Even though the Government of Indonesia could make resources available for democratic reform, it has demonstrated little commitment in this direction. Independent Indonesian NGOs, on the other hand, have demonstrated a strong commitment to promoting democratic principles, but are frequently constrained in their activities by lack of resources and institutional limitations. Previous USAID project experience with NGOs confirms

> The provision of resources to this active and committed NGO movement represents USAID/I's best opportunity for achieving results in the democracy field in the next three to five years. Through the NGO sector, USAID funding can help build the foundation for greater democratization in the future.

that, with adequate resources, Indonesian NGOs are quite capable of accomplishing specific program objectives. The provision of resources to this active and committed NGO movement represents USAID/I's best opportunity for achieving results in the democracy field in the next three to five years. Through the NGO sector, USAID funding can help build the foundation for greater democratization in the future.

Based on the comments and activities of other NPI missions, USAID/I expects to continue to learn about new ideas, best practices and innovative mechanisms in the DG field. Since the "NPI approach" is broad and not yet clearly defined, it is difficult to determine and/or quantify the "value" of the NPI network. In terms of next steps, the Indonesian mission will continue to remain informed about NPI approaches and ideas. Through the MSI evaluation, we will re-evaluate and analyze the SO5 framework and the SO5 monitoring system.

Through our new partnerships and "experimental grant" mechanisms, we also hope to improve the way we implement DG activities in the civil society and rule of law arena. In the future, we hope to work with our DG colleagues in G/DG, ANE, PPC and in the broader PVO environment. We also look forward to continued collaboration with the DG technical offices in other ANE missions, since many of us are struggling to overcome similar obstacles and to identify regional trends which affect the democratic movement in the Pacific rim.

NPI FINAL REPORT--*USAID/Madagascar*

I. INTRODUCTION

In 1992 USAID/Madagascar used a wide-ranging participatory process to design its strategic program for the period 1993-1998. The Mission worked closely with key government counterparts, local NGOs, small and micro-entrepreneurs, other private sector interests, other donors, the academic community, and U.S. and international PVOs. Four Strategic Objectives (SOs) were identified for the country program. Activities under these SOs promoted partnering activities with and among the public, market, and civil society sectors in Madagascar. These activities often involved building local-level sustainable institutional capacity, improving the national-level supportive environment, and fostering partnerships. Clearly, the Mission's current Country Strategic Plan closely parallels the priorities and foci of the New Partnerships Initiative (NPI) and allowed the Mission to participate in NPI with few changes to its current activities.

Because of its numerous current partnering activities, the Mission was very interested in becoming more formally integrated into NPI. In January 1996, the Mission applied to be formally recognized as a participating Mission in the NPI Learning Phase, and the Mission was granted the status of NPI Partner Mission. USAID/Madagascar (USAID/M) sees NPI as an opportunity to share with others in the Agency its current experience concerning partnering at the local level. The Mission also see NPI as a great opportunity to identify ways to improve its partnering activities by learning what others in the Agency are doing to involve local partners in the development process. It is hoped that NPI will act to further the dialogue within the Agency about how most appropriately to form and sustain partnerships with and among local development actors. The Mission welcomes discussions with other Missions about forming and sustaining partnerships at the local level.

This report discusses USAID/M's experience to date with forming partnerships. It covers both ongoing partnering activities that were initiated prior to NPI, as well as partnering activities during the NPI period beginning in calendar year 1996.

II. COUNTRY CONTEXT

Overall, Malagasy Government regulations, policies and practices are conducive to the inclusion of a broad range of NGOs and citizen associations in the public arena. There are literally thousands of registered NGOs under a fairly liberal 1960 association law. There are no legal or other restrictions in freedom of assembly or association. The Mission, however, still sees areas for improvement and is working to further develop the legal code for NGOs.

There has been an explosion of civil society groups and development NGOs since a new democratic constitution was approved through a national referendum four years ago. These NGOs and associations are active in almost every phase of Malagasy national life, from national civic education and electoral and human rights watchdog groups, to local road maintenance committees. In addition, there are no major impediments to business registration in Madagascar. Over 90% of registered businesses have fewer than 10 employees and are therefore considered micro and small businesses.

The development context in Madagascar, however, is challenging. There are high population growth rates (2.8%), large urban underemployment (30-50%), and widespread poverty (over 75% of the population). Since 1970, real per capita income has fallen 40%. Currently 51% of children under five are chronically undernourished and the population is young, with 45% under 15 years old.

In 1986, fifteen years of rhetorical socialism for the masses, institutionalized corruption, and unrestricted profiteering for the elite and foreign corporations began to come to an end as transformation to a market economy was initiated. In 1991, the democratic transition started whereby Madagascar moved from a one-party dirigiste state to a democratic, multi-party government. Recently enacted decentralization legislation--along with local mayoral and town council elections in November 1995--have set the stage for increased decisionmaking and empowerment at the local level. While reinforcing democratic institutions and values will take time, Madagascar's progress to date puts it in the forefront of African democracies.

III. MISSION ACTIONS IN RESPONSE TO NPI

The Mission had adopted an NPI approach before the NPI initiative began. For example, the Mission's first SO concerns fostering an environment in which private action can flourish (i.e. enhancing the enabling environment). While the other three SOs are more technically oriented, activities under them have involved forming partnerships to directly involve local partners in the development process. NPI has also been fostered by the Mission being one of 10 Country Experimental Labs (CELs) under reengineering and its emphasis on using the four Agency core values as the underpinning of all its activities.

A. What were the NPI activities undertaken?

Under SO1--foster an environment in which private action can flourish--activities have focused on national-level systemic changes, such as the legal, regulatory, judicial and financial systems. It has also focused on ensuring across-the-board civil society participation in the public policy arena. An activity just initiated under SO1 will increase the capacity of a broad range of civil society groups to engage government, and their members, in public policy questions from the local to the national level.

Under SO2--increase market access for neglected regions--actions have been taken to form road maintenance committees that include local business, local NGOs, and local and regional government actors. These committees operate in two isolated areas of the country and act to ensure that roads vital to the movement of agricultural products and inputs are maintained.

SO3--reduce natural resources depletion--has generated partnerships at the local level to jointly work towards the development of nature reserves to protect the unique biodiversity of Madagascar. At six sites throughout the country, the Mission has provided grants to U.S. PVOs to form partnerships with local NGOs and associations, and with the emerging Malagasy National Park Service (ANGAP) to develop economic activities that compensate local communities for the loss of access to resources within the reserves. At some sites private sector tour operators have been brought into the dialogue and partnerships between farmers and local agricultural industries have been initiated.

Under SO4--smaller, healthier families--the APPROPOP activity has formed a committee of public and private sector health and family planning actors in the Fianarantsoa region to share information, coordinate activities, divide responsibilities, and set policy within the group. At the national level, a Technical Advisory Committee has been formed to review proposals for USAID funding from health and family planning entities. This committee consists of relevant government ministries, U.S. PVOs, local NGOs and USAID. The Mission has also been increasing the management and accounting capabilities of health and family planning actors in both the private and public sectors.

Later in this report, a description of four Mission activities provides a more detailed examination of how the Mission has been using partnering to further its development objectives and the lessons learned by the Mission concerning partnering. The current activity to revise the Mission's Country Strategic Plan proposes to combine SOs 2 and 3, giving the Mission 3 SOs. The nature and level of partnering, however, will remain unchanged.

B. What changes did the Mission make operationally or procedurally in response to NPI?

In response to the reengineering effort within the Agency and its own CEL status, the Mission increasingly focused on local level partners in the public, civil society and private for-profit sectors. In the local public sector the Mission increased its work with town mayors who are locally elected officials. In the private sector the Mission developed partnerships with private health service providers involved in family planning, with private tourism interests, and with local agricultural producers and processors. The Mission increased its involvement with local civil society organizations, many of whom are directly involved in the implementation of Mission activities. Under NPI the Mission has continued to make advancements and deepen the involvement of local level organizations and partnerships in its activities.

The Mission implemented a policy of using local organizations to implement activities whenever possible. An example is the use of a Malagasy accounting firm to provide accounting advice and training to local clinics of the Ministry of Health. Bringing local level organizations into partnerships has also provided a forum that has resulted in the standardization of reporting, monitoring, and evaluation procedures for local organizations.

The Mission has also made strides to devolve real decisionmaking authority to partnerships of local organizations. In the health sector, a national level Technical Advisory Committee directly reviews and approves small grant proposals that are being funded by the Mission. Furthermore, the Mission has involved government and civil society actors in its SO teams and provided them with a significant voice in the design of the Mission's objectives.

C. Was the Mission able to leverage resources and/or support from other development partners?

The NPI approach (partnering of local organizations) has created development structures that have attracted resources and support from other donor partners. An example is funding provided by Japan (JICA) and the European Union under the CAP project. $1 million was provided by each of these donors to directly support road rehabilitation which will be undertaken by local maintenance committees. The Regional Family Planning Coordination Committee--created with support from the APPROPOP project--has attracted funding from both the World Bank and JICA.

Partnerships have also brought donors together to meet common objectives in terms of developing standardized data banks and coordinating activities. This has been especially evident in family planning, where donor participation in the Technical Advisory Committee has resulted in greater activity coordination among UNFPA, UNICEF and USAID.

Partnership structures have also attracted some support from local organizations. In the town of Moramanga, local business donated $3,000 to help fund an Environment Day activity. In addition, the road user associations under the CAP project have attracted funding support from the provincial government to help maintain roads.

IV. CASE STUDIES

APPROPOP: Regional Coordinating Committee: Capacity Building

The USAID Health, Population and Nutrition (HPN) sector Strategic Objective, "smaller, healthier families," focuses on the region of Fianarantsoa. This large region encompasses coastal plain, high plateau and desert and its population and cultural practices are correspondingly diverse. USAID and the Cooperating Agency for this program (Management Sciences for Health, or MSH) were faced with the challenge of ensuring rapidly increasing access to quality family planning services that are client-focused.

USAID and MSH decided to use the NPI approach because they believed that a regional strategic planning and implementation process which was practical, inclusive and participatory was the single best vehicle for rapidly increasing access to quality, client-based services. The participatory approach would insure that any actions supported by USAID would respond to the desires of clients, the technical needs of health staff, the cultural practices in the particular area, and the institutional strengthening of a number of different organizations.

The Regional Medical Officer (RMO) of the Ministry of Health (MOH) took the lead in the establishment of the Committee. He is a professor on the medical faculty as well as manager of the regional health program, and has worked in Fianarantsoa for over a decade. He, too, believed in the importance of wide ownership of the program and his active support enabled this programmatic initiative of USAID and MSH to be realized at the regional level. He took the lead in inviting regional authorities, representatives of NGOs, district-level medical staff, private physicians, and representatives of education, agriculture and environmental groups to be part of the Committee. An important local official--the Vice President of the region--agreed to lead the Committee.

While there were no legal obstacles for such a committee to function, it went against the prevailing bureaucratic culture in Madagascar of central, vertical and isolated decisionmaking. Field visits and information collection by members of the regional committee with assistance from MSH technical staff resulted in an increasingly realistic Plan of Action. In late 1994, the two-year Regional Plan of Action was accepted by the Technical Advisory Committee (TAC), the decision-making forum for the program at the national level--another example of a decisionmaking partnership. USAID then negotiated with national-level MOH officials to gain agreement that the Committee would have direct oversight for implementation of the program. USAID and its partners provided a powerful incentive for teamwork and consensus building among committee members by agreeing to accept and fund the Regional Plan of Action.

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To ensure continued broad representation of all groups in program decision, funds were set aside for participants from far-flung districts to participate in periodic regional committee meetings. Subsequently, more partners joined the Regional Committee and several proposals for activities complementary to the regional plan were developed, approved by the TAC and awarded directly to these partners. Currently, members of the Committee include: an environmental NGO working at a national park; a Catholic lay organization providing counseling in natural family planning; and an employer/employee-funded health maintenance organization providing family planning to major enterprises in the region. The diverse nature of these partners, their pride at being involved in the Regional Committee, and their acceptance of Committee decisions regarding referrals, fee setting, reporting systems, and other implementation procedures are powerful testimony to the important role the Committee has come to play in the region.

The major constraint to successful planning and implementation of family planning programs in the region is the very weak management capacity of local organizations, especially in financial management. The Committee members themselves recognized this weakness and requested training and assistance in these areas. USAID--working with the Regional Medical Office--hired a local accounting firm (a first for the Mission) to develop and install a good accounting system in the regional MOH office, train MOH staff in its use, and supervise their first year of use of the system. This training has resulted in both a regional capacity to administer USAID funds, as well as a greatly improved understanding of financial management principles. Initially, program managers criticized USAID for these detailed procedures; the same managers now state that they prefer the clarity of the approach and wish other donors provided similar guidance.

In response to the request for general training in management, MSH provided a four week course in the management of health programs to district, regional and NGO managers from Fianarantsoa as well as staff from the capital. USAID has seen a clear improvement in the management skills of course participants, and additional partners have requested that MSH sponsor a similar course in 1997.

The Committee's actions have been a major reason for the rapid progress of family planning in the region. In the past year: 33 new clinics have opened; 750 people from the region have been trained in various subjects related to family planning service delivery; 16 clinics have been or are currently being upgraded; community-based distribution of contraceptives has begun; and use of family planning has almost doubled. A recent Performance Audit by the Inspector General's office confirmed that overall, the family planning program is surpassing the objectives set in 1992 when the project was initiated.

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Harder to quantify, but perhaps equally important, is the sense of cohesiveness and pride in the program that is manifest in Fianarantsoa. For one of the first times in the region--and possibly in the country--a central Ministry, regional administration, a variety of NGOs, and members of the private sector are working together in partnership on a long-term development activity, making joint programmatic decisions and accepting responsibility for actions. It is clear that the Committee will continue to support and oversee family planning efforts in the region well beyond the life of the funding provided by the USAID/MSH program.

Lessons Learned

1. The principal lesson learned by USAID and MSH is the importance of patience in starting a participatory process, and the need to accept the slow pace of progress in the near-term while waiting for the Committee to develop into a cohesive group capable of developing a "fundable" Plan of Action. This delay can be frustrating when the focus of program efforts is so clearly set on results, but it is vital to the longer-term success of any NPI activity. The increased capacity of the partnership and of the individual organizations which result from this effort positions them to work effectively in the future, regardless of whether USAID continues to fund activities. These same organizations can also become mentors for an expanding group.

2. At the same time, USAID, its implementing agencies, and the host government signatories to a program must be willing to cede real decisionmaking authority and responsibility to such a partnership. Partnerships will be quick to test their new authority and need to perceive it as more than an empty shell, if they are expected to devote considerable time and effort to the partnership.

3. There are key enabling factors in such a process, some of which are not under the control of USAID but which can be seen as "conditions precedent" to engaging in an intensive NPI approach. These include: (a) the support of at least one, and preferably several, local individuals who are perceived as having authority and are committed to a participatory approach; (b) acceptance by host country authorities that such a body can wield real authority; and (c) the ability to provide training, technical support and limited financial support for meetings or other needs at critical stages of the development of the group.

Contact Person: Susan Wright

APPROPOP: Child Survival Partners Coordination Group: Fostering Partnerships

In 1995, USAID/M was asked to quickly obligate substantial child survival earmark funding ($3 million) and develop a child survival program. The Mission wished to ensure rapid start-up of high priority activities and, to do so, developed grants and agreements with five implementing partners during 1996. These partners--UNICEF, Catholic Relief Services, CARE International, Peace Corps and the BASICS Project--have varying programmatic objectives for activities in different geographic areas. USAID/M was faced with the issue of how to ensure program cohesiveness, build on the strengths of each partner, encourage program synergies and develop an integrated performance reporting system.

USAID/M staff used an NPI approach because they saw the importance of shared ownership across these very different child survival activities, including standardization of performance indicators, child survival messages and protocols, and implementation procedures. USAID saw a tremendous potential for program synergy and for each partner to take the lead in its area of special expertise. USAID, therefore, created the Child Survival Partners Coordination Group (CSPCG) and requested each partner's participation in this group and collaboration/coordination on messages, protocols, procedures and indicators.

The CSPCG, which meets every two months, has served as an important forum for illuminating the individual strength of the partners, as well as identifying weaknesses and the resources to resolve these weaknesses. In early group discussions it became evident that the capacity to design and conduct a required baseline survey varied across partners. One partner had already conducted a baseline using a standard child survival survey protocol. Other partners were at varying stages of survey design, some far along in the process and others struggling to identify a protocol. With the CSPCG as the vehicle for broader discussion, USAID suggested that all partners standardize on survey design to the extent possible. The partners subsequently shared proposed baseline protocols and pooled technical resource staff. The partners discussed and agreed on a standard set of program-wide indicators--a menu from which individual partners could pick and choose. The final results of this joint effort and collaboration are that some partners received valuable "in-kind" technical assistance, all partners have received completed well-designed baseline surveys using common indicators, and USAID's child survival partners function as a cohesive team.

There are numerous other examples of capacity building across partners. The BASICS Project, for example, has taken the lead in developing and disseminating targeted nutrition messages for the broader group of partners. Catholic Relief Services is taking the lead in village health promoter training, Peace Corps in community-based health message development, and CARE in urban sanitation.

The CSPCG bi-monthly meetings are jointly chaired by the USAID Child Survival Program Manager and a representative of the child survival partners. The meeting site rotates, permitting each partner to share the lead and raise awareness of

its activities. Each partner is encouraged to submit recent technical and program information, which is distributed to the group. The methodology and findings of special studies or ongoing efforts are presented at meetings and a sub-committee is responsible for a bi-annual newsletter highlighting successes and new information. Many partners also share technical and program information via electronic mail.

Beyond information sharing, the CSPCG has served as an important forum for consensus building and the development of a common vision. Prior to the creation of the CSPCG, USAID's child survival partners actively participated in development of the HPN sector Strategic Objective (smaller, healthier families) as well as the Results Package for child survival (increased knowledge and use of high-impact child survival services). The CSPCG, by reinforcing a common vision, simultaneously reinforces USAID's programmatic goals and objectives.

The CSPCG has also been instrumental in reducing the frustrations resulting from USAID's reporting requirements and procedures. USAID has worked closely with the CSPCG to streamline and standardize reporting across partners. Partners now recognize that USAID requests only information critical to performance and implementation monitoring, employing common deadlines and reporting formats. To plan for the first year of USAID performance reporting (R2a) for the child survival component, USAID convened a meeting of CSPCG member organizations receiving USAID financing to jointly formulate the indicators and format for annual reporting. Perhaps most importantly, the CSPCG has gained recognition for USAID as an active collaborator in program decisionmaking and has actively reinforced the core value of teamwork.

Lessons Learned

1. Prior to creating the CSPCG, USAID established clearly defined objectives for the Group. These objectives were not limited to information sharing but also included implementation-relevant topics such as program coordination, streamlined and standardized reporting and procedures, and technical support for member organizations. The CSPCG has been highly successful because its members view it as a successful forum for implementation-level decisionmaking. USAID's active participation in the CSPCG as a team member and partner, rather than a directive donor, has also been an important element of the collaborative process.

2. CSPCG partners' active participation in the development of USAID's sector strategy and Results Package for child survival were extremely important factors in the relative ease with which the Group has reached consensus on issues and its common vision. Cultivating the CSPCG was initially a labor-intensive activity for USAID staff, but over time the CSPCG has become a high-impact, low maintenance partnership.

Contact Person: Carol Payne

The Commercial Agriculture Production (CAP) Project:

For almost 20 years, agricultural production throughout Madagascar fell dramatically as the Government sought to eliminate intermediaries in the agricultural production chain and replace them with State-run organizations. CAP is catalyzing a reversal of this process by addressing the major constraints to agricultural growth in the high potential zones of Mahajanga and Fianarantsoa. In the last year, CAP has reduced shortages of technical and managerial know-how in over 100 agribusiness clients, provided importers with $4.5 million in foreign exchange with a six-month deferred payment plan through an Input Supply Fund (ISF), rehabilitated 158 km of farm-to-market roads, and helped establish 25 road-user associations. CAP has reinforced public-private partnerships and brought new activity to once abandoned regions.

Working with agribusinesses, grower associations, road-user associations, local and national authorities, a series of international and local specialists, and USAID and other donors partners, CAP has begun to alleviate many constraints to agricultural sector growth and we are beginning to see a revitalization in many areas where we work.

CAP's progress has been due in large part to a customer focus and teamwork approach. By carefully listening to its clients, CAP has been able to engage them more effectively in the development process and make the assistance more responsive to their needs. By working creatively with European, Japanese, and international partners, CAP has leveraged its efforts. And by collaborating with the SAVEM, and KEPEM environmental efforts, it has begun to link efforts to increase economic growth and protect the environment. The three examples of CAP's partnering activities discussed below illustrate CAP's activities in building the capacity of local partners, fostering partnerships, and enhancing the enabling environment for partnerships.

The Bekobay Plain: An example of CAP's synergetic impact. Bekobay is a rural center located 100 km from Mahajanga in an agricultural area that produces approximately 4,000 tons of rice per year. Given the important agricultural potential of the Bekobay plain, CAP decided to rehabilitate a major feeder road in order to evacuate commodities from this area and establish a shorter physical link between Bekobay and the Mahajamba valley, one of the richest regions in the Mahajanga province. While building the road, the CAP team helped establish 14 user associations and created a union of those associations, with the participation and financial contributions of local authorities, collectors and agri-businesses. For the first time in that area, the private sector, local government, and small farmers were working together, sharing the same goals, trusting each other and devoting resources towards common objectives.

CAP was perceived as a reliable partner and as the catalyst which engineered this joint organization and helped to foster a new climate of fruitful dialogue among all stakeholders. In that conducive environment, the newly elected mayor--with CAP's assistance--convened a meeting of small farmers (members

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of the road user associations) in May 1996 to negotiate with collectors an increase of the farm gate price for the 1996 rice crop, which jumped from 400 to 700 Fmg/kg. Encouraged by this success, but aware of the bad quality and the low yield of their rice, members of road-user associations, representing more than 1,000 farmers, decided to request CAP's technical assistance to obtain certified seeds and to improve crop protection against pests and parasites. At the same time, CAP was providing technical assistance and financial support, through the ISF, to the main collector in the Bekobay area in order to set up a new compact rice mill, which will be inaugurated in November 1996. The mill will produce a higher grade rice with increased productivity. Finally, upon completion of the feeder road (scheduled for November 1996), truck transportation is expected to increase beyond the twenty-fold increase already experienced and transport cost is expected to drop by 30%. In summary, small farmers will be the beneficiaries of CAP's synergistic impact in the Bekobay plain, since their income will more than double due to the combined effect of higher production, improved quality, lower transportation costs and better prices.

The Mahasoabe Road Users' Association. Rehabilitation of the Mahasoabe road could not be considered as success unless a system of periodic maintenance was put in place. In order to assure that the Road User Associations would be strong enough to pursue maintenance activities, CAP fielded a special community organization team to assist them in getting started. Since the Mahasoabe association was particularly motivated, this was a relatively easy task. The two main problems that needed to be resolved were the acquisition of autonomous legal status for the association and development of a long term financing mechanism for their activities. The community organization team urged the association to select its own leaders and guided them in the formulation of their charter. The association quickly began to address such problems as tolls, setting weight limits and managing the rain barrier for "their" road. The goal of promoting a spirit of proprietorship was quickly achieved.

Attaining autonomous legal status for the association turned out to be the most difficult task. Nevertheless, after months of lobbying the local, regional and national governments by CAP, the regional government granted the authority to local officials to transfer management authority for CAP rehabilitated roads to the new associations. This meant that the Mahasoabe association would have the legal authority to manage its road as it saw fit. A project sponsored by the World Council of Credit Unions has also committed to helping the association develop the financial management competence to be able to finance maintenance efforts in the long term.

The experience of working in partnership with CAP encouraged the Mahasoabe association to seek out other partners. The members of the association had long wanted to develop a rural health center. The newly rehabilitated road gave them the tool with which to attract other partners to this project. The association received a grant from the US Ambassador's Self Help fund to purchase

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medicines for the rural health center. It convinced the World Bank-financed FID Project to help finance the rehabilitation of the building to be used for the center. It contacted a local agribusiness and negotiated, with the help of CAP, the purchase of two tons of fertilizer for its members. And finally, the women members of the association convinced the USAID-financed APPROPOP Project to support a family planning program at the center.

By using a Partnership approach, CAP has been able to promote potentially self-governing and self-financing associations which will manage the maintenance of rehabilitated infrastructures in their area. Moreover, in the case of the Mahasoabe association, the groups themselves have used partnership with a broad range of NGOs, development projects, government and the private sector to acquire access to services, like improved health and agricultural inputs, which are seemingly unrelated to the original motivation for organizing--the road.

Transferring authority for road maintenance. One of CAP's most complex activities was the design and application of a framework to transfer authority for management of rural roads from the central government to regional and local governments and private associations. This management mandate includes responsibility for collecting user fees and performing both routine and periodic maintenance of rural roads. The CAP-designed procedures have been recognized by the Government of Madagascar as the first operational model for transferring authority to local governments and NGOs under its decentralization program. Donors and GOM entities--including the European Union, the World Bank, the Ministry of the Interior, NGOs and other development partners--are using the CAP process as a model to transfer management responsibility from a central authority to a decentralized entity.

Public/private sector collaboration on the environment. CAP actively promotes the concept and practice of public/private sector partnerships. In Fianarantsoa, CAP is a member of *Operation Ville Verte,* a consortium organized by the Swiss Natural Resources Management Training Project (PFGRN) which works with the city's street department, a number of NGOs and neighborhood cleanup groups to rehabilitate three parks and promote the recycling of urban waste. Part of the recycled urban waste is used as compost for sustainable agriculture projects. CAP is also helping the rural commune of Sahambavy and a homeowners' association there to prepare requests for self-help funds to rehabilitate a dam damaged by a recent cyclone. CAP agreed to provide assistance, as the area has tremendous ecotourism potential.

The following examples illustrate the type of value added results gained by using the NPI approach. During the past year, rates for trucking commodities on the newly rehabilitated roads in Mahasoabe dropped 50%--a benchmark in the reduction of transport costs for agricultural products. The regional office is working with the road users association to assure the efficient organization of maintenance efforts. While getting organized to maintain the roads, the user

(cont'd)

associations in Mahasoabe and Bekobay decided they also wanted CAP's help in accessing better varieties of rice seeds and fertilizers to produce more rice. The infrastructure staff forwarded the request to the agribusiness support unit, which helped the association formulate their demand and present it to AFAFI, an agribusiness which also works with CAP. The Mahasoabe association will use the receipts from the increased production to help defray future maintenance costs of the road.

Another example is the case of Mr. J. M. Ramamonjisoa, a grain buyer in the Befeta area. He was encouraged by the improved access to his area resulting from a CAP-financed road rehabilitation to request that CAP assist him in acquiring financing to expand his activities. CAP helped him to prepare and submit a loan request to the local branch of the National Commerce Bank (BFV). A loan for $7,500 was approved, permitting the marketing of approximately 20 tons of additional agricultural products from this area. Because of reduced transportation costs, producers have benefitted from increased market possibilities and consumers are benefitting from increased volume of products on the market.

Lessons Learned

1. By catalyzing the creation of partnerships for rural road rehabilitation and maintenance, CAP has achieved secondary objectives which are complementary to its original objectives, resulting in increased production and a subsequent increase in farm household income. CAP is using the same approach for the environmental aspect of its development activities.

2. This partnership-based approach which empowers local populations is also a key element with respect to post-CAP sustainability. A catalyzing agent or reason is needed to coalesce community interests around a single objective. This agent must be something of very clear and pressing importance for all members of the community, such as a road. However, once the utility of the partnership approach has been understood by the community, it is relatively easy for it to approach other partners for the realization of other interests, even those of less acute importance.

Contact Person: Dale Rachmeller

LOVA: Building Capacity of Environmental NGOs

The SAVEM project is using community management approaches to help conserve biodiversity at six national parks in Madagascar. Based on the experience gained from managing the Conservation Action Grant Program--as well as feedback from various evaluations, needs assessments, and internal planning processes--the U.S. NGO, PACT, created a Planning Team to design an Action Plan for an NGO Capacity Building Program within the SAVEM Program. This Planning Team, including a representative of the biggest NGO Association in Madagascar (COMODE) conducted a series of interviews with 17 Malagasy NGOs, six International NGOs, and three organizations, USAID/SAVEM, APPROPOP and the Peace Corps. All of them were very interested in the objectives of the Action Plan.

The Mission decided to use an NPI approach to better mobilize human and financial resources in order to consolidate the strengths of existing NGOs and create opportunities for new NGOs to become well-managed, self-reliant organizations contributing to development and conservation in the protected areas and peripheral zones outlined in the SAVEM project. The participatory programming process will ensure that future USAID activities reflect the desires of customers.

The LOVA Action Plan for NGO capacity building has six objectives. The first is to identify and strengthen 25 local development and/or conservation NGOs or community organizations, and to increase their ability to contribute to the development of Madagascar. The second is to increase the program, financial, personnel management and leadership skills of the staff/ members of 25 NGOs. The third aims to improve the understanding of community development and conservation strategies and approaches of the 25 NGOs, while the fourth is to increase the training skills of 15 staff/members within LOVA and its partners and to develop a team of master trainers to assist in meeting LOVA's training objectives. The fifth and sixth objectives are to facilitate access of LOVA NGOs to potential funding sources which will enable them to use their skills acquired in the areas of conservation and community development, and to monitor, evaluate and document the increase in management and program skills of 25 NGOs over the project period.

LOVA has also implemented actions to create an enabling environment and foster partnerships. It emphasizes practical approaches--rather than theoretical knowledge--and uses a range of partners, particularly U.S. PVOs and local NGOs, to implement and conduct program activities. LOVA goes to the NGOs, rather than asking the NGOs to come to them. The project maintains an ongoing, interactive relationship with NGOs, rather than a formal, bureaucratic relationship, and works to minimize bureaucracy in facilitating interactive relationships. LOVA management employs a participatory decisionmaking process, and utilizes the results of grant recipients' roundtable, and an institutional support grant to SAF/FJKM (one of the first Malagasy NGOs) as well as results from the COMODE NGO Assessment in managing its program.

LOVA has noticed several value-added results. The development of the collaboration between LOVA and the six national parks included mutual consultations, common thought on appropriate methodologies, and a common vision of solutions to problems. LOVA recorded unexpected motivation and interest among local partners. A "reflection" mechanism was instituted at the local level. This assessment noted the willingness of local organizations to improve their management and their desire for more knowledge on how to increase the effectiveness and efficiency of their activities. The initial partnerships have provided LOVA with opportunities to establish partnerships with other institutions and projects, such as FID (Fonds d'Intervention pour le Developpement), ANAE/FORAGE (Fonds Regional d'Appui à la Gestion de l'Environnement), the Environmental Foundation TANY MEVA.

Lessons Learned

1. The partnership and the participatory approaches that LOVA uses encourage feedback from local groups. Without these participatory and mutual consultations, it would be difficult for LOVA to plan training which is responsive to a range of individual capacity building needs.

2. LOVA needed to be patient when seeking local competencies that corresponded to the Action Plan needs. The reinforcement of the villagers' association as a development structure is a long-term process and requires some enabling factors that are not under the control of USAID, such as the reform of the NGO law, post-project funding sources, and the adoption of the law that empowered the local structures to manage local natural resources.

Contact Person: Lisa Gaylord

V. CROSS-CASE ANALYSIS OF LESSONS LEARNED

This section discusses the broad lessons learned from the Mission's NPI experience. From the cases described above, several broad themes can be identified.

- The Agency's core values have resonated well among all our partners and by "walking" our values, the Mission's NPI activities have been accelerated.

- It is clear that forming and sustaining partnerships is a time-consuming process. Missions need time to identify the most appropriate partners for an activity. These partners need time to develop the partnership to a point where it can function effectively. Mature partnerships require trust among the partners, a common understanding, an agreed manner of discussion and decisionmaking, and clearly identified common objectives. This all takes time to achieve, and the process cannot be speeded up to any great extent by applying external resources.

Missions using the NPI approach must incorporate the required time for partnering into their strategies and activity designs.

▸ Local organizations often require improvements in their operational and organizational capacity to effectively engage in partnerships. When partnerships are required to handle funds and implement activities, the partnership itself needs to build the organizational structure and capability needed to achieve its objectives.

> Perhaps the greatest value added from the partnerships promoted by the Mission is the precedent for getting organizations from different sectors to work cooperatively and collaboratively to address local development issues. This precedent, in effect, creates a context for further developments in partnering at the local level.

▸ The transfer of power from central authorities to local communities remains a major constraint to the effectiveness of partnerships and to the whole participatory approach. Achieving a devolution of power is often the major contribution of the NPI approach to realizing development results.

▸ The NPI approach is more effective when the Mission assumes the role of a team member rather than that of a directive donor. This strategy gives all members and partners the opportunity to exchange and share information, experiences and viewpoints on a more equal basis.

▸ Since most of the Mission's activities involve several local level organizations, more effective, appropriate, and efficient development can usually be realized by at least increasing communication among these organizations. When greater interactions such as cooperation, coordination, sharing of resources, or joint activities among organizations are desired, the NPI approach greatly facilitates the achievement of results.

VI. CONCLUSIONS

A. Value Added

The partnering activities of the Mission have had a clear value added effect. The increased communication and cooperation among local level organizations has greatly increased the efficiency and effectiveness of several Mission activities such as family planning, road maintenance, and increased economic activity in the peripheral zone of nature reserves. The partnerships have also created a local development structure that has attracted other resources and forms of support from both external donors and internal public and private sources. Perhaps the greatest value added from the partnerships promoted by the Mission is the precedent for getting organizations from different sectors to work cooperatively and collaboratively to address local development issues. This precedent, in effect, creates a context for further developments in partnering at the local level. The

current partnering activities have clearly shown that, in at least some situations, the synergistic effect from partnering among local organizations can greatly enhance the development process.

B. Next Steps

1. Next Steps for the Mission

The Mission fully supports the NPI approach and plans to continue to work through local level partnerships and to expand such partnerships where feasible. There are, however, some areas for further work by the Mission. The Mission needs to determine the different methods by which local partnerships can be fostered as well as the most appropriate means for developing the organizational capability of local organizations to meaningfully participate in partnerships. The Mission also is trying to determine how to assess the organizational capacity of local organizations and identify appropriate indicators of increased organizational capacity and sustainable partnerships. Finally, the Mission is searching for ways to adjust its reporting requirements to better facilitate the participation of local level organizations in its planning and implementation activities.

2. Suggestions for the Agency

The value added from involving local partners in the development process is very clear. The Agency needs to continue to assist Missions in their efforts to incorporate local partners into the design, implementation, monitoring, and evaluation of activities and in their efforts to use partnerships to enhance development at the local level. Continued technical support from AID/W will be required to allow Missions to progress significantly in this direction. Some financial support to assist Missions with implementing partnering activities would also be welcome. The Agency still needs to continue to review and adjust its procurement procedures if small local level organizations are to become true partners in a Mission's activities.

3. How the Mission Envisions its Role as an NPI Mentor

USAID/Madagascar was very pleased to be selected as a Partner Mission for NPI. The Mission has benefitted from its involvement in NPI through the technical support provided and the increased attention to local organizations and partnering resulting from the NPI. The Mission hopes to continue to assist the Agency as a whole and other Missions directly in their attempts to better understand the complex process of involving local level organizations in development activities. One area which will support NPI is the Leland Initiate, which will begin to connect Malagasy institutions, groups and individuals--including those in isolated regions--to their partners around the globe. USAID/M welcomes direct contacts and dialogue with other Missions concerning our partnering activities and hopes this Resource Guide will increase the focus on partnering within the Agency.

NPI FINAL REPORT -- *USAID/Panama*

I. INTRODUCTION

The USAID/Panama program supports U.S. foreign policy objectives aimed at successful implementation of the Panama Canal treaties. Under the treaties, Panama will assume full ownership, control and operation of the Canal on December 31, 1999. In the interim, the U.S. has begun transferring extensive military bases and Canal operating areas to the Government of Panama (GOP).

A democratic, prosperous and stable Panama will help ensure smooth transfer of Canal ownership and control, contributing to efficient Canal operations well into the next century. In addition, well planned, productive and socially responsible use of the reverted areas is essential to offset the loss of income and employment resulting from closure of the U.S. military bases.

Environmental protection of the Panama Canal Watershed (PCW) is vital to safeguarding the fresh water resources upon which Canal hydrology depends. Continuing deforestation threatens the sustainability of these resources. Community participation in the protection of the Watershed requires close collaboration with the municipalities and local councils within and around it.

The current environment in Panama for work with nongovernmental organizations (NGOs), private voluntary organizations (PVOs) and community-based groups is optimal. Civil society is beginning to take hold. The second national level elections have recently taken place and people believe in civil government. The GOP has begun attempts to stimulate relationships with the private sector and civil society, assessing possibilities to create various types of institutional relationships, e.g. the recent UNDP-sponsored seminar "Panama 2000." At that seminar, the GOP, civil society and the private sector met to discuss management of the Panama Canal, reverted properties and the PCW. Civil society voiced its concerns, including the future of National Parks within the PCW and the environmental importance of the Inter-oceanic region. The GOP agreed with issues raised and acted upon them.

USAID/Panama seeks to provide local NGOs, community-based organizations and local citizens with a legitimate role in the development/transition/management process for the transition of the Panama Canal and its adjoining properties and the management and protection of the PCW. It is important that organizations and citizens possess the capacity to act and have a clear sense of the importance of shared participation and responsibility to achieve results.

II. COUNTRY CONTEXT: FOSTERING PARTNERSHIPS IN PANAMA

A. Description of the Roles of Nongovernmental, Governmental and Business Actors

Panamanians continue to build a democratic society, but despite efforts, this continues to be a very difficult task. Over the last few years major reforms to the judicial system, increased access to the political process, the beginnings of privatization, increased free trade and a review of agrarian reform policies and the facilitation of individual and communal land titles have been initiated.

Presently there are an estimated 177 NGOs working in a multitude of developmental areas including agriculture/livestock, human rights, education, family issues, research, youth, environment, microenterprise, women's issues, nutrition/health, senior citizens and housing. Microenterprise and environmental NGOs seem to be the strongest and have begun to participate in country and sectoral level planning. These organizations have also begun to mobilize resources and have increased support to their membership. Some of these organizations have begun to develop medium- to long-term strategic plans which include results and indicators for measuring results. A few organizations have initiated solid relationships with the private sector and have received technical assistance and financial resources from them.

The challenge to NGOs is engaging them to share risks and responsibilities and acting as full members in a partnership. Many still depend on donations and have not begun to realize the potential of local resource mobilization and/or financial sustainability.

Local organizational capacity takes time, resources (technical and financial), creativity and ingenuity to produce and maintain, but the investment does have a high payoff. There are a few organizations in Panama which possess this capacity and the ability to assist the more incipient groups. They are beginning to see the importance of supporting other civil society members, but in many case do not possess the "know-how" to do so. NGOs have been much more effective then the GOP in technology transfer and the establishment and sustainability of credit funds for agricultural production and microenterprise.

Highlights over the past few years in Panama come from developments and advances by the small business sector. Throughout the country, cooperatives, associations and even several banks have contributed to increased incomes, economic growth and equity. These organizations provide small amounts of credit, but more importantly provide training, ongoing technical assistance and motivation to grassroots based enterprises.

B. Special Challenges and Constraints

Fifteen percent of the population controls 55% of the country's wealth, 46% of the population lives in extreme poverty (up from 34% in 1986) and approximately a third of the households suffer nutritional deprivation. Panama, the southern-most country in Central America, shares the violent history of a region shaped by foreign intervention and monetary interest. The U.S. Embassy, United Fruit Company and the Panama Canal Company have exerted influence over Panama's public policies and intervened in its internal affairs throughout the country's 90-year history.

Despite the increase in the number and activity of NGOs, many are still weak institutions and some exist only on paper. Other NGOs have political agendas. The InterAmerican Fund has to be especially careful when considering funding new NGOs to ensure that they have credibility, are effective and maintain non-partisan political positions.

Essential to the success of this process is for both the GOP and civil society to be more conciliatory and patient with one another. The GOP must begin to understand and accept that NGOs offer a viable alternative to government in areas where public participation is necessary, i.e. protected areas and national parks, and special areas such as the reverted areas of the Panama Canal.

Decentralization is just now becoming a priority of the GOP. Legal, constitutional and structural changes are being pushed forward, permitting local initiatives in fiscal, administrative, regulatory and policy matters. For the past 30 years, government in Panama has been centralized. During the Torrijos era, local governance was experimented with, but without success. Citizens are just now learning that they must address issues such as employment, the environment, safety and education.

The USAID Municipal Development project supported the Panamanian Association of Municipalities (AMUPA) in its organization of the first two national conferences of elected municipal officials. Sixty-one of Panama's sixty-seven mayors and over 900 other local officials participated in working sessions, producing specific recommendations which were presented to the President of Panama who attended the closing ceremony.

USAID/Panama's Municipal Development Project continues to address the importance of local governance through ongoing technical assistance to the Association. This is the first step in the process. There is still a long way to go especially in the area of advocacy, individual concerns and citizen participation. A major concern is that there is very little official coordination between local government and local nongovernmental entities. Because of this the capacity for local initiative, i.e., entrepreneurial, voluntary, or local governance is stagnated. The National Government currently does not support this and this activity requires a supportive national environment.

III. ACTIONS

A. General Description of NPI Activities Undertaken

The Mission will utilize its NGO partners to structure relationships which will support development issues important to urban and rural poor, and contribute to the emergence of self-sufficient organizations with sustainable activities.

The Mission has begun to restructure its activities to focus on the total inclusion of organizations other than the GOP. As mentioned previously we will emphasis working with the nongovernmental sector in the MARENA project. Currently the Mission is developing a reforestation fund for the PCW, which will provide training and technical assistance, resources for reforestation, and also a small component for sustainable development/alternative income-generating activities.

As with this activity and our private sector and municipal development activities, the Mission is in the process of redefining its role as a donor. We are discussing with our partners the importance of co-financing and fundraising for the private sector to support development activities. We have met with and discussed ideas and initiative with the Panamanian-American Chamber of Commerce (COLABANCO), Banco Continental, Tierras Feliz and Golden Forest. COLABANCO is very interested in sustainable development and reforestation, and has expressed an interest in working with the Mission in this area.

Agrarian Development Bank has co-financed a cattle production and reforestation project with the Fundacion NATURA. The National Bank of Panama is considering working with Fundacion NATURA to promote and finance reforestation and agroforestry project. Collaboration with the Inter-American Foundation (IAF) has been ongoing for more than three years. Various organizations that the Mission supports have been supported by the IAF through financial donations and technical assistance.

The Mission has a keen interest in the Participatory Rural Evaluation methodology (REP). This process is initiated before the project design phase and includes beneficiaries, the GOP, NGOs and others interested in supporting development projects, as well as those who at some point in time could have a role in supporting the project, organization and/or community. This process is ongoing throughout the project and contains periodic assessment/evaluation sessions with all involved entities. The goal is to track the tangible results as well as the intangible results, utilizing indicators agreed upon by all involved organizations and individuals. Indicators include Standard of Living, Personal Capacity, Organizational Capability, Organizational Culture, Policy Environment and Community Norms.

B. Operationalizing NPI

USAID/Panama, through meetings with the private sector, civil society NGOs, community organizations and universities, has established a task force to discuss the transition of the Panama Canal, reversion of U.S. properties and the conservation and protection of the Panama Canal Watershed. Members of this group include: the Universidad Nacional de Panama, Asociacion de Empleados Kunas, Fundacion Dobbo Yala, Smithsonian Institute for Tropical Research, COLABANCO, Banco de Desarollo Agropecuario, Fundacion NATURA, CARITAS, Fundacion Panama, Congreso General Kuna, Congreso General Embera, Tierras Nativas, Cooperativa de Ahorro y Credito de la Union Nacional de la Pequena y Mediana Empresa (CACPYMER) and the Asociacion de Empresarios Extensionistas de Panama (ASEMEP).

The Mission has structured two working groups. One group focuses on natural resource issues and the protection of the Panama Canal Watershed, while the other group deals with reversion/transition issues. A small group was formed of members of both groups to discuss overlapping issues. The Mission has broadened its partner base to involve civil society in discussions--up to this point only discussions because the GOP has not officially invited civil society into the transition or reversion process.

USAID/Panama plans to invite these three "task forces" to become formal partners for both our Strategic Objectives. For the protection and conservation of the PCW we are ahead of the game, since NGOs and community organizations currently support USAID initiatives. The Mission also has a workshop/seminar planned to discuss the Strategic Objective and the Special Objective with a small number of representatives from the private sector, NGOs and community-based organizations.

There are two overarching issues which are unique to Panama and USAID projects:

1. The conflict between development and preservation of Protected Areas and National Parks.

2. Is there are role for Civil Society in the transition of the Panama Canal and the reversion of Military and Canal properties? USAID thinks so. How can their role be defined and excepted by the GOP?

When assessing the issues and how to address them, USAID does need to conduct capacity building--not only with NGOs, but more so with the GOP, specifically the INRENARE, Transition Commission and the Inter-Oceanic Regional Authority. The enabling environment in which civil society and the GOP need to work currently does not exist. There is insufficient communication and little interaction. Before the transition and reversion processes become truly transparent, the enabling environment has to improve.

USAID will use four indicators to measure results:

- *reach/linkages* - number of organizations or networks with which the GOP has linkages;

- *vision* - the degree to which the GOP and Civil society jointly identify new opportunities and situations which motivate action;

- *democratic practice* - degree of participation of non-governmental organizations in decisionmaking; and

- *laws/policy* - the number of legal measures influenced by civil society at the municipal, regional or national level.

These indicators will be reviewed, measured and discussed every six months with partners. Partners will provide both oral and written comments pertaining to indicators and achieving results. Results will assist in modifications or adjustments to strategies. It is important from the beginning of these activities that partners understand that modifications might be necessary. This will allow the process to be truly participatory and transparent.

C. Ability to Leverage Support from Other Development Partners

The Mission has no financial resources to dedicate to this activity. Several members of the Mission staff have and will continue to dedicate time and attention to this activity. Because there have been no financial resources allocated to the process, progress has been slow. Seminars and working meetings have been insufficient to discuss, design and implement strategies and project activities because of the lack of funds.

Also important to mention is that there are currently no other donors involved in the process. Exploratory discussions have taken place with UNDP and we plan to meet with the local representative soon to include them in this process.

IV. CASE STUDIES OF INNOVATIVE APPROACHES/ACTIVITIES

* Enhancing the Enabling Partnership *

A. *Development problem to be addressed*	Insufficient capacity to implement reforestation agroforestry projects by GOP.
B. *Why Mission decided to use NPI approach*	To increase results for intermediate result 1.2 for strategic objective #1.
C. *Description of actions undertaken/planned*	1. Utilized Natural Resource Task Force as a sounding board for ideas. 2. Invited non-members (private sector, NGOs) to Task Force to express ideas on how they would address the issue and explain current activities. 3. Promoted working relations between GOP, NGOs and private sector so that jointly they would present proposals for reforestation within the PCW. 4.Provided resources for jointly implemented projects. 5. Provided TA and site visits to successful projects with similar attributes.
D. *Lessons Learned*	1. That collaboration can be achieved if the anticipated results are common among all vested parties. 2. In many situations individuals, organizations do not know how to establish enabling partnerships.
E. *Results/value added/utility of NPI approach*	1. Increased number of hectares will be reforested in the next two years. 2. Grassroots beneficiaries will be provided with alternative methods for agricultural production. 3. Increased awareness of the importance of forest cover within the PCW. 4. Increased income for those living in the PCW.
F. *Primary contact person for additional information*	Guy Branch USAID/Panama Eladio Arauz INRENARE Antonio Telesca ANCON

V. LESSONS LEARNED

The following are key lessons learned that the Mission would like to share with the Agency and other partners:

a. NPI has to be a full-time activity if it is to be successful. Numerous organizations (i.e. Partners of the Americas) do this on a full-time basis.

b. Constant technical support has to be provided to secure a solid partnerships needed for NGO empowerment, local governance and joint project implementation. This support has to be provided by the Mission.

c. Specific goals and objectives must be developed if this initiative is to bear fruit. Goals and objectives have to be clear, concise and understandable by partners. In the case of Panama this still needs to be worked out (i.e. forest cover in the PCW, role of Civil Society in the reversion process). It is also important to establish measurable indicators in a participatory manner. It is important that partners be involved from the beginning.

d. Financial resources are needed to initiate the partnership process. Seminars and working meetings away from the Mission are essential. Visits to **other successful** projects in the country and region are also key to influencing participation.

   Technical assistance to all partners--NGOs, GOP, the private sector--is necessary in areas of joint decisionmaking, participatory approaches, administration and financial sustainability. This is most important in developing a strategic plan for project/activity (s) implementation.

c. This initiative needs to be addressed with other U.S. institutions who provide support for development activities and/or administer similar types of projects. Several organizations which come to mind are: The Inter-American Foundation, The African Development Foundation, CARE, AFRICARE and Partners of the Americas.

   It is important to present this initiative to the MDBs so that they become familiar with this initiative and possibly support activities directly and/or indirectly.

d. The information network for this type of activity does not exist in most countries. It is important that USAID develop a conference on the Internet to discuss and share information with other institutions concerning the initiative. The only time this Mission receives any communication concerning the initiative is when its time to prepare reports or Washington needs information. This Mission has no idea what other countries, organizations are doing in this area, except for the very minimal information we have received concerning who are "Leading Edge and Partner Missions".

The Mission has received no guidance or feedback on its ideas, and has not been invited to participate in any training activities. In many cases the Mission does not know who to contact for advice. This Mission has had no direct Communication with LEMs and Partner Missions.

USAID is committed to restructuring its relationship with its partners. Additional resources (i.e. for training, travel and TA) are needed to accomplish this. With recent manpower cutbacks, USAID/W's role in this process becomes even more important. USAID/W could provide resources to contract organizations and individuals with experience in fostering partnerships to provide assistance to Missions and Partners.

Results and indicators are a new concept to USAID personnel, and foreign to most of our partners. This process necessitates a formal and ongoing educational period. If public and private organizations are brought on board, this could be very successful and impact most program areas where USAID is currently involved.

VI. CONCLUSIONS

A. Value Added of NPI Approach

This activity has assisted the Mission in defining a strategy to engage the NGO community, mass communication and the private sector to begin to think as a partner and not just as a grantee or potential grantee. It has also increased interest and participation in both of the Mission's Strategic Objectives. Recently many of the Mission's programmatic decisions have been based on input provided by partners.

The Mission is also assessing the relationship of the two Strategic Objectives and looking for areas which are cross-cutting. This initiative has fostered increased communication and coordination at the Mission level which Partners can relate to, and we no longer carry out activities in a vacuum, but rather openly discuss issues and concerns and jointly develop solutions.

The R4 process has become easier to accomplish because of the commitment to NPI. It allows us to utilize our partners' country specific expertise and in some instances to actually assist with portions of the R4 preparation.

NPI has indirectly enhanced the administrative capacity and transparency of INRENARE through such projects as Management of the Panama Canal Watershed, Management of National Parks and Wildlands and Reforestation. It has also assisted the Mission to expand existing initiatives (i.e. reforestation) and draw on the expertise of U.S. NGOs to provide TA and training.

The Mission has also fostered stronger ties among the GOP and non-governmental actors. Currently most activities which fall under the Natural Resource Management Project include some aspect of coordination and partnership. We consult with our partners on all activities and encourage the GOP to do the same, for example by including NGOs and community-based organizations where project activities will be initiated. Through the Reversion project, coordination between the private sector and the GOP now exists where none existed before. Furthermore, this has caused an indirect chain reaction by the GOP because it now sees how the nongovernmental sector can support its local, regional and national policies.

B. Next Steps

1. For the Mission

With the extremely limited financial and human resources available, the Mission does not plan to expand the NPI approach, but rather to refine, improve and solidify it. The Mission will take into account the level of constraints in the enabling environment by implementing several activities which will continue to build a partnership between the GOP, local government, NGOs and the private sector.

The Mission will sponsor symposia to discuss and plan activities to address the Strategic Objectives. If possible, the Mission will allocate resources for an ongoing inter-institutional working group that can plan and assess project ideas, and take a leading role in project implementation and evaluation.

With support from USAID/W, the Mission will develop a strategy that crosses programmatic sectors to address both Strategic Objectives. This will entail fostering the Mission initiative of bringing partners from both SOs together to plan at least two activities that can be implemented jointly. The Mission will also set aside resources to support a joint reforestation/agroforestry/environmental education program for the PCW that will be planned, implemented and evaluated by a U.S.-based NGO, the GOP, private sector groups involved in reforestation, and local NGOs.

2. Suggestions for the Agency

a. Increase technical support to Leading Edge and Partner Missions so that they better understand how to utilize NPI. It is also important to develop a resource list which can be called upon when issues or questions arise. Additional case studies, such as those provided in the NPI Core Report, need to be provided to participating Missions.

b. Regional Partner seminars and/or conferences should be held to provide partners with additional information and motivation to continuation there valuable efforts.

c. Additional resources need to be provided for special activities by Partner Missions. Resources are limited and most Missions do not have resources to implement NPI activities.

d. As stated in the Core Report, NPI is not expected to entail a rapid, radical transformation of Mission activities or Strategic Objectives. However, Missions are expected to tailor their programs to the NPI conceptual framework. This Mission's experience suggests that additional work has been needed to carry this out, and even more time needs to be devoted to this initiative if it is going to have an immediate impact.

3. How the Mission envisions its role as an NPI Mentor/Resource

This Mission has relevant experience in working with NGOs, civil society and the private sector. For example, one Mission staff person intimately involved with the NPI activity has worked in Panama with the civil society sector previously as the Inter-American Foundation Representative. During that time, an NGO "network" was established which still functions today. Other members of the Mission have also worked with local NGOs, both in Panama and at other USAID Missions. There is a wealth of experience and knowledge currently present at the Mission.

USAID/Panama could assist in the development of a regional strategy as well as support other Missions. But again it is important to point out that the "quality time" needed to get this initiative to the point of self-sustainability is currently not available.

NPI FINAL REPORT -- *USAID/Romania*

I. INTRODUCTION

USAID/Romania decided to join the NPI effort as a Partner Mission in order to share with a broader audience its innovative work in helping to forge partnerships between nascent NGOs, local government, universities, professional associations, and the private sector to address critical social problems that are the sad legacy of the repressive Ceaucescu regime. The Mission chose to focus on women's reproductive health in large measure because of the communist regime's longstanding pro-natalist policy under which women were required to bear children and were prohibited from using contraception and because of perceived opportunities to bring together a wide array of social actors to tackle the issue.

Modern contraceptives were largely unavailable to the majority of women except at exorbitant cost on the small black market. As a result of this policy, Romania registered the highest maternal mortality rate in Europe as many women chose to have illegal and invariably unsafe abortions. In addition, the number of children who were institutionalized and cared for by the State, often in horrible conditions, grew dramatically and created a national scandal with which the current government must still contend.

USAID/Romania enlisted in the NPI ranks during the Learning Phase in order to offer an illustration of how the aforementioned multi-sided partnerships can work to achieve sustainable results. The NPI approach evolved naturally in Romania as the most effective way to mobilize limited resources and to bring about far-reaching changes in national policy in the face of a central government that had made only halting progress toward political, economic and social reform. A conventional, central government-oriented development strategy was unlikely to prove fruitful. This was particularly true in the area of women's reproductive health since the then Health Minister had a lukewarm attitude toward contraception and to the prospective role of the NGO sector.

USAID/Romania enlisted in the NPI ranks during the Learning Phase in order to offer an illustration of how the aforementioned multi-sided partnerships can work to achieve sustainable results.

Following the 1989 revolution which brought down the Ceaucescu regime, the new coalition government vowed to move the country in the direction of democracy and free markets. At that time, both NGOs and for-profit enterprises were virtually non-existent. Local governments were all but powerless. The climate for community action and civic participation was extremely negative. Universities were centrally-controlled by the Ministry of Education, which dictated curriculum, faculty appointments, and procedures. Few professional associations existed.

In terms of women's reproductive health, the Ceaucescu regime's ban on contraception and abortion had produced the highest maternal mortality rate in Europe, a dubious distinction which persists to the present day. Women over the age of 35 still terminate 80% of their pregnancies through abortion and on average are reported to have five abortions during their child-bearing years.

II. FOSTERING PARTNERSHIPS

To address the issue of women's reproductive health in Romania, the Mission helped forge a wide-ranging and inclusive partnership between two NGOs, Society for Contraceptive Education (SECS) and Youth for Youth, the University of Cluj Medical School, Ministry of Health's Center for Maternal and Child Health and Family Planning Unit, local departments of the Ministry of Health, municipal government, professional organizations and some private businesses.

The overarching strategy for establishing a framework for women's reproductive health consisted first of all in encouraging and then assisting the government to undertake a shift from treatment-oriented tertiary care system to a prevention-oriented, primary care one. Heretofore, Romania had emphasized hospital treatment while primary care was limited only to General Practitioners (GPs) assigned to local dispensaries. These dispensaries were sorely under-supplied, meaning GPs were able to provide only limited treatment and forcing them to refer patients to the secondary health system. These polyclinics, in turn, would admit patients to hospitals or treat them on an out-patient basis.

Only ObGyns had the right to provide family planning information or services to women. ObGyns, however, worked at the polyclinics to which patients had to be referred by the GPs, who were banned from furnishing such information and services. The bottom line was that there was no place in the system for provision of family planning information owing to the ban on contraception.

The Mission took a two-pronged approach to dealing with the issues of primary versus tertiary care and the role of GPs versus specialists. USAID/Romania funded a World Vision project which was engaged in curriculum reform and established a Department of Family Practice in Cluj that was geared to strengthening the role of GPs and enhancing their professional standing. Simultaneously, the Mission launched a policy dialogue with the Ministry of Health to broaden the scope of family planning services that GPs could legally provide. Eventually, the MoH agreed that GPs could provide such information (but not insert IUDs or perform abortions) after having completed a six-month certification course. Unfortunately, three years later this course is yet to be designed and no GPs have been certified.

A further constraint was the fact that during the Ceaucescu period physicians were taught that modern contraceptives were unsafe so that when they became legal there existed a strong resistance to their use within both the medical establishment and the general population. In addition, one of the most commonly available and most reasonably priced contraceptives was the "Hungarian Pill"

which was saddled with a bad reputation both because it was a "high dose" pill and because ethnic tensions with between Romanians and Hungarians generated suspicions. To make matters worse, with the collapse of the health care system and non-payment of salaries a common occurrence, ObGyns have a financial incentive to perform abortions rather than supply their patients with contraceptives. Moreover, conditions are frequently dangerous, ranging from poor sterilization of equipment to the absence of local anesthetic.

Confronted with this mindset, USAID/Romania and its development partners faced a daunting challenge in educating women as well as the medical community about the benefits of family planning. The Mission funded the NGO SECS to establish the country first private family planning clinics. The organization was started by a group of influential ObGyns appalled by the number of women dying or permanently harmed from illegal, unsafe abortions during the communist era. SECS currently operates 12 clinics, only 7 of which are supported by USAID.

Government-run family planning clinics were funded by a World Bank health sector loan; 12 such facilities are now open. A survey conducted by the Mission concluded that less than 10% of potential users of contraceptives chose to go to these clinics due to concerns about the attitudes of the staff and about confidentiality.

Private sector, for-profit clinics have also emerged in the last few years. USAID/Romania has assisted them with training on business management and plans to send some of these doctors for U.S.-based training. Bringing the private sector into the family planning strategic partnership also was extended to include pharmacists who work closely with doctors in reproductive health. USAID also worked to foster links between NGOs and the government. The USAID-funded clinics run by SECS provided training to government staff working in various units related to family planning service delivery. Resource-strapped public officials came to recognize the significant role NGOs can play in social service delivery, making them a worthy partner in the overall development process. The next step is to get these clinics to charge fees with the explicit goal of becoming financially self-sustaining.

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III. THE ROAD AHEAD

The prospects for deepening and expanding these USAID-spawned strategic partnerships and shaping the policy environment have improved considerably with the election of a new pro-reform government which committed itself to tackling the tattered health care system. The Mission will seek to form a close working relationship with the new Minister of Health and convey to him USAID and

partner's policy agenda in the area of women's reproductive health. At the same time, the Mission will fund curriculum development at the University of Cluj Medical School so that all physicians, nurses and pharmacists trained there will receive a solid grounding in this area.

Other steps will include pressing for the completion of the certification course for GPs so they can dispense information on and prescribe contraceptives; providing small grants for women's NGOs active in advocating for policy reform and assisting a coalition of these groups to present their policy prescriptions to the Ministry of Health and to the Prime Minister; training a select group of journalists who can then write knowledgeably on women's reproductive health; and working with ObGyns to develop new medical standards for contraception.

...the NPI-inspired approach to partnership pursued in Cluj will be developed further into a regional model while a complementary effort will be launched in Bucharest, the national capital, to demonstrate how partnerships are among the most effective tools for achieving sustainable results.

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NPI FINAL REPORT -- *USAID/Russia*

EXECUTIVE SUMMARY

Today in Russia, hundreds of American and Russian organizations are working together in partnership to address many of the issues facing Russia as it pursues the simultaneous creation of a democratic society and a competitive market economy. Just over 100 of these partnerships have received funding from the U.S. Government's Freedom Support Act assistance program for the Newly-Independent States (NIS) through USAID.

The partnerships span all areas of USAID's development portfolio: agriculture, business, energy, housing, civic initiatives, legal reform, media development, health, and the environment. Health partnerships are the most numerous; the agribusiness partnerships have involved the greatest amounts of money. USAID has obligated more than $111 million to partnership activities since the beginning of the Russia program in 1992.

In part, USAID has used this approach to providing development assistance because, in general, it is felt that partnerships:

- more fully engage the energies of the partners than a contractual relationship would do;
- leverage additional financial resources from the partners for the implementation of activities which the partners mutually agree to carry out; and
- are sustainable indefinitely.

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In Russia, USAID had other reasons for adopting the partnership approach. First, as early as 1992-93, USAID identified the need to respond *both* to the requests of the new Russian government for assistance in reorienting the structure of the political system and economy and to the demands of the newly-empowered "grassroots" for support and information. By making grants to key nongovernmental "umbrella" organizations, and asking these organizations to make subgrants to American-Russian partnerships, it was possible to respond to a wide variety of immediate community needs and to encourage the rapid growth of Russians' own abilities to play a greater role in the social sector and economy than had been possible before. Second, by targeting partnership grants to organizations involved in addressing social problems--health in particular--USAID was able to play a small role in assuring that the personal difficulties faced by Russians as the social services of the old regime collapsed in the transition were in some way mitigated.

USAID/Russia has funded nine major partnership programs to date as well as a number of stand-alone partnerships which were received through unsolicited proposals.

In early 1996, as USAID/Russia began to plan for the closeout of its program and for the most effective focusing of activities and assistance in the 1997-98 period, it became clear that it would be useful to know more about just what made American-Russian partnerships tick--or, conversely, what might make them grind to a halt. In summer 1996, therefore, a few USAID staff--supplemented by experienced Russian survey specialists--prepared a questionnaire to explore systematically some of the issues which informal observation had indicated were important for American-Russian partnerships. Results from the survey and interviews provided some new insight into the partnership modality--and to its appropriateness as a mechanism for accelerating Russia's democratic and economic transitions.

Partners take their relationship seriously. Nearly all of the partnerships have established a formal agreement--often a document such as a memorandum of understanding--that governs how the partnership will function and who is responsible for what. However, most partnerships do not rely on the formal documentation to govern their relationship; rather, a premium is placed on good informal communication between the partners. And most partners reported that such communication is good.

75 percent of all the partnerships received more than half of their funding from USAID. Those partners that received less funding from USAID were more active in seeking alternative sources of financing and in-kind support. This and other indications from the survey suggest a continued, widespread high level of dependence on USAID funding for these partnerships, a dependence that will shift to the American partner, other donors, or the Russian government once USAID funding ends.

While American and Russian partners tended to agree that both partners benefitted from the partnership relationship, their views as to the benefit accruing to the other partner were completely different. American organizations generally saw the Russian partner as acquiring the resources for new activities--a view consonant with Russians' own definition of their principal benefit. Most Russian partners, on the other hand, saw financial gain as the chief benefit accruing to their American partner--even to the non-profit organizations and universities! This view was not shared by the American partner. This surprising result may be related to the fact that control of the budget is often in the hands of the American organization. This may be a potentially damaging element in sustaining partnership relationships when USAID funding ends.

Equality between partners, or the perception of equality, was found to be an important factor in the partnership relationship, especially for the Russian partners. And most partners perceived that their relationship, on balance, was carried out on an equal plane.

When questioned about the future of their partnership after USAID funding ended, most partners saw the future through rose-colored glasses. They were optimistic that the partnership would go on at the same level of activity. However, responses to the budget source questions and our own experiences with those few partnerships no longer receiving funding suggest that there is a certain amount of naivete regarding the financial future and that partnerships will have a difficult time finding new resources once USAID funding ends.

In view of declining USAID resources in Russia, and the interest which continued partnership activity has garnered both in the U.S. and Russia, we recommend that:

As mentioned above, equality is an important factor in the relationship with Russian partners. Therefore, attention should be paid, in the design of future partnerships, to fostering the prospects for equality between the partners.

In order to ensure that new partnerships do not foster the potentially damaging view that American partners are only in it for financial gain, Russian partners should be given more influence over budget decisions. This can be structured in such a way so that accountability for the funds is maintained by the American partner but decisions on allocations are jointly--and transparently--made.

I. INTRODUCTION

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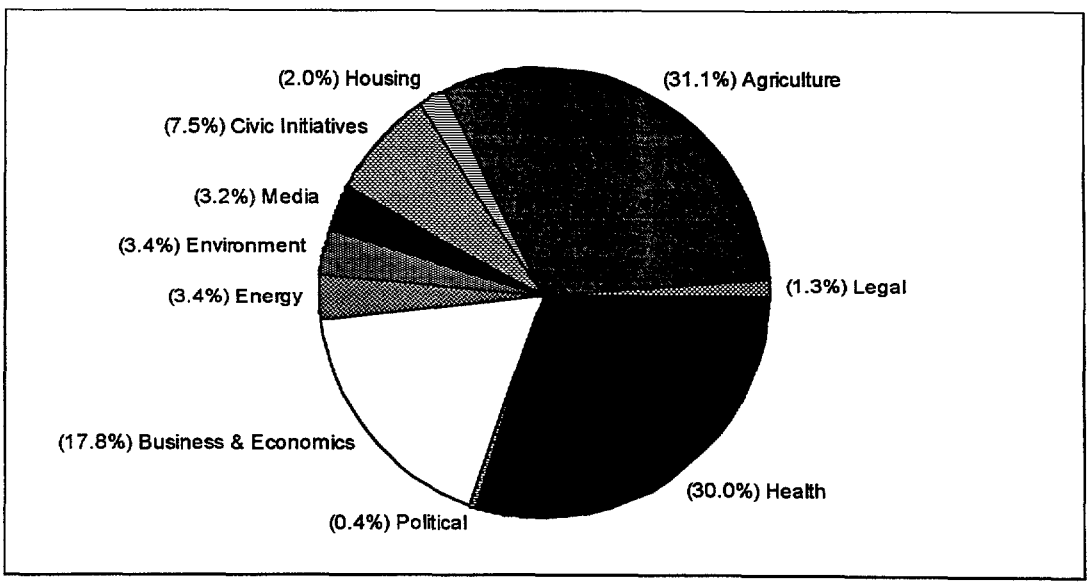
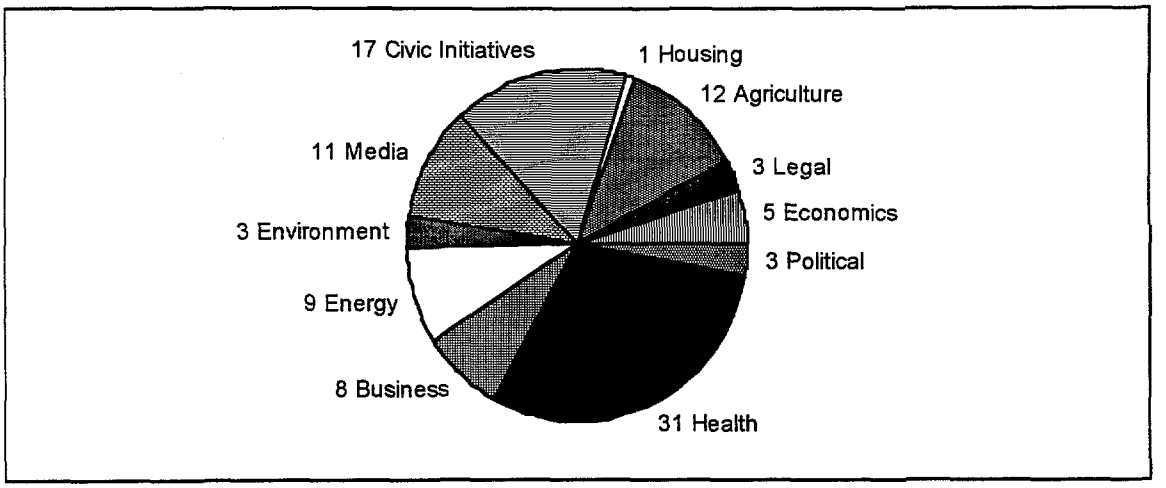
All of the partnerships will result in a sharing of skills between professionals in each of the partner organizations, an exchange of new ideas, and some kind of new activity on the ground in Russia. Some of the partnerships will result in profitable businesses; the agribusiness partnership between the American food industry giant, H. J. Heinz Co., and the Georgievsk Agro-Industrial Company, for example, is producing a baby food line with which they hope to capture a substantial Russian market share in the coming years. Other American partners are providing training services with established Russian training partners--and supplying information which has never been needed in Russia before. The St. Petersburg University School of Management and the University of California at Berkeley's Haas School of Management are working together, for example, to provide Russian students the market-oriented analytical skills which are essential to the economic transition but

USAID/Russia Partnerships,
Financing by sector, 1993-1996



USAID/Russia Partnerships by sector, 1993-1996



were completely unnecessary in pre-perestroika Russia. Still other partnerships are simply introducing completely new concepts to the Russian scene. The International Republican Institute has partnered with three Russian organizations in different cities to acquaint voters with different facets of the new democratic election process.

All of these partnerships were expected, in some way, to give a boost to the enormous tasks of economic restructuring and the establishment of a pluralistic democracy in Russia. With USAID funding, partnerships were able to tap into the best of American expertise and goodwill and put it into direct, face-to-face contact with Russians eager to work together in applying this expertise and goodwill to specific problems associated with the country's economic and political transitions.

A. Why Partnerships?

A "partnership" may be one of the most difficult organizational forms in the world to manage successfully: witness the high failure rates associated with the marriage partnership. Nevertheless, there is a strong belief among development organizations such as USAID that a good partnership between two organizations committed to a development goal can be mutually satisfactory and productive. Some even believe that partnerships are a more effective way to achieve development goals than more structured, "businesslike" organizational approaches such as those embodied in most technical assistance contracts.

Following this line of thought, it is asserted that a partnership will:

- more fully engage the energies of the partners than a contractual relationship would do;
- leverage additional financial resources from the partners for the implementation of activities which the partners mutually agree to carry out; and
- be sustainable indefinitely.

USAID is perhaps best known for promoting, throughout the world, partnerships between U.S. private voluntary organizations (PVOs) and host country nongovernmental organizations (NGOs). Such PVO/NGO partnerships are seen as an effective means for developing capacity of the NGOs while, at the same time, enabling the U.S. PVOs to provide valuable humanitarian or development services directly to the people without involving governmental authorities. But, as already noted, the partnership approach adapts well to other kinds of organizations and other kinds of objectives as well. Partnerships between educational institutions, for example, involve faculty exchanges, student exchanges, and joint sponsorship of research, conferences, etc. Such partnerships are expected to lead to a greater level of organizational linkage than might be the case with a more contractually-based arrangement.

Partnerships in USAID's private sector development programs have often focused on fostering the establishment of joint ventures, or partnerships, between American businesses and local businesses. These are seen as an effective means for bringing the experience and know-how from the American partner together with the local partner's greater knowledge of the local market. The mutual objective or "stake," of course, is a viable and profitable business.

In Russia, USAID had other reasons for adopting the partnership approach. First, as early as 1992-93, USAID identified the need to respond *both* to the requests of the new Russian government for assistance in reorienting the structure of the political system and economy and to the demands of the newly-empowered "grassroots" for support and information. By making grants to key nongovernmental "umbrella" organizations, and asking these organizations to make subgrants to American-Russian partnerships, it was possible to respond to a wide variety of immediate community needs and to encourage the rapid growth of Russians' own abilities to play a greater role in the social sector and economy than had been possible before. Second, by targeting partnership grants to organizations involved in addressing social problems--health in particular--USAID was able to play a small role in assuring that the personal difficulties faced by Russians as the social services of the old regime collapsed in the transition were in some way mitigated.

B. About this Paper

Some of the partnerships which USAID has launched have apparently succeeded; the Russian organizations are increasingly independent and effective and the American organizations continue to be involved as valuable partners. Other partnerships haven't worked; a lack of trust or outright conflict closed down the activity before completion.

In early 1996, as USAID/Russia began to plan for the closeout of its program and for the most effective focusing of activities and assistance in the 1997-98 period, it became clear that it would be useful to know more about just what made American-Russian partnerships tick--or, conversely, what might make them grind to a halt. In summer, 1996, therefore, a few USAID staff--supplemented by experienced Russian survey specialists--prepared a questionnaire to systematically explore

some of the issues which informal observation had indicated were important for American-Russian partnerships. The questionnaire was refined through testing and sent to all Russian and American partners by e-mail and regular mail. Response to the mail survey was good, with about 60% percent returning completed questionnaires. In the end, 37 pairs of questionnaires were received from both Russian and American partners. In addition, 46 personal interviews were conducted with representatives of Russian partners all over Russia, providing valuable qualitative information. The surveys may be found in Volume 2, Section B, Annex 13B.

This paper draws mainly on the written questionnaires, emphasizing, where appropriate, the "matched sets" of response returned from both partners in a partnership. In the next section, Section II, we describe briefly the criteria which were used as benchmark criteria for a successful partnership. In Section III, the different partnership programs are described. In Section IV, we look at the responses regarding each of fiver benchmark criteria for success. Section V draws together the main points which emerge from the survey and suggest some lessons for modifications of future partnership program designs.

II. WHAT MAKES A PARTNERSHIP?

Though often loosely defined, a partnership between organizations usually implies:

- some equality in the relationship between members of the partnership;
- joint action toward agreed-upon objectives; and
- mutual benefit from the activities going to each of the partner organizations.

More specifically, partnerships might be said to "succeed" when *both* partners:

1. contribute actively to realization of the objectives established by USAID as the rationale for the initial grant or cooperative agreement;

Partnerships might be said to "succeed" when *both* partners:

- contribute actively to **realization of the objectives** established by USAID as the rationale for the initial grant or cooperative agreement;
- mobilize **more resources** (both human and financial) for the program than are required by the agreement with USAID;
- derive **mutual benefit** from the activities of a scale significant enough to serve as an incentive to continue the partnership;
- show a substantial degree of **equality** in the relationship between members of the partnership; and
- are **sustained** after all USAID funding is terminated.

2. mobilize more resources (both human and financial) for the program than are required by the agreement with USAID;

3. derive mutual benefit from the activities of a scale significant enough to serve as an incentive to continue the partnership;

4. show a substantial degree of equality in the relationship between members of the partnership; and

5. are sustained after all USAID funding is terminated.

These criteria were used to examine the responses to the questionnaire and to assess the degree of success attained so far. Improved understanding as to what makes Russian-American partnerships work--or not--are important to advancing USAID/Russia's effectiveness in responding to the New Partnerships Initiative (NPI) recently launched by USAID as a whole.

NPI seeks to utilize partnerships to stimulate lasting economic, social and political development by building local institutional capacity, thereby accelerating host country "graduation" from U.S. Government assistance. NPI sees strengthening of civil society as the most critical element in a country's development--especially local civil society as represented by NGOs, small businesses and local governments seeking to solve local development problems, but also national civil society seeking to improve the "enabling environment" for development.

NPI is an internal USAID initiative in the sense that it is targeted to changing the way USAID approaches sustainable development in its strategies and in its operations. However, the implications of NPI go beyond internal USAID concerns since it foresees utilizing three types of partnerships to achieve its objectives: (i) partnerships between USAID itself and the grantees and contractors that implement USAID programs; (ii) partnerships among the NGOs, small businesses and local government that can best effect the development of civil society at a local level; and (iii) partnerships between communities in the U.S. and in other countries, with a view to highlighting the direct relevance of foreign policy to the everyday concerns of U.S. citizens.

The last type of partnership is particularly relevant in Russia since one of the overarching objectives of the U.S. assistance program is to strengthen the people-to-people and community-to-community relationship between the two countries. While only a portion of the USAID-financed partnerships in Russia directly address the de-velopment of civil society, they all seek to bring together Americans and Russians, thus bridging the gaps that have divided our countries for so long.

The creation and nurturing of partnerships between American and Russian organizations is expected to help to bring about a sustainable, stable relationship between the two countries that will be one of the lasting legacies of the U.S. Government assistance program.

III. WHAT KIND OF PARTNERSHIPS ARE WORKING IN RUSSIA?

Who were the people involved in the American-Russian partnership program--and how did they get selected for USAID assistance?

USAID/Russia has funded nine major partnership programs to date as well as a number of stand-alone partnerships which were proposed through unsolicited proposal processes. (The full list of partnerships is found in Volume 2, Section B, Annex 13A).

1. Private and Voluntary Organizations' Initiatives

Since 1992, the PVO Initiatives activity has provided small grants to NGOs throughout the Newly Independent States. USAID granted $22.5 million to World Learning, an American private voluntary organization, for Russian grants alone.

World Learning held five successive competitions to identify American sub-grantees wishing to pursue a partnership with a Russian organization. Each of the five competitions was focused on an area of social concern: social safety net organizations; volunteerism; institutional development of NGOs; management and communications of NGOs; and health care. Initially, the PVO Initiatives American sub-grantees dealt with quasi-governmental Russian organizations as few genuine NGOs existed. A rapid scan of the some of the partnerships funded shows the breadth of issues addressed:

- Dubna Educational Center in Dubna Hospital No. 9
  Lutheran Hospital, LaCrosse, Wisconsin

- Human Soul Foundation
  The Fountain House

- Novosibirsk Regional Sports Club "Finist"
  Wheeled Mobility Center

- International Women's Center
  Center for Development and Population Activities

- Chita Nursing Association, Yekaterinburg Nursing Association
  World Vision Relief & Development

- Creativity Association, The Russian Association of Women Business Owners Alliance of American and Russian Women, AID to Artisans

- Interlegal
  America's Development Foundation

This activity will come to an end in early 1997. The sizes of the World Learning grants ranged from $150,000 to $750,000 and the partners have used the money at widely differing rates.

2. **Institutional Partnerships Project**

The Institutional Partnerships Project (IPP) addresses the issue of continuing education and professional development, especially important in a Russia where retraining of professionals to adapt their skills and update their knowledge for work in a democratic, market-oriented economy is critical.

IPP grants were made to partners with good plans for strengthening the capability of (1) Russian educational and technical training institutions to provide sustainable continuing education programs and (2) professional associations to provide sustainable services to their members. The project was designed as a part of USAID's NIS Exchanges and Training (NET) Project. In Russia, more than $93 million was directed to the NET Project and the IPP alone received more than $29 million of the funding.

Through a cooperative agreement with the International Research & Exchanges Board (IREX), an organization which has fostered U.S.-Russian educational exchanges for decades, USAID has assisted partnerships between American and Russian universities, associations, think tanks and advocacy groups. The complete list is found in Volume 2, Section B, Annex 13A. The funding for each partnership was more substantial than for the World Learning grants, averaging more than $1 million per partnership.

3. **Energy Industry Partnership Program**

This Partnership Program is sectorally-focused and complements closely the USAID support for the Russian government's restructuring of the energy sector. Under the direction of the U.S. Energy Association (USAID's umbrella grantee), the $2.5 million Energy Industry Partnerships Program fosters communication between Russian and American counterparts in the energy sector by: establishing partnerships between Russian and American organizations active in the electric power, oil and gas sectors; sponsoring general study tours for participants in the partnerships; and developing customized U.S.-based energy industry study tours. The Energy Partnerships have involved both national and regional firms, institutes, and regulatory organizations. As the list of partners in Volume 2, Section B, Annex 13A shows, the geographical spread of this Program is enormous, both in Russia and in the U.S. This Program is expected to continue through 1998.

4. **Hospital Partnerships**

The American International Health Alliance (AIHA) has partnered with USAID to develop a very active set of partnerships between Russian and American hospitals. The $15 million (to date) Hospital Partnerships Program has enabled American hospitals and medical professionals to introduce improved management

techniques and systems to Russian hospitals. Interviews with some of the Russian partners indicates that the Russian hospitals and professionals have introduced some new ideas and techniques to their American partners as well!

Each of the hospital partnerships listed in Volume 2, Section B, Annex 13A seeks to: adapt and disseminate successful preventive and curative techniques which are unfamiliar in Russia; improve efficiency and productivity through better clinical and administrative management; and train health policymakers and administrators so that they are better prepared to make rational system changes in the course of the Russian health care reform.

The Russian partner in every case is still a government organization. However, with the gradual transformation of the economy and the reorganization of public social services to take into account market factors, many hospitals and medical facilities have begun to operate more autonomously and have begun to seek private sources of funding to supplement the diminishing public funds. The American partners, long used to the blending of public and private funds, have contributed a substantial number of fundraising ideas to their Russian partners.

5. Media Partnerships

Before 1992, the Russian media were completely owned and controlled by the state. Since 1992, there has been an explosion of independent media outlets, particularly in the television sector. The demand for new technology and for training in advertising and marketing techniques has mushroomed along with the growth of the independent media industry.

Since 1992, therefore, USAID has funded a major training and advisory program with Internews, a U.S. nonprofit entity which promotes independent media, and its Russian partner, Internews/Russia. This program, however, was stretched to its limits just meeting the needs of the independent TV stations springing into life across Russia. In 1994, USAID designed a program to mobilize more support for a broader spectrum of independent media. The Russian American Public Information Center (RAPIC) and Internews teamed up to manage an $10 million program which would foster partnerships between American and Russian media organizations with a view to developing the Russian organizations into sustainable, independent entities within a period of three years. As in other partnership programs, the Internews/RAPIC managers at the Media Development Project advertised a competition for partnership proposals and awarded sub-grants to winning teams. The breadth of the partnerships formed (and listed in full in Annex 13A) has been remarkable.

6. Agricultural Partnerships

One of the first areas of the economy targeted for American support in the Freedom Support Act program was the agricultural sector. The need to assure Russians' food supply during what was projected to be a difficult economic transition was uppermost in policymakers' minds, but there was also a strong sense

that American agricultural know-how and technology could make a strong and immediate impact on the economic recovery.

In 1993, USAID entered into a cooperative agreement with the Citizens' Network for Foreign Affairs (CNFA). Since that time, $18.5 million has been committed to agribusiness partnership grants intended to support the start-up of commercially viable Russian-American joint ventures, through which U.S. agribusiness companies would introduce market-based, modern technology and management techniques. On the basis of the proposals made, it was expected that USAID-provided grant funds would leverage $135 million of American agribusiness investments, and that this investment would have a large "ripple effect"--i.e. expansion of markets for farm produce, adoption of new methods by Russian companies, and stimulation of ancillary investment throughout the food chain.

Largely because of the difficult environment for doing business in Russia, reality has fallen short of expectations although some promising starts have been made. To date, less than $55 million has actually been invested by U.S. companies in the ten American-Russian agribusiness ventures sponsored by the Program (and listed in Annex 13A). Only one, in which the American partner is the H.J. Heinz Company, has fully carried out its investment and appears to be an unqualified business success. Four projects have made some progress but are still struggling. One venture has had to scale back considerably and two are currently on hold as they search for new partners and financing. One partnership just terminated without success and another plans to do so in the near future. The Program will likely end with five or six sustainable partnerships in widely scattered areas of Russia.

7. Civic Initiatives Program (CIP)

The Civic Initiatives Program in some ways might be considered a follow-on to the World Learning PVO Initiatives activity presented above. Started in 1995, the CIP has been a key tool for USAID's portfolio for supporting the development of a grassroots democracy in Russia--and partnerships between Russian and American organizations are an important approach to grassroots NGO development which has been employed. Unlike the World Learning PVO Initiatives activity, however, the CIP activity focused first on assisting NGOs to develop as organizations and then on improving their skills to deliver social and economic services to their members and the public at large.

Save the Children and a consortium of other American PVOs have developed the many facets of the CIP jointly. Two regional NGO centers, one in Novosibirsk and one in Krasnodar, have been started by American NGOs whose proposals for setting up and managing local NGO small grants programs were outstanding. Through these regional programs, Russian NGOs receive small grants to consolidate public opinion and respond to public concerns and needs for social services. Several of the small grants enabled the Russian organizations to establish partnership relationships with American organizations. The list of these partners is found in Annex 13A.

Most of the partnerships' activities aim to build the institutional capacity of Russian NGOs for social service, education and professional development. To date, $1.1 million has been obligated to the partnerships program element of the Civic Initiatives Program.

8. **Partnerships financed through the Eurasia Foundation**

Since 1993, the Eurasia Foundation has used funding channeled through USAID to support economic reform and democratic institution building in the NIS through small grants. Acting as an umbrella organization, the Foundation runs grant competitions on a regular basis and selects those proposals which have merit. In some cases, these grants have been used to establish a partnership relationship between an American and a Russian organization.

The partnerships' activities range from developing management, business and economic training programs to improving public administration and the delivery of public services. Funding levels also vary widely. To date, a total of $964,000 has been granted to partnership activities through the general Eurasia Foundation program.

9. **Political Process Partnerships**

The International Republican Institute (IRI) has received USAID grant funding since 1993 to strengthen Russia's reform-oriented political parties. Partnerships between IRI and Russian organizations have helped Russia's reform-oriented political parties to construct internal capacity for (1) conducting and managing election campaigns, (2) monitoring elections and reaching out to building political constituencies, and (3) creating infrastructures for candidate selection and platform development. Partnership activities involve training to party activists, leaders, and parliamentary factions. To date, $177,800 has fostered IRI partnerships with Russian organizations. Specifically, the partnerships are:

- Don Center for Political Technology
  International Republican Institute

- Moscow School of Political Studies
  International Republican Institute

- Nevsky Research Foundation, St. Petersburg
  International Republican Institute

10. **"Stand-alone" Partnerships**

As the previous presentations indicate, USAID has generally worked through a U.S. umbrella organization which is qualified to make and supervise a sub-grant process. The following partnership programs, however, have been financed outside of the "umbrella" mechanisms described above:

- Krasnoyarsk State University
  Washington State University

- Russian Initiative for Self Employment
  Center for Citizens Initiatives

- Russian Energy Managers Association
  Association of Energy Engineers

- The Union of Jurist of the Republic of Karelia
  Vermont Bar Foundation

- Independent Mine Workers
  United Mine Workers

- Nizhny Novgorod Vozmozhnost "Microbusiness Incubator and Leasing Activity"
  Opportunity International "Microbusiness Incubator and Leasing Activity"

- Rostov Soprichastnost "Microbusiness Incubator and Leasing Activity"
  Opportunity International "Microbusiness Incubator and Leasing Activity"

To date, $8.9 million has been obligated to these partnerships.

IV. HOW ARE THE PARTNERSHIPS DOING?

In surveying the 206 Russian and American partners whose partnerships have been financed by USAID/Russia, we learned a great deal about the types of organizations that we have supported and the resources that they put into a partnership. The responses to the factual questions about the organizations permit us to make some generalizations.

1. *The Russian partner organizations are young organizations.*

   Most of the Russian partners (60%) are organizations formed since 1992, while the overwhelming majority of American partners (93%) are organizations founded earlier. This contrast is to be expected given that many Russian organizations simply could not legally exist before the fall of the Soviet Union in 1991. The contrast may be exaggerated, however, as interviews indicate that some of the Russian organizations did exist in the 1980s but have changed their name and staffing since then.

2. *The partner organizations have relatively small teams of staff working on the partnership's activities.*

   Most partners, Russian and American, dedicate very few full-time or part-time staff to the work of the partnership. No matter how large the total staffing of a partner organization, most only dedicate the time of 5-10 people plus volunteers to the activities of the American-Russian partnership.

3. *The American partners are responsible for the financial management (generally at USAID's request) but increasingly involve their Russian partners in budget management.*

   The partnerships handle relatively large budgets for so few staff--with most partnerships handling more than $250,000 annually. In nearly all cases, the Russian organization does not have the financial management and accounting systems required to receive a grant from the U.S. government. Therefore, the money is nearly always passed through the American partner, though both partners may participate in managing the planning budget for the funds.

4. *The partnership is not taken casually.*

   Nearly all of the partnerships have reached some kind of formal agreement--often a document such as a memorandum of understanding--that governs how the partnership will function and who is responsible for what.

Using the more opinion-oriented survey responses, we then began to assess the success rate of USAID/Russia-funded partnerships against the five criteria for partnership success posited above -- at least from the perspective of the partners themselves.

A. Accomplishment of Objectives

Almost all partners believe they have met or will soon meet the objectives which they themselves have set for their partnerships. Since, especially at the beginning of USAID assistance in 1992, many partnerships were expected only to attain very broadly-stated development objectives, such as "improve health care" or "enhance indigenous capabilities to provide humanitarian and development assistance through development of local NGOs, the partnerships' achievement of their own objectives is really the only sensible indicator of success. By this standard, then, survey results indicate that a high percentage (70%) of the partners perceive that they have nearly accomplished the objective of the partnership or will soon do so. Few are pessimistic about their chances of achieving their objective. This generally upbeat mood indicates that the partners perceive the partnership positively. It might be tempered, however, by the view of about 30 percent of the partners (Russian and American) that a partnership with an organization in their own country could be just as useful as their foreign partnership. One can surmise that the partners see their foreign partnership as an advantageous relationship that is going well, but that alternatives might be just as useful.

We also explored which of the partners specified as their objective a **development result** (or development impact) and which defined as their partnership's objective **the process** of bringing about the development result. For example, one partner stated as its objective "improvement of health care delivery." This is clearly an objective which incorporates development impact. Another partner stated as its objective "development and improvement of the training process [for medical school professionals]". This is clearly a process that will eventually bring about a development result. This distinction between development results and process is important to USAID because, as part of our reengineering reform, we are seeking to move the focus of our work towards the achievement of development results rather than on the processes that may eventually lead to the result.

A partnership between several hospitals in LaCrosse, Wisconsin (Lutheran Hospital and St. Francis Hospital) and Dubna Russia, (Dubna Hospital No. 9, Central City Hospital, and Bolshaya Volga Hospital) began with an unique individual who had been born in the U.S. but spent most of his life in Russia, leading to immediate access to all of the city government at the partnership's inception. The partnership assists people in many areas including diabetes, alcoholism and the handicapped. Using modern techniques and careful dietary monitoring, diabetes patients in Dubna have lowered their need for treatments and have become more independent than they ever thought possible. As Sergei Ryabov, head of Dubna city's health dept explains "We have been so pleased with our partnership, we have named a new section of town after our sister city in the U.S. - LaCrosse District." This partnership lead to real impact--improved health interventions--as well as links between Russian and American societies.

Survey responses indicate that about half of the partnerships sought a development result while the other half were focused on the process for bringing about the development result. There was no difference in terms of American or Russian partners being more or less likely to seek a development or process result.

There were, however, some common--and contrasting--themes expressed by Americans and Russians in discussing their objectives. In general, the American partners saw professional training for, or institutional development of, the Russian partner organization as the objective of the partnership. Many of the Russian partners, on the other hand, consider information exchange, technology transfer and networking as their main objective. In very few cases did one of the partners see the partnership relationship as an end in itself. Content clearly prevailed.

In nearly all cases where we received a survey from **both** American and Russian partners (the 37 pairs in the "matched set"), they generally agreed on the objective of the partnership. However, even then the partners often did not state their objective in the same terms. For example, one partner might be more practical about the partnership (with Russian partners tending to be more interested in transfer of equipment and technology from their American partners) while the other partner (often the American) might be more focussed on the less visible objectives of the partnership, such as assisting Russia with its reforms.

The lesson here for USAID is that the partnerships have not, to date, been focused on what we consider to be development results, nor have they been involved in partnership simply for the sake of having a partner from Russia or America. Instead, they have generally been seeking to set in motion the processes that eventually lead to a development result. This makes measurement of the development results achieved by these partnerships a very difficult task but is also a reflection of the environment which we were entering just four years ago. The development challenge will be to move towards impact and away from process while sustaining the successful partnerships.

B. Mobilizing Resources

In order to understand the extent to which the beneficiary partnerships have in fact mobilized more resources beyond USAID funding, we asked several questions in the survey regarding financing. While it would be preferable to have obtained financial accounting data from the partners to objectively examine this question, in the Russian context, this proved to be somewhat difficult. Therefore, we structured the survey questions so that neither partner was asked for specific information about the value of their organization, but rather about the value of the activities of the joint partnership and about the other sources of financing received by the partners.

> One example of sustainability effort is the attempt by Baikal Center for Ecological and Citizen Initiatives to link environmental concerns with economic modeling. Using valuable experience from their American partner, Earth Island Institute, and working with staff at the high pollution paper mill on Lake Baikal, the center has come up with a model to show the impact of various intervention scenarios on restructuring the plant and protecting Lake Baikal. The center understands that for the partnership to continue it must build positive relations with the business community and not be seen as an antagonist. Dr. Arkadiy Kalikhman at the center explains "As environmentalists, we recognize that we cannot simply recommend that the plant should shut down in a one company town. Our model and assistance is designed to show how to change the product mix, maintain employment in the company town around the plant AND address environmental concerns." The partnership has brought American experience with approaches to solving environmental problems to bear on a Russian ecology problem.

Responses indicated that 75 percent of all the partnerships receive more than half of their funding from USAID. This suggests a widespread high level of dependence on U.S. Government (USG) funding for these partnerships. This impression was reinforced by the response to an open-ended question asking each partner what kind of support USAID could provide in the future. The majority of both partners would like more or continued funding from USAID. In many cases, the Russian partners were not aware that financing came from USAID or the USG, apparently believing instead that their American partner was using its own resources for the partnership.

Is the dependence on USAID funding increasing or decreasing over time? While the survey did not produce sufficient detail to measure precisely the level of

dependence, we were able to glean some impressions. First, the 75 percent of partnerships that receive more than half of their funding from USAID do not vary with the age of the partnership, suggesting that there is no movement of partnerships to less dependence as they mature. Second, when queried as to the change in their level of dependence, two-thirds of the partners perceived no change or even an increased dependence. Generally, then, these partnerships do not demonstrate that movement toward non-USAID sources of funding will automatically happen as the partnerships mature.

On the other hand, the partners *have* been active in seeking alternative sources of financing. An overwhelming majority of the partnerships have undertaken fundraising to finance the activities of the partnership--in Russia, the U.S. and other countries. There is a divergence of views between American and Russian partners over the importance of other financing from other sources--and a divergence in the types of other sources tapped. American partners responded to the survey by stating nearly unanimously that securing financing for the partnership is a major issue, while only 75% of Russian partners thought it to be a major issue.

The most popular fundraising technique is a combination of submitting grant proposals and making personal visits to potential donors or support groups. It has been successful for many of the partnerships. Nearly all of the American partners had received financing from other non-USG sources, and two-thirds of the Russian partners had received funding from alternative sources. Many of the Russian partners, however, had received in-kind support from the Russian government, reflecting an environment where the government still controls nearly 50 percent of the economy and local governments still control a large amount of property. The results suggest, therefore, that the USG will simply be replaced in many cases by another donor or government source, leaving the partnerships dependent on external sources of finance. Or, alternatively, partners will put pressure on USAID to continue funding as long as possible.

> The Russian National Association of Telebroadcasters (NAT) and the U.S. National Association of Broadcasters is a dynamic USAID-financed partnership. In less than one year, the NAT has collected $52,000 from membership fees and membership growth has increased by 100%. Part of this success is due to their American counterpart, the NAB, which provided organizational advice and information.

Few partners have sought to collect fees for services or undertaken membership drives which would make their revenues more predictable (for the exception that makes the rule, see the box on the partnership between the U.S. National Association of Broadcasters and the Russian National Association of Telebroadcasters). U.S. partners have been more versatile in securing financing and in-kind support from multiple types of sources, including private firms, contributions, contracts or grants for services, etc. But Russian partners were less often able to secure financing or in-kind support from more than one type of source.

It should be noted that most of these partnerships were structured in such a way as to require a minimum non-USAID contribution. Often USAID grantees are only required to put up 25% or less matching funds. In some cases, grantees moved beyond that minimum requirement--with the agribusiness partnerships actually providing a match of slightly better than $2 for $1 of USAID funds.

> The IREX partnerships provide 25% of matching funds; however, some of these partnerships provide more than 25% by mobilizing their own resources. The St. Petersburg Academy of Post Graduate Medical Studies Department of Family Medicine and University of Iowa Department of Family Practice established a clinic for family medicine. The Russian partner used money from their own budget to renovate the clinic in order to provide better services and attract more patients. The Russian partner has mobilized much more than the 25% minimum requirement.

However, there is cause for concern that Russian-American partnerships in general are still overly dependent on USG funding and are not reaching out enough to garner multiple outside support. As a result of the survey, we have a general picture of American partners more worried about securing financing from multiple other sources, and more capable of finding such support, with their Russian partners remaining highly dependent on a few sources (especially Russian government sources). We also see that the partnerships in general are not using user fees and membership contributions to ensure their financial independence.

All of this means that the burden for sustaining a partnership after USAID funding ends may shift entirely to the American partner. Will the American partners be ready to shoulder this burden--especially when profit-making activities are not part of the joint venture?

C. Mutual Benefit for Both Partners

As far as USAID's development mission is concerned, the most important benefit to be derived from the activities of a partnership are the results in terms of moving Russia's transition forward. But if there is also a value to the very existence of a partnership between American and Russian partners--and if that partnership will be the vehicle for continuing U.S. assistance to Russia's transition after USAID closes--then both partners must derive mutual benefit from the partnership that will keep them interested after the donor leaves the scene.

Our survey posed several direct questions of the Russian and the American partners regarding the benefits attained from the partnership. When asked frankly which partner benefitted more from the partnership, half of each side, Russian and American, responded that there was equal benefit. One third of each side saw the Russian partner as benefitting more.

We asked each partner to identify the **principal** benefit of their partnership, choosing among a list that included: financial gain, new ideas, new skills, organiza-

tional strengthening, experience with new kinds of activities, or resources to do new kinds of activities. (Respondents could also write in a benefit if it was not listed).

The majority of American partners perceived the chief benefits of working with a Russian partner to be organizational strengthening and experience with new kinds of activities. A small minority of the American partners saw the prime benefit to be resources for new kinds of activities, and an even smaller minority thought the principal benefit came from gaining new ideas. None of the American partners saw the principal benefit as financial gain.

On the other hand, the Russian partners saw the benefits from the partnership in the opposite way. A small minority perceived the chief benefits of working with an American partner to be a organizational strengthening and experience with new kinds of activities. A large majority perceived the chief benefit to be financial gain or resources for new activities conducted by the partnership in Russia. As with the American partners, only a small minority identified "gaining new ideas" as the principal benefit.

These results might be explained by differences in organizational size and resources between Russian and American partners. Because American partners are (relatively) richer, they do not see the partnership as helpful in terms of resources but in terms of experience. The Russian partners, on the other hand, operate in an environment where resources are hard to come by, and thus see their chief benefit from a partnership in terms of resources. It is somewhat surprising that so few of the partners saw new ideas as a benefit from the partnership. Clearly, future partnerships that are designed chiefly to foster the exchange of ideas should be reconsidered.

This divergence of perception of benefits about the principal benefits achieved by one's own organization can, with little reflection, be understood. What is surprising, however, are the survey results which indicate a wide divergence of perception of the *other partner's benefits* from the partnership.

Using the same list of possible benefits, we asked each organization what was the principal benefit of the partnership for their partner. Most of the American partners agreed with their counterparts that the chief benefit for the Russian partner was resources for new activities. Most Russian partners, however, perceived that the American partner's chief benefit was financial gain. This perception is widespread, ranging across all types of U.S. partner organizations--for-profit, non-profit, educational, etc.

Making this observation even more interesting is that the Russian partners did not think that the (supposed) financial gain of the American partners was necessarily bad--perhaps because they had already identified it as their own principal benefit. Probing with Russian interviewees on the question of disadvantages of having an American partner--which might have been expected to result in some negative expressions regarding the American partner's posited motivation of

financial gain--resulted in a large majority of Russian organizations claiming that there were no disadvantages to having an American partner!

This somewhat cynical view of American partners' financial motivations may be tied to another result of the survey: a large minority of Russian partners would like more budget control and may view the American control of the purse as a chief benefit to the American side. Steps to help the Russian partner responsibly manage the budget more could alleviate this cynicism.

In sum, most of the partnerships perceive that there is a mutual benefit from the accruing to both partners, benefits which are equally shared or lean slightly in favor of the Russian partner. There is a strong disagreement, however, of the nature of the benefit accruing to the American partners. This disagreement can be seen constructively as a need to help the Russian partner better understand and control the budget in the future.

D. Equality in the Relationship between Members of the Partnership

Our analysis of this criterion relies solely on the results of our survey of the partners, since equality in a relationship depends entirely on the perceptions of the partners. We asked a series of questions about managing the partnership--who is in charge of the budget, who manages the workplan, who initiates ideas for activities, how well do the partners communicate. The results are unambiguous in that the majority of partnerships believe there is equality in the partnership. Russians feel more strongly about equality in general, but both sides view it as very important. Most partnerships believe there is balance in the workplan, though a minority of Russian partners feel the American partner dominates the partnership and responsibility for the work plan. Partnerships are very positive on the ability to communicate and frequently do so informally without resorting to formally recording decisions.

Russians feel relatively more strongly about the American partner needing to do a better job of adapting their approaches and ideas to local conditions. This perception could be alleviated by more attention at the beginning of the partnership by the Russians in helping the American partner adapt to local conditions, including very frank discussions about the difficulty of living in a given area. Partnerships do not see the budget as difficult to manage and believe there is management equality. The Russians would like to have more opportunity to take the initiative on activities and ideas in the partnership while the American partner is content with their ability to do so already. A large minority of Russian respondents to the survey felt the partnership had changed over time to their benefit, while the American partners did not feel this way at all.

Organizational inequality does exist in that the Russian organizations tend to have fewer staff, a leaner budget and fewer years of experience, but this reflects the environment for NGOs in Russia, not the partnerships. Interestingly, partnerships are not being used as vehicles to create employment. Despite large amounts of money involved, staffing on both sides is minimal. However, partnerships do

influence large numbers of people and do attract volunteers who actively support partnership activities.

In sum, equality, or at least the impression of equality, is a factor that is quite important for Russian partners. Future partnership programs should be structured to ensure that equality of the partners is respected.

E. Sustaining Activities

The study looked at several factors to assess the potential sustainability of these partnerships after USAID funding has ended: the views of the partners themselves on the future of the partnership, a realistic view of the financial outlook for the partnerships, and the effect of equality and mutual benefit on the continuation of the partnership relationship.

> Prior to joining a partnership with World Vision Relief & Development, the Chita Nursing Association and Yekaterinburg Nursing Association had no regional nursing standards and their membership was low. Thanks to managerial training, networking, and the introduction of nursing standards from their American partner, both associations have developed regional nursing standards, which may become a model at the federal level, and have increased their membership. The Yekaterinburg association started with 24 members and now has 1,342. These NGOs have blossomed into sustainable organizations which will continue to carry out their work long after USAID has gone.

The first factor is the view of the partners themselves on the future of their partnerships. Our survey asked each partner if they saw the partnership as permanent. The response--nearly unanimous--was "yes". Furthermore, most partners foresee the partnership continuing into the future doing the same kind of activities done now and the same level of resource requirements for those activities.

However, financial reality is likely to intrude on these optimistic expectations. USAID financing of these partnerships cannot go on forever. Although most of the partnerships are seeking alternative sources of financing, as already discussed, there is a level of dependence on USG funds that does not appear to be decreasing. For example, the Moscow Charity House and Access Exchange International partnership completed its objectives, but as soon as USAID funding ended, the partners were not able to sustain some of the achievements of the partnership. One such achievement was providing transportation services for the disabled; this is no longer possible. There is little or no effort at charging user fees or collecting membership contributions, and, in the Russian context, tax-deductible charitable contributions from corporations are not an option. There is a real risk that many partnerships, and the work they do, will disappear at the end of USAID financing--unless the American partner steps in with additional resources of its own, or another donor or the Russian government steps forward.

For the current group of partnerships, time is running out fast. For future partnership programs, USAID should consider increasing the American partner's responsibility for the financial sustainability of the partnership from the start. A 50

percent or higher matching requirement might be warranted.

How do our findings on mutual benefit and equality affect the sustainability of partnerships? The perception of equality is very important for Russians participating in a partnership and American organizations wishing to sustain a partnership relationship must keep that in mind.

The fact that both partners perceive benefits to themselves from the partnership is a positive sign for its continuation. However, the fairly widespread Russian perception that the American partner is in it for the money is a potentially damaging element in the relationship that could destroy the partnership if, after U.S. government funding ends, the American partner expresses expectations for a larger contribution from the Russian partner to sustain joint activities. A greater role for the Russian partner when budget decisions are made will help to ease that suspicion and lengthen the life of the partnership.

> The Novosibirsk Regional Sport club "Finist" for the handicapped is also interested in pursuing business. Located in a sports stadium, the club helps the handicapped learn to do sports that they had never dreamed they could do before. Based on a suggestion from their American partner Wheeled Mobility Center and an American advisor who is also disabled, the club began a new initiative with a small wheelchair factory to provide the disabled with low-cost wheelchairs. The wheelchair factory works hard to balance the need to provide low cost assistance and to cover costs. Partnerships can promote new socially-conscious business initiatives in Russia.

V. CONCLUSIONS AND RECOMMENDATIONS

In summary, the survey responses indicate that:

- Partners take their relationship seriously. Nearly all of the partnerships have entered into some kind of a formal agreement--often a document such as a memorandum of understanding--that governs how the partnership will function and who is responsible for what. However, most partnerships do not rely on the formal documentation to govern their relationship; rather, a premium is placed on good informal communication between the partners. And most report that they have such good communication.

- While many of the American partners contributed the (USAID-required) 25 percent of costs to the partnership activities, and the American agribusiness partners contributed significantly more, 75 percent of all the partnerships received more than half of their funding from USAID. **Those partners that received less funding from the government were more active in seeking alternative sources of financing and in-kind support.** These and other indications from the survey suggest a continued, widespread high level of dependence on USAID funding for these partnerships, a dependence that is likely to shift to the American partner, other donors, and/or the Russian government when USAID funding ends. Alternatively, it could result in pressure on USAID to continue funding the partnerships indefinitely.

- While American and Russian partners tended to agree that both partners benefitted from the partnership relationship, they disagreed as to the benefit accruing to the other partner. American organizations generally saw the Russian partner as acquiring the resources for new activities. Most Russian partners, on the other hand, saw financial gain as the chief benefit accruing to their American partner--even to the non-profit organizations and universities! This perception is a potentially corrosive element regarding sustainable partnership relationships--both because it reflects a certain cynicism about the American partners' motivations and also because it could contribute to an expectation that the American partner can easily afford to sustain the relationship even if USAID funding ends. Indeed, for a smaller group of Russian respondents and interviewees, there was already an assumption that the American partner, rather than USAID or the USG, was the financing entity! One other potential benefit of the partnerships was noticeably absent; neither American or Russian organizations used the partnership funding to hire large staffs to run the partnership's joint activities. Staff sizes dedicated to the activity were generally on the order of 5-10 persons on each side.

- Equality, or the perception of equality, was found to be an important factor in the partnership relationship for the Russian partners. And, even though American partners in almost all cases were responsible for financial management, most partners perceived that their relationship was carried out on an equal plane.

- When questioned about the future of their partnership after USAID funding ended, most partners saw the future through rose-colored glasses. They were optimistic that the partnership would go on at the same level of activity. However, responses to the budget source questions and reality from those few partnerships no longer receiving funding suggest that there is a certain amount of naivete regarding the financial future and that these partnerships will have a difficult time finding new resources once USAID funding ends.

In view of declining USAID resources in Russia, and the interest which continued partnership activity has garnered both in the U.S. and Russia, we recommend that:

- Future Russian-American partnerships should be conditioned on the American partner, rather than USAID, putting up more than 50 percent of the resources required for joint activities. This would ensure that the USAID support is minor from the start and that the partners will be active in seeking alternative sources to replace USAID when its support ends. It should also be understood that, for the near future, Russian partners will be obligated to rely to a certain extent on Russian government resources, especially in-kind contributions like land and office space.

- In response to the desire for equality between partners, and in order to ensure that new partnerships do not foster the potentially damaging view that American partners are only in it for financial gain, Russian partners should be given more influence over budget decisions. This can be structured in such a way so that accountability for the funds is maintained by the American partner but decisions on allocations are jointly -- and transparently -- made.

- As already mentioned, equality is a particularly important factor for Russian partners. Therefore, attention should be paid, in the design of future partnerships, to fostering broadly the prospects for equality between the partners. Specifically, this means ensuring that Russian partners perceive assistance received from the American partner as a two-way exchange of information and that positive and informal communications are always maintained. The fact that most of the partners involve only a limited staff in the activities of the partnerships should help to foster closer communication.

VI. ANNEXES - located in Volume 2, Section B, Annex 13.

A. Complete Listing of All Partnerships by Program

B. Russian and American Surveys of Partnerships

C. Russian-American Partnerships Financed by USAID - Contact Information

NPI FINAL REPORT -- *USAID/South Africa*

I. INTRODUCTION

The USAID program in South Africa draws on principles from the New Partnerships Initiative (NPI) at two levels. The first is an emphasis on supporting cooperative working relationships between government and NGOs across most of the portfolio. This is a central theme of the USAID program in South Africa, which draws on the extensive relationships that USAID built up with South Africa's well-developed NGO sector over ten years during the anti-apartheid era. Much of the current program is aimed at helping the new democratic government work cooperatively with NGOs in fields such as democracy/governance (D/G), education, private sector development and housing. This is consistent with the theme of public-private partnerships that underlies NPI.

The USAID program in South Africa draws on principles from the New Partnerships Initiative (NPI) at two levels...an emphasis on supporting cooperative working relationships between government and NGOs across most of the portfolio... [and] specific activities, mainly in D/G and housing, that support specific partnerships that are closer to the NPI model...

The second level consists of specific activities, mainly in D/G and housing, that support specific partnerships that are closer to the NPI model that links local government, NGOs, and small business at the local level.

II. BACKGROUND

All of these activities are influenced by the strength of the NGO sector in South Africa, which is unique in Africa and unusual in the developing world. South Africa has had a developed NGO sector for many years. Initially this sector consisted mainly of NGOs led by white South Africans which performed traditional social and community service and welfare functions.

After the intensification of the anti-apartheid struggle in the mid 1970's, new types of civil society structures grew up rapidly in the black townships with a different focus. These included two types of CSOs: 1) community-based organizations which mobilized communities to resist government controls (called "civics" for civic associations); and 2) NGOs which provided services to fill the gap left by apartheid's deliberate neglect of the black population. The former were closely linked to the political movements that led the anti-apartheid struggle and had explicitly political objectives. The latter were usually sympathetic to the anti-apartheid struggle, but focused more on compensating for the effects of apartheid by developing alternative means of meeting urgent social needs.

In the mid 1980s, CSOs supporting black upliftment began to receive substantial financial assistance from foreign donors, reflecting a desire by most developed countries to support the anti-apartheid struggle. In many cases, this was a complement to Western policies of imposing sanctions on the South African Government in an effort to force political change. Aid to black South Africans was part of a package: sanctions put pressure on the government to abandon apartheid, and aid to black South Africans helped empower the majority population. With direct dealings with the South African Government ruled out by political conditions, Western assistance to the majority population had to go through CSOs.

The United States was at the forefront of the new initiatives toward South Africa. The 1986 Comprehensive Anti-Apartheid Act (CAAA) imposed partial U.S. economic sanctions on South Africa and mandated a U.S. assistance program for black South Africans. That assistance was to go through NGOs and community groups. USAID assistance to South Africa grew rapidly--from $14 million in 1986 to $50 million in 1991, to $80 million in 1992.

From 1986 to the early 1990s USAID assistance focused on community and leadership development, human rights, education (especially the provision of scholarships for disadvantaged South Africans to attend universities in South Africa and the U.S), support for black private enterprise development, and housing. In the course of delivering this assistance, USAID developed extensive relations with South African NGOs and community groups. Most other donors followed similar courses. For example, the European Union set up a special nontraditional assistance unit in South Africa to give grants to South African NGOs (assisted by a local organization, the Kagiso Trust).

With the establishment of a new democratic government in South Africa under the leadership of President Mandela in 1994, U.S. assistance increased to approximately $120 million per year for the years 1994-96 and the purposes of U.S. assistance changed. The purpose shifted from supporting the overthrow of apartheid to supporting the consolidation of democracy, and to helping the majority population make social and economic progress under the new order.

The new Government established a Reconstruction and Development Program (RDP) to foster development of the disadvantaged population. A special RDP Office was established to coordinate the Government RDP efforts. The main vehicle was an RDP Fund, which awarded additional resources to Government departments for programs to help the majority population. In addition, a small program was set up to coordinate funding to NGOs and community-based organizations (CBOs), called the Transitional National Development Trust (TNDT), which is to be replaced eventually by a National Development Agency (NDA).

After the 1994 democratic transition, donor practices diverged somewhat. The RDP Office asked donors to shift their development assistance from NGOs to Government--through contributions to the RDP Fund, bilateral agreements with Government Departments, contributions to the TNDT, or other methods. USAID committed a significant share of its additional post-elections funds to bilateral

agreements with Government Departments, but did not reduce its direct funding to NGOs. (This was possible because the total level of U.S. assistance increased.) In fact, USAID's net funding to NGOs rose, because--with the agreement of Government Departments--many bilateral agreements funded cooperative efforts between the Departments and relevant NGOs. However, many other donors did cut funding to NGOs.

As a result of changes in donor policies, the NGO community began to suffer growing financial problems after the 1994 election. These problems were compounded by the movement of large numbers of NGO leaders into government positions, which depleted NGO leadership ranks. NGO roles also came into question, as the new Government expressed its desire to work directly with communities through community organizations and civics, with a minimal role for NGOs. These factors combined to create a crisis in the NGO sector, which was clearly evident by 1995.

In 1996 the Government modified its approach and announced a new program of economic reform aimed at boosting growth and job creation over the next 10-20 years. It closed the special RDP Office that had managed the RDP Fund and folded the RDP Fund into the national budget in an effort to "mainline" it.

As the South African Government faced the difficulties of transforming Government structures from the old order and the tremendous social development challenges facing the country, many of the new political leaders began to call for increased cooperation between Government and civil society to meet development needs. Some Ministries have been more committed to such cooperation than others, but in general there has been a search for new ways to tap the capabilities of NGOs and CBOs.

> ...many of the new political leaders began to call for increased cooperation between Government and civil society to meet development needs.

III. USAID SUPPORT FOR PARTNERSHIPS

USAID/SA strategy places special emphasis on supporting sustainable roles for NGOs in South Africa and on helping NGOs work out viable working relationships with Government. It does this for several reasons. First, USAID believes that NGOs can help Government meet development needs, particularly at community and grassroots levels. As a by-product, civil society partnerships will help Government Departments build their capacity to manage participatory development processes. Second, USAID believes that cooperative relations with Government are important for NGO sustainability, which in turn is important for a strong civil society.

Third, USAID believes that South Africa has unique potential for constructive partnerships because of the strength of its NGO sector and the democratic, participatory orientation of its Government. Fourth, USAID believes that USAID

has a comparative advantage in working on NGO/Government partnerships, because of USAID's experience with NGO partnerships worldwide, the Mission's experience base with NGOs in South Africa, and its in-country staff (which gives more capacity to handle management intensive NGO programs).

The U.S. focus on civil society in South Africa is not limited to official U.S. assistance. The importance of NGOs and civil society in South Africa has been recognized by many other American organizations supporting development in South Africa--in particular by U.S. foundations. U.S. foundations, church groups, universities, PVOs and other groups have established extensive program and personal linkages with their South African counterparts, as documented in recent reports by the Southern Africa Affinity Group of the Council on Foundations in the U.S.

U.S. foundations, church groups, universities, PVOs and other groups have established extensive program and personal linkages with their South African counterparts...

Within the official donor community, USAID is the most NGO-focused of the major donors, channeling a large share of its assistance resources through NGOs--either through direct grants to NGOs or through bilateral agreements with Government Ministries that provide for USAID funding of NGO programs to meet needs identified by the Government.

Even the first category, direct grants to NGOs, are usually coordinated with relevant Government Ministries. For example, USAID's housing program supports a wide range of NGO activities to support and facilitate the construction of low-cost housing for historically disadvantaged households. Grants have been provided to over 40 organizations, including non-profit developers and technical assistance organizations, emerging contractor organizations, and housing finance institutions which provide non-conventional lending to households which have not in the past had access to formal sector finance. All of these activities are coordinated with the Ministry of Housing, which sees them as supportive of its reform agenda.

Bilateral agreements are another major form of USAID support for NGO/Government partnerships. Approximately 40 percent of the USAID budget since 1994 has gone into bilateral agreements with technical Ministries. A large proportion of these funds have supported--and will support--cooperation between Ministries and NGOs in areas such as policy development, training, and service delivery.

Examples include:

- Under USAID's Administration of Justice bilateral with the Ministry of Justice, USAID has funded NGO-led fora at which the Minister has discussed his policy priorities and program plans and received inputs from civil society. Also under the Administration of Justice bilateral, USAID has funded provision of human rights education and legal assistance by community-level advice centers.

▸ Under the SABER bilateral agreement in Pre-Primary/Primary Education with the Ministry of Education, USAID will fund NGOs to provide large-scale teacher training, help the national and Provincial Departments of Education implement new policies, disseminate new curricula and alternative teaching methods, and transform administrative structures.

▸ Under the ESAT bilateral agreement in Adult Basic Education and Training (ABET) with the Ministry of Education, USAID will fund NGOs to assist the national Department of Education in the generation of standards and curriculum materials for the ABET field.

▸ A USAID bilateral with the Ministry of Provincial Affairs and Constitutional Development supports the expansion of community inputs into environmental management practices.

Such partnerships with NGOs are often very attractive to new Ministers and political officials. In some cases, this is because the new officials come from the NGO world themselves, as former NGO leaders in the apartheid era. They are therefore open to working with NGOs in their Government roles and understand what NGOs have to offer. In some cases, new political leaders are attracted to NGOs as sources of new policy ideas, helpers in implementing new policies, and helpers in orienting Government Departments to the new policies and implementation methods favored by the political leadership. To ensure that its assistance is approved by both political leaders and their Departments, USAID coordinates all bilateral assistance with both the political officials (usually the office of the Minister) and the Department (usually the Director General).

...partnerships with NGOs are often very attractive to new Ministers and political officials. In some cases, this is because the new officials come from the NGO world themselves, as former NGO leaders in the apartheid era. They are therefore open to working with NGOs in their Government roles and understand what NGOs have to offer.

Another major category of assistance is direct USAID grants to NGOs to provide technical assistance to Government or deliver services requested by Government. Examples include:

▸ A USAID grant to the National Institute for Community Education Trust (NICET) has provided technical assistance to the Ministry of Education to build capacity, sharpen skills, and obtain community input in the formulation of national policies, including support for the efforts of the National Task Team of Further Education which is charged with developing a national policy framework on further education.

▸ A USAID grant to the National AIDS Convention of South Africa (NACOSA) has helped the Ministry of Health develop policy and consult with constituencies in this new area of concern.

- A USAID grant to the Education Foundation (a long-time USAID grantee) has allowed that organization to provide critical help to the Ministry of Education and to Provincial Departments of Education on policy and capacity building and to build expertise in education management information systems in government structures.

- USAID grants to NGOs such as the National Literacy Cooperative (NLC) have provided adult literacy training services desired by the Ministry of Education, complementing Ministry-funded programs.

- A USAID grant to the Independent Examinations Board is helping the national and Provincial Departments of Education (in four provinces) establish quality assurance examination and management systems consistent with the Government's National Qualifications Framework.

- A USAID grant to the Educational Support Services Trust allowed that organization to partner with the Northern Cape Province Education Department and the private sector to support the dissemination of innovative, low-cost curriculum materials on newsprint to every Standard 2,3 and 4 child in the province and to train teachers in the use of new, learner-centered teaching methods.

- A major USAID grant to the Land and Agricultural Policy Center has helped the Ministry of Land and Agriculture develop land reform policy and programs.

- Three USAID grants to Housing Development Trusts are helping community groups take responsibility for their communities, formalize land tenure, and secure physical improvements to their property and surroundings.

- A USAID grant to the National Urban Reconstruction and Housing Agency (NURCHA) has created a private sector guaranty facility for emerging contractors to secure construction finance from private sector lending institutions.

The above are the main channels for broad USAID support of Government/ NGO cooperation across the portfolio. In addition, within the Mission's D/G program, USAID supports specific models of Government, NGO and private sector cooperation that are based directly on the NPI model of linkages among local government, NGOs and small business at the local level. In South Africa, these efforts focus more on the provincial level than the local government level, and stress CSOs more than the for-profit sector.

These D/G activities include support for: 1) improvements in the enabling environment for NGOs; and 2) innovative models of partnership among Government, NGOs, and the private sector, particularly at the provincial level. These areas of assistance were suggested by USAID consultations with partners in D/G. Those consultations indicated that there is a need for more favorable tax and regulatory regimes for NGOs (particularly in regard to private fundraising) if the NGO sector as a whole is to remain strong; and that models of effective partnerships among

Government, NGOs, and the private sector at provincial and local levels are needed if there is to be effective cooperation and sustainability in local development efforts.

As a result, USAID has included in its D/G strategy an Intermediate Result targeting positive changes in these areas. USAID support for enabling environment improvements is delivered through assistance to NGO umbrella groups advocating legal and regulatory changes within South Africa. USAID support for models of effective partnerships among Government, NGOs and the private sector at provincial and local levels is provided through assistance to proposed partnerships that demonstrate innovative practices and have the potential to be replicated.

> ...models of effective partnerships among Government, NGOs, and the private sector at provincial and local levels are needed if there is to be effective cooperation and sustainability in local development efforts.

In the area of models of partnerships, USAID has already had one major success. Through a local NGO--the Foundation for Contemporary Research (FCR)--USAID supported a major collaborative effort among provincial and local Governments, NGOs and community groups, and businesses in the Western Cape Province to develop new transport policies that could better meet the new economic and social needs of the province. This process involved extensive meetings and dialogue and some policy research. In the end, all players were able to reach agreement on the new policy directions. These new directions will require mutual cooperation to be implemented, but have good promise of being implemented because all players have been involved at each step along the way.

This effort has been widely praised in the Western Cape as a model of effective cooperation between Government and civil society and has received the support of both of the dominant political parties in the Province (the National Party, which holds the Provincial Premiership, and the ANC, which has the RDP portfolio in the Provincial Government).

USAID is also supporting two efforts to develop new models of effective Government/civil society partnerships in the Free State and Northern Cape Provinces. These are through grants to local NGOs, the Education and Enterprise Trust (EWET) in the Free State and the Social Change Assistance Trust (SCAT) in the Northern Cape. Both of these grants are providing training and capacity building to selected communities in the two provinces (mainly rural communities in the case of the Free State) to help them link with local Government authorities to ensure that Government services and economic development efforts are responsive to community needs.

For the future, USAID is exploring innovative partnership concepts that have not been extensively developed in South Africa up to now, including endowments and community foundations.

The goal of all of these USAID programs is to encourage constructive and cooperative relationships between NGOs and Government for long-term development. There is already strong Government interest in working with NGOs. USAID expects that this interest will be even stronger in the future, as early problems of setting new policy and program directions within Government come under greater control, and political leaders have more time to focus on partnerships with NGOs and civil society.

IV. CONCLUSION

USAID believes that South Africa is a very promising place in which to pursue the NPI themes of cooperation and partnerships among Government and civil society because of the strength of its civil society, the Government's interest in promoting popular participation, and the scope of the development needs that have to be met relative to the resources available to meet them. USAID is devoting a significant share of its assistance funds to supporting Government/NGO cooperation in various sectors and to develop and demonstrate new models of public/private partnerships under its D/G program.

USAID believes that South Africa is a very promising place in which to pursue the NPI themes of cooperation and partnerships among Government and civil society because of the strength of its civil society, the Government's interest in promoting popular participation, and the scope of the development needs that have to be met relative to the resources available to meet them.

If South Africa embraces and operationalizes such partnerships on a large scale over time, USAID believes that South Africa could be a model of constructive Government/civil society relations for the rest of Africa and the world.

Section B:
NPI RESOURCE GUIDE
ANNEXES

ANNEX 1

Current Indicators Reported by Leading Edge Missions

Sector--NGOs Activity--Grassroots Capacity Building

MISSION	INDICATOR
Bd	Aggregate costs of USAID funded NGOs covered by program-generated revenues (Family planning).
Bu	Active NGOs working on public policy issues.
Bu	Organizations using public outreach mechanisms.
Bu	USG-assisted community-level information systems.
Ha	Direct action (e.g. petitions) taken on policy by civil society organizations.
Ha	Organizations participating in NEAP (National Environment Action Plan) development.
Ke	Financial sustainability attained by selected USAID-assisted FP service providers increased.
Ke	Endowments established with selected NGOs (in FP, HIV/AIDS).
Ke	Facilities with functional financial management systems in place (FP, AIDS).
Ke	Fee for service in selected service delivery sites for selected services introduced.
Ke	Selected (FP & HIV/AIDS) advocacy groups strengthened to fully participate in formulation of national FP & AIDS policy.
Ke	Active NGOs providing civic education.
Ke	NGOs representing women's issues.
Ke	NGOs expanding into democracy and governance activities.
Ke	NGO representation in districts.
Ke	Election centers with monitors.
Ph	Professional associations supporting FP.
Ph	Organizational resources--NGOs, PVOs, private firms -- engaged in renewable NRM.

Ph	Community management for sustainable (fish) harvests--planned, initiated completed.
Ph	Forest area under systematic management instruments and forest cover in targeted geographic areas.
Ph	Forest area under systematic management and forest cover in targeted areas.
Ph	The coalition uses its research & analytical capacities for developing issues. Three different coalitions.
Ph	The coalition trains and mobilizes leaders and members at all levels of the coalition. Three different coalitions.
Ph	The coalition operates based on a participatory, grassroots-up, gender-sensitive approach. Three coalitions.
Ph	The coalition deliberates in an organized and timely fashion. Three coalitions.
Ph	The coalition identifies an agenda built on consensus within the coalition. Three coalitions.
Ph	The coalition identifies and works with interested parties that share and are willing to support the coalition agenda. Three coalitions .
Sr	Number of strengthened targeted NGOs and local government institutions.

Sector--NGOs Activity--Improved Enabling Environment

MISSION	INDICATOR
Bu	Law implemented providing regulatory framework for NGOs.
Gu	Institutionalization of a freer, more open society and accountable government. Freedom of association.
Ha	Revised civil code.
Ke	New GOG/NGO consultative mechanisms established.
Ke	NGOs denied registration by the government.
Ke	Time taken to register an NGO reduced.
Ke	Meeting permits without delays or denials. Party.
Z	Constitutional reform.

Sector--NGOs Activity--Linkages & Partnerships

MISSION	INDICATOR
	None reported

Sector--Local Governance Activity--Grassroots Capacity Building

MISSION	INDICATOR
Bd	Local government & community contribution to family planning program.
Bd	Association members elected to local bodies increased.
Bd	Customer confidence in their ability to influence local decisions in target communities increased.
Bd	Women elected to non-reserved and chairperson seats on local bodies.
Bd	Customer confidence in their access to equitable justice in target communities increased. (ADR)
Bd	Women ADR clients in target communities.
Bd	Women serving on ADR panels in target communities increased.
Bu	Growth in self-authorized local funding.
Bu	Improved processing time for development permits.
Bu	Management information systems in place & implemented.
Bu	Municipalities implementing costs reduction programs.
Bu	Own-source revenue.
Bu	Public hearings provided by local government.
Bu	Additional municipalities carrying out public/private partnerships.
Bu	Revenue per beneficiary.
Bu	Labor counseling centers established.
Gu	Local level groups involved in local level government issues.

Gu	Local groups involved in government planning and development.
Gu	Local organizations with democratic elected officers and by-laws.
Gu	Forest areas managed by communities in USAID-supported areas.
Gu	Oversight of forest and water resources by user groups in USAID-supported areas.
Gu	Villages adopting NRM in USAID-supported areas.
Gu	Institutionalization of a freer, more open society and accountable government. Decentralization; control of corruption.
Ha	People surveyed knowledgeable about duties of elected representatives.
Ha	Municipal budget made public & discussed with community by local officials in targeted communes.
Ha	NGOs, community groups, and farmer groups participating in (NRM) protection efforts.
Ke	Laws passed with NGO lobbying.
Ke	Policy change due to NGO advocacy.
Ke	Coalitions formed to promote conflict prevention.
Ke	NGOs brought into conflict prevention/resolution process.
Ph	LGUs that are enrolled in LPP.
Ph	LGUs that have achieved LPP annual benchmarks. (75% enrollment).
Ph	NGO representatives participating in Local Special Bodies (LSB)
Ph	People who feel their priority concerns are being addressed by LGUs.
Ph	Percent of total disadvantaged on which coalition has impact. Different coalitions.
Ph	LGUs in which information regarding resources expenditures and operations is available to citizenry.
Ph	Net amount of self generated revenues collected by target LGUs.
Ph	Target LGUs implementing plans developed with effective participation.

Ph	Target LGUs that have a monitoring system with NGO or PO participation.
Ph	Target LGUs securing credit from for-profit institutions.
Sr	Municipal solid waste disposed through environmentally sound systems.
Sr	People benefited by adoption of environmentally sound practices. Total.
Sr	User groups with joint responsibility for management of natural resources. Total.
Sr	Increased expenditure by local governments.
Sr	People who believe local government is responsive to their needs.
Sr	Development projects jointly implemented by local governments, community groups, and NGOs.
Sr	Number of strengthened targeted NGOs and local government institutions--Total.
Sr	Citizens with information on national and local issues.
Sr	Mediation Board cases resolved.
Sr	People using Mediation Boards.
Sr	Backlog cases in Courts of Appeal.
Za	Neighborhood Health Committee Formation--Proportion of committees contributing to annual district action plans.

Sector--Local Governance Activity--Improved Enabling Environment

MISSION	INDICATOR
Bu	Legal changes and directives promote independent municipal finance, property, and privatization.
Bu	Policy positions publicly taken by municipal associations.
Gu	Increasing local level organizations participation in strategic planning, development, and resource allocation.
Ha	Peaceful transfer of power at local and national levels.
Ha	Enabling legislation for local government passed and implemented.

Ha	Community Forestry Corps established for supporting sustainable. natural resource management.
Ke	Subcommittees of local people dealing with conflict resolution and prevention.
Ph	Total amount of national revenues allocated to target LGUs.

Sector--Local Governance Activity--Linkages & Partnerships

MISSION	INDICATOR
	None reported

Sector--Small Business Activity--Grassroots Capacity Building

MISSION	INDICATOR
Bd	Firms using improved accounting, marketing, and other business management practices.
Bu	New capital invested in municipally privatized entities.
Bu	Improved business operations adopted by assisted firms.
Bu	Sales change in assisted firms.
Bu	Clients served by assisted consulting firms.
Bu	Improved services adopted by assisted consulting firms.
Bu	Fee paying membership in assisted associations.
Bu	Improved/new services offered by assisted associations.
Gu	Agricultural & Marketing Foundation (AMF) membership
Gu	Exports by AMF members. Total.
Gu	Volume of goods transported between key markets.
Gu	Loans made per year. Various programs.
Gu	Ongoing loans that are not current. Various programs.

Gu	Value of loans. Various programs.
Gu	Value of loans to women. Various programs.
Gu	Sales of contraceptives private sector. Various products.
Gu	Private family planning and commodity delivery sites. Total.
Ha	Businesses created or reopened.
Ha	Credit loans for woman-owned and small/micro-enterprises.
Ke	Horticulture seed multiplied by private sector. (Also maize seed).

Sector--Small Business Activity--Grassroots Capacity Building

MISSION	INDICATOR
Ke	Microenterprises receiving credit.
Ke	Net annual change in MSE employment, by gender.
Ke	Increased growth of micro and small enterprises.
Ke	Paid-up agribusiness members of FREAK and KAM.
Ph	Economic activity of small enterprises. (In an area of Mindanao).
Ph	Family planning services provided by the private sector.
Sr	Change in total employment in targeted enterprises. Total. (From 7 programs).
Sr	Value of domestic sales by targeted enterprise. Total. (From 7 programs).
Sr	Value of exports by targeted enterprises. (From 2 programs).
Sr	Value of investments in new technologies. Seven different programs.
Sr	Value of loans targeted to micro and small enterprises, including small farmers. Total. (Several programs).
Za	Credit for rural enterprises.
Za	Credit for female headed rural enterprises.

Sector--Small Business Activity--Improved Enabling Environment

MISSION	INDICATOR
Bd	BDG role in buying inputs - seeds (also fertilizer).
Bd	Policy and regulatory environment improved. (Agribusiness)
Bd	Small rural businesses using electricity.
Bd	Policy and regulatory environment for small and microentrepreneurs.
Bu	Enabling laws and regulations adopted (on privatization).
Bu	Key laws, policies and regulations foster competition & private sector growth.
Gu	Legislation passed and enforced of family planning products and services through the public and private sector.
Ha	Revised commerce code.
Ha	Revised investment code.
Ke	Seed privatization policy fully implemented.
Ke	Policy/regulations changed and implemented.
Ke	Export development policies improved and implemented.
Ph	Market rate lending to enterprises and small producers by targeted banks in Mindanao.
Sr	Employment generated by companies raising new capital on the stock exchange.
Za	Private sector framework--private sector strategic framework and implementation plan presented to MOH (Health-related)

Sector--Small Business Activity--Linkages & Partnerships

MISSION	INDICATOR
Bu	Increased local and international exchanges of laws, policies, and regulations which support competition.

Annex 2

USAID Guinea
Leading Edge Mission
New Partnership Initiative

GUINEA
Mission NPI Strategies and Indicators
by
Adele Liskov, BHR/PVC and Jerry Harrison-Burns, MSI
NPI Learning Team
Performance Monitoring Group
11/10/96

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ACRONYMS

AIDS	Acquired Immunity Deficiency Syndrome
AMF	Agricultural Marketing Foundation
AMLGF	Agricultural Marketing Loan Guarantee Fund
APEAE	Parent Teacher Association (French)
BHR	Bureau for Humanitarian Response
CPR	Contraceptive Prevalence Rate
CRD	Rural Development Council (French)
CUD	Urban Development Council (French)
CYP	Couple Years of Protection
DAAF	MEPU District Accounting Office (French)
DHS	Demographic and Health Survey
DNFF	National Directorate of Forestry and Fauna (French)
EMIS	Education Management Information System
FP	Family Planning
FQL	Framework for Quality and Equity (French)
GER	Gross Enrollment Rate
GF	Guinean Franc
GOG	Government of Guinea
HRDA	Human Resource Development Activities
IR	Intermediate Result
IUD	Inter Uterine Device
LEM	Leading Edge Mission
MAEF	Ministry of Agriculture (French)
MCH	Maternal and Child Health
MEN	Ministry of Education (French)
MEPU	Ministry of Pre-University Education (French)
MOH	Ministry of Health
MSI	Management Systems International
MT	Metric Ton
NGO	Non Governmental Organization
NPI	New Partnerships Initiative
NRM	Natural Resource Management (Project)
PMG	Performance Monitoring Group
PRIDE	Rural Enterprise Development Project (French)
PSI	Population Services International
PVC	Office of Private and Voluntary Cooperation
R4	Results Review and Resource Request
SAAF	MEPU Regional Accounting Office (French)
SO	Strategic Objective
SPO	Special Objective
STI	Sexually Transmitted Infection
TA	Technical Assistance
TBD	To Be Developed

GUINEA Mission
NPI Strategies and Indicators

Introduction

USAID Guinea is one of eight leading Edge Missions (LEMs) for developing and implementing New Partnerships Initiative (NPI) strategies. The Performance Monitoring Group (PMG) is one of three subgroups of the USAID Washington NPI Learning Team charged with distilling NPI experience into operational tools and guidance. USAID Guinea requested assistance with developing NPI-specific indicators and with tracking NPI strategies integrated into its existing strategic objectives. At the same time the PMG was provided an opportunity to field test the NPI Results Framework designed for just that kind of task. The mutual technical assistance took place October 14 - 26, 1996. This report is the deliverable to the Mission. Material from this report will also be integrated into the NPI Resource Guide by the Learning Team.

Organization of the work

The PMG team worked under the direction of the Mission Economist and Acting Program Officer, who is also Team Leader for the Mission NPI Team. The NPI Team is composed of individuals responsible for NPI-like activities within the Mission Strategic Objective (SO) Teams. The NPI Team plus the SO Team leaders became the reference group for the work of the PMG Team. Together we mapped out the 10 days into SO Team meetings, field trips, an extended NPI Team meeting with partners,[1] drafts, discussions and redrafts of results frameworks and indicators. The NPI Framework served as the lens through which to view the Mission Framework to identify and capture a set of NPI results produced, but not always tracked. The end product of the above process is recommendations for revisions to the Mission's Framework, including intermediate results and indicators.

Organization of the Report

The report is organized into sections by strategic objective (SO) and special objective (SPO). Each section starts with a brief narrative of the recommended results statements and indicators that includes 1) a description of the process of analysis of the original Mission Framework, 2) changes in the Mission Framework, 3) discussion of indicator changes, and 4) any program implications of the recommendations. The narrative is followed by a graphic presentation of the revised results framework and supporting table of indicators recommended by the PMG Team with SO Team participation. The table presents a list of NPI modified or new indicators in relation to prior indicators as they appear in the Performance Data table presented to USAID Washington in the Results Review and Resource Request (R4). Instructions such as "add", "drop", "change old to"

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[1] "Partner" is more narrowly defined subsequently to mean organizations which contribute resources other than USAID's resources toward producing results defined in common. "Partners" as used here may technically include "implementers."

are intended to facilitate modification of the original table. Following the section of recommendations by the PMG is a section that includes baseline Mission information. It includes any SO Team redrafted frameworks and indicators developed since the R4 original and a copy of the relevant section of the R4 itself. The Performance Data table presented to USAID Washington in the Results Review and Resource Request (R4) report is the baseline from which to compare the recommendations. The report concludes with a copy of the complete Mission 1995 R4 Objective Tree (baseline Mission Results Framework).

The sections are:

SO 1: Growth in Agricultural Markets
SO 2: Increased Use of Essential FP/MCH and STI/AIDS-Prevention Services and Practices
SO 3: Increased Enrollment in Primary Schools with Emphasis on Rural/Female Participation
SPO1: Fostering Civil Society Development and Good Governance
SPO2: Protection of the Environment

The Appendices include some useful tools for working with NPI strategies and indicators:

A. NPI Results Framework

B. Definition of Partnership; Partnership vs. Linkage Criteria

C. Illustrative NPI Partnership Indicators

SO 1: Growth in Agricultural Markets

SO 1 Analysis: Process, Framework, Indicators and Program Implications

1. Process

A comparison of the Mission and NPI Frameworks indicated that the Mission strategy focused on two key environmental constraints and one concerning technical capacity: market access (including transportation cost), credit, and the third area of technical investment and trade services (capacity to build capacity.) What appeared to be missing was the capacity of the agricultural sector to advocate in its own behalf to confront other constraints in the environment. The Team indicated that efforts to date were ineffectual petitions to change costly government practices.

By including an indicator, **"Environmental constraints to marketing agricultural products reduced"** for effective trade and investment services, "advocacy" entered the picture as part of making services effective. An additional intermediate result focused on capacity for advocacy uses indicators for strong advocacy organizations, their partnerships, and actions. Input from SPO 1 (**Fostering civil society development and good governance**) shows the Mission's grass roots approach to strengthening capacity in the sector.

2. Recommended Framework

The Framework added two Intermediate Results: one for increased capacity in the agriculture sector from the NPI Results Framework and one for fostering civil society development and good governance from Special Objective 1. That addition captures the NPI logic of strengthening the agricultural sector (**capacity building**), in order to effect change in some of the constraints in the existing market reality for agricultural products (**enabling environment**), in order for investment and trade services to "be effective." Adding SPO 1 shows the relationship that grass roots capacity building has to strengthening the entire sector, especially in the area of advocacy for improving the enabling environment. Second tier or representative networks are much stronger built from the bottom up than from the top down. There is no result for monitoring the enabling environment but the indicators for capacity focus on it.

3. Indicators (See Table SO 1)

The indicators for IR1.3.1, **Agricultural sector capacity increased** (See table SO 1), really focus on the sector's capacity to improve its own market environment. They focus on the number of advocacy organizations and partnerships, their management and financial soundness, and their attempts at making improvements. Success is tracked at the next higher level result by the **"number of environmental constraints to marketing agricultural products reduced."** Indicators for SPO 1 are tracked under that SO.

4. Program implications

If the sector has experienced frustration in previous attempts to overcome constraints, the SO Team may want to strategize what new or innovative partnerships/linkages could be brought to the playing field on the side of agriculture.

PMG Team Recommendation

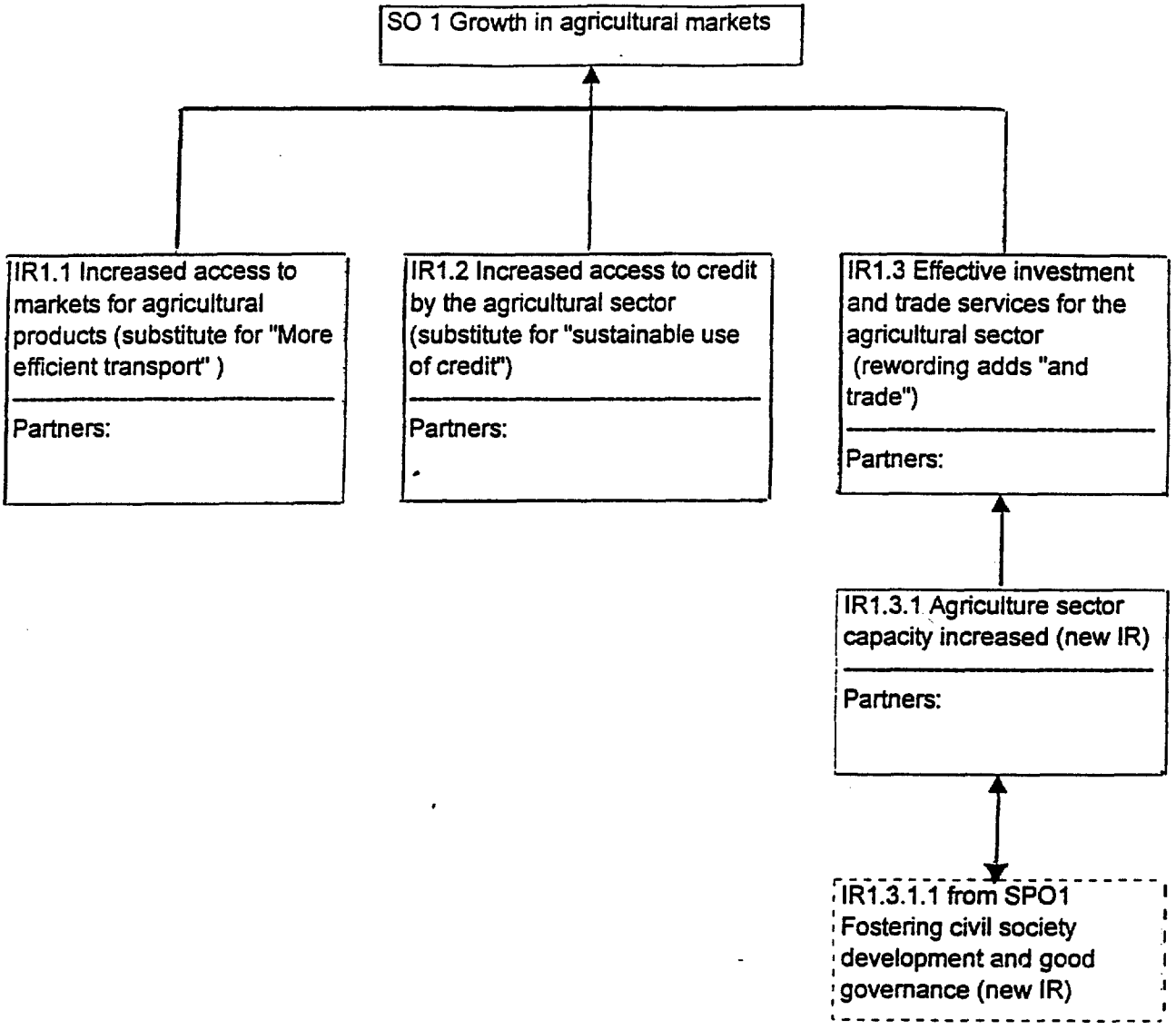

Table SO 1: **Guinea SO 1 Indicators** - PMG Team Recommendation
Strategic Objective 1: Growth in Agricultural Markets

Indicators	Unit of measurement
1. same as in R4	same as in R4
2. same as in R4	same as in R4
3. same as in R4	same as in R4
4. Drop "AMF membership"	

Intermediate Result 1.1: Increased access to markets for agricultural products

Indicators	Unit of measurement
1. same as in R4	same as in R4
2. same as in R4	same as in R4
3. Change to "Traffic volume on USAID roads"	Percent increase
4. Add "Roads rehabilitated"	Kilometers
5. Add "USAID estimate of rehabilitated road maintenance requirement covered"	Percent
6. Add "Market opportunities identified by USAID"	Number
7. Add "Market opportunities exploited"	Percent of those identified

IR 1.2: Increased access to credit by the agricultural sector

Indicators	Unit of measurement
1. same as in R4	same as in R4
2. same as in R4	same as in R4
3. same as in R4	same as in R4
4. same as in R4	same as in R4

IR 1.3 Effective investment and trade services for the agricultural sector

Indicators	Unit of measurement
1. Delete from R4	
1. same as old #2 in R4	same as in R4
2. change old # 3 to "Agribusiness plans and feasibility studies completed with USAID assistance"	Number
3. Agribusiness plans and feasibility studies implemented	Percent of those completed
4. Add "Environmental constraints to marketing agricultural products reduced"	Number

IR1.3.1 Agricultural sector capacity increased (new)

Indicators	Unit of measurement
1. Agricultural advocacy organizations	Number
2. Ability of agricultural advocacy organizations to satisfy financial and management audit	Percent that pass
3. Partnerships focused on environmental constraints	Number
4. Advocacy interventions	Number

IR1.3.1.1 Fostering civil society development and good governance (from SPO 1)

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SO Team Draft Framework

R4 Performance Data Table

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Figure 1b: Results Framework for Strategic Objective No. 1, with Indicators

STRATEGIC OBJECTIVE No. 1

GROWTH IN AGRICULTURAL MARKET

INDICATORS:

1. Volume of goods transported between key markets.
2. Agricultural exports by commodity groups: coffee, cotton, fruits and vegetable (Total & by AMF members).
3. Volume of key agricultural imports: fertilizers and packaging materials (Total & by AMF members)

INTERMEDIATE RESULT No. 1

INCREASED ACCESS TO MARKETS FOR AGRICULTURAL PRODUCTS

INDICATORS:

1. Percent reduction in transport costs in areas served by USAID roads.
2. Percent reduction in travel time between key markets on USAID roads.
3. Percent increase traffic volume on USAID roads.
4. Total kilometers of roads rehabilitated by USAID, GOG and other donors.
5. Number of market opportunities identified by USAID for its customers and success rate.

INTERMEDIATE RESULT No. 2

INCREASED ACCESS TO CREDIT BY THE AGRICULTURAL SECTOR

INDICATORS:

1. Annual number of loans assisted by USAID & other donors (Percent to women).
2. Total annual value of loans assisted by USAID & other donors (Percent to women).
3. Percentage of ongoing USAID-assisted loans not current (Percent to women).
4. Percentage of private bank loans going to the agricultural sector.
5. Number of people trained in in credit appraisal skills by HRDA, PRIDE and AMF.

INTERMEDIATE RESULT No. 3

EFFECTIVE INVESTMENT AND TRADE SERVICES FOR THE AGRIC. SECTOR

INDICATORS:

1. Percentage of USAID-assisted loan applications approved by banks.
2. Number of agribusiness plans & feasibility studies assisted by USAID and success rate.
3. Number of people trained in marketing, management, project design, trade & investment promotion skills by HRDA, PRIDE, AMF, NRM & other donors.

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STRATEGIC OBJECTIVE 1: Growth in Agricultural Markets

INDICATORS	UNIT OF MEASUREMENT	BASELINE DATA Year	Value	Actual 1990	1991	1992	1993	1994	1995	Planned 1995	1996	1997	1998	Data Source
1. Volume of goods transported between key markets Average two-way traffic on five regional and national roads	Metric tons per week	1994	4.5	na	na	na	na	4.5	33.6	15	50	50	60	DNGR Reports
2. Agricultural exports by commodity/ groups														
. Total coffee exports	Metric Tons	1990	11,200	11,200	12,700	17,500	20,600	22,250	19,830	24,030	25,950	28,000	30,000	
- Cotton	Metric Tons	1992	11,031	na	na	11,031	19,579	14,008	15,400	10,000	na	na		CFDT
Total Exports by AMF members 1/	MT per member	1994	0.25	na	na	na	na	0.25	4.1	0.3	4.5	5	5.5	AMF
- Fruits & Vegetables	MT per member	1994	0.25	na	na	na	na	0.25	na	0.3	0.5	1.7	na	
3. Volume of key agricultural imports														
- Fertilizer imports	Metric tons	1988	3,425	4,044	3,889	4,268	5,038	5,872	6,634	8,149	8,600	9,100	10,000	
- Imports by AMF members	MT per member	1994												
Packaging materials	Boxes per member	1995	Number	na	na	na	na	na	8	5	25	85	100	AMF (FICA in French)
4. AMF membership	Number	1993	372	na	na	na	372	458	527	520	700	800	900	AMF (FICA in French)

INTERMEDIATE RESULT 1.1: More Efficient Transport of Agricultural Products

INDICATORS 1/	UNIT OF MEASUREMENT	BASELINE DATA Year	Value	Actual 1990	1991	1992	1993	1994	1995	Planned 1995	1996	1997	1998	Data Source
1. Change in transport costs in areas served by USAID roads	change in cost per metric ton (% change in base)	1994	100					100	66	na	66	66	66	
2. Change in travel time between key markets on USAID roads	change in travel time (% change in base)	1994	100		Monitoring system set up in 1995			100	14	na	14	14	14	
3. Change in local farmgate prices for key agricultural commodities in areas served by USAID roads	Average price index	1994	100					100	139	na	139	139	139	USAID/GOG Activity monitoring system

1/ The values reported are indices with the base year set at 100. Differences between a given year and the base year give the change in the index.
The expected increase in volume shown in the previous table (SO1.1) raises the benefit as additional roads are built.

INTERMEDIATE RESULT 1.2: *Increased Sustainable Use of Credit by Agricultural Sector*

INDICATORS	UNIT OF MEASUREMENT	BASELINE DATA Year	Value	Actual 1990	1991	1992	1993	1994	1995	Planned 1995	1996	1997	1998	Data Source
1. Number of loans made per year														
- PRIDE	Number	1992	1,375	na	na	1,375	4,250	5,865	10,555	18,000	10,300	14,130	15,355	PRIDE
Percent made to women	Percent of total		63	na	na	63	67	68	68	68	68	68	68	
- USAID/Banks	Number	1994	7	na	na	na	na	7	22	50	20	30	40	Participating Banks
Percent made to women	Percent of total		0	na	na	na	na	0	10	15	15	20	20	
- AMLGF	Number	1994	0	na	na	na	na	0	0	2	15	20	25	AMLGF
Percent made to women	Percent of total		0	na	na	na	na	0	0	50	25	25	30	
2. Total value of loans	Million GF													
- PRIDE		1992	206.8	na	na	206.8	975.1	1,355.2	2,797.8	3,000.0	3,000.0	2,740.5	3,115.8	PRIDE
Percent made to women	Percent of total		61.0	na	na	61.0	65	66	68	68	68	68	68	
- USAID/Banks 1/		1994	692.0	na	na	na	na	692	216	870	200	300	400	Participating Banks
Percent made to women	Percent of total			na	na	na	na	0	10	20	25	25	30	
- AMLGF		1994	0.0					0	0	300	300	1,500	2,000	AMLGF
Percent made to women	Percent of total		0.0					0	0	10	25	25	30	
3. Percent of ongoing loans that are not current	Percent of total No	1992												
- PRIDE Total		1992	0	na	na	0	0	0	0	0	0	0	0	PRIDE
Women			0	na	na	0	0	0	0	0	0	0	0	
- USAID/Banks		1994	0	na	na	na	na	0	0	10	10	10	10	Participating Banks
Women			0	na	na	na	na	0	0	10	10	10	10	
- AMLGF			0	na	na	na	na	0	0	20	20	10	10	
Women			0	na	na	na	na	0	0	20	15	10	10	
4. Percent of private bank loans going to agriculture	Percent of total value of loans	1990	12	12	14	11	13	16	18	20	25	30	30	BICIGUI and BPMG

1/ A previous credit activity was folded into this new one, resulting into the high initial benchmark

INTERMEDIATE RESULT No. 1.3: *Effective Investment Services for the Agricultural Sector*

INDICATORS	UNIT OF MEASUREMENT	BASELINE DATA Year	Value	Actual 1990	1991	1992	1993	1994	1995	Planned 1995	1996	1997	1998	Data Source
1. Percent of AMF members applying for loans	No loan requests/ No. of members	1994	0					0	51.8	50	50	50	50	AMF
2. Percent of AMF approved requests obtaining bank credit	No. approved/ No. applications	1994	0					0	8.7	5	15	15	20	AMF
3. Percent cost recovery from borrower/ investor training programs	Ratio of funds recovered to cost of training				Activity had not yet started									
- PRIDE		1992	100			100	100	100	100	100	100	100	100	PRIDE
- AMF		1994	0					0	0	50	50	50	50	AMF

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SO 2: Increased Use of Essential FP/MCH and STI/AIDS Prevention Services and Practices

SO 2 Analysis: Process, Framework, Indicators and Program Implications

1. Process

The Mission Framework included an intermediate result that used partnerships to overcome health system constraints. The intermediate results below it described categories of partnerships, not causal relationships among results. By using the NPI Results Framework as a template and modifying it to fit the health SO, the recommended framework expresses a causal relationship. The "partnership" intermediate result changed from **"Linkages established among donor and other partners which address critical health system constraints"** to **"More effective and sustainable response among donors, government, community organizations, NGOs, and private sector in addressing critical health system constraints"**, measured by alleviation of specific constraints. The two lower level intermediate results that contribute to the more effective response are **"innovative linkages and partnerships established"** and **"strengthened capacity of local NGOs and community organizations."** There is no intermediate result for **"enabling environment"** but the indicators for **"addressing critical health system constraints"** are tracking the improvement in the environment.

2. Recommended Framework

The changes in the SO Framework that the PMG recommended are modifications of a new, draft version being developed by the SO team. The SO Team draft has three second level intermediate results contributing to the SO level's "use" of health services and practices. One of the three is **"Linkages among donors and other partners which address critical health system constraints."** Lower level contributing Intermediate Results are categories of partners, not results. The PMG Team used the NPI Strategic Framework as a template to define "causal" intermediate results to replace the categories of partners.

The recommendation is a second level IR2.3, **"More effective and sustainable response among donors, government, community organizations, NGOs and private sector in addressing critical health constraints;"** and two contributing IRs: 2.3.1 **"Innovative linkages and partnerships strengthened/established"** and 2.3.2 **"Strengthened capacity of local NGOs and community organizations."** The logic is that NGO strengthening includes skills for brokering NPI relationships to create the coalitions necessary to address critical health system constraints. The measure of how good they are at it is whether some very specific constraints are improved.

3. Indicators (See Table SO 2)

The specific constraints mentioned above are indicators for IR 2.3 **"More effective and sustainable response...."** Also included are two indicators for measuring sustainability: **"Life of key partnerships"** and **"Life of impact."** The logic is that a web of partnerships is built to improve the environment to increase the use of health services and practices. The partnerships that are key to making it work must continue until other forces (such as economics) come into play to keep the impact going. Impact life, in this case the level of use of health services and practices, lasts as long as it doesn't decline. Sustainability can be monitored by its impact life and that of its

key partnerships. Impact that lives beyond the life of its partnership web and continues to grow is probably sustainable.

"**Innovative linkages and partnerships strengthened/established**" is measured by the existence of some specific partnerships deemed necessary and an indicator for "**Partnerships/linkages focused on constraints.**" That indicator should tell the story of the level of the NPI brokering activity by the NGOs. The constraints and coalitions built to tackle them will define the targets for the indicator.

Indicators for "capacity building" for SO 2 track revenue generation, efficiency in its use, and the volume of brokered services leveraged.

4. Program implications

The NPI focus moves "capacity building" for NGOs and community organizations in the direction of organizing for health services and brokering NPI partnerships/linkages.

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LINKAGES

PMG Team Recommendation

IR 2.3: More effective and sustainable response among donors, government, community organizations, NGOs and private sector in addressing critical health system constraints.

ILLUSTRATIVE INDICATORS
1. Frequency of stock-outs reported by health centers;
2. Number of trained personnel at district level to implement decentralized health sector management policy and strategies;
3. MOH budget and decentralized financial resources allocation to the periphery;
4. Adequacy of facilities and equipment to support; quality service delivery in the health centers at all level;
5. Life of key partnership(s);
6. Life of impact.

Sub-IR: 2.3.1:Innovative linkages and partnerships strengthened/established.

* Formal GOG-led coordination council established and functioning;
* Number of partnership/linkages developed

* Percentage of prefectures (districts) with community representative management committees;

Sub-IR 2.3.2: Strengthened capacity of local NGOs and community organizations.

* Revenue generation.
* Use of revenues.
* Services brokered by NGOs for selected activities.

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Table SO 2 **Guinea SO 2 Indicators** - PMG Team Recommendation

Strategic Objective 2: Increased use of essential FP/MCH and STD/AIDS prevention services (Restatement of R4 strategic objective)

IR 2.3 (or IR 2.4 under R4): More effective and sustainable response among donors, government, community organizations, NGOs and private sector in addressing critical health constraints (New IR)

Indicators	Unit of measurement
1. Frequency of stock-outs reported by health centers	Average number per month
2. Trained personnel at district level (definition: minimal level of training acceptable?)	Number
3. MOH budget allocation to periphery	Percent of total budget
4. Health centers meeting minimum quality standards (definition?)	Percent
5. Life of key partnerships (Definition: Period of time during which the definition of a partnership holds and exchanges continue)	Cumulative months
6. Life of impact (Definition: # years that use of FP/MCH and STD/AIDS prevention services remains stable or increases)	Cumulative years

IR 2.3.1 or 2.4.1: Innovative linkages and partnerships strengthened/established

Indicators	Unit of measurement
1. Formal GOG-led coordination council functioning	Yes/No
2. Partnerships/linkages focused on constraints	Number of part./linkages
3. Prefectures (districts) with community representative management committees	Percent

IR 2.3.2 or 2.4.2: Strengthened capacity of local NGOs and community organizations

Indicators	Unit of measurement
1. Revenue generation by selected NGOs/community organizations	$000 dollars
2. Rational use of revenues (Definition: service costs divided by total costs subtracted from a benchmark)	Percentage points of deviation
3. Services brokered by NGOs for selected activities	Number and estimated $ value

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SO Team Draft Framework

R4 Performance Data Table

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Annex 1

STRATEGIC OBJECTIVE
Increased use of essential FP/MCH and STI/AIDS-prevention services and practices

INTERMEDIATE RESULT 2.1

Increased ACCESS to quality services and products in FP/MCH and STI/AIDS prevention

INTERMEDIATE RESULT 2.2

Increased DEMAND for FP/MCH and STI/AIDS prevention services and products.

INTERMEDIATE RESULT 2.3

LINKAGES established among donors and other partners which address critical health system constraints

INTERMEDIATE RESULT 2.1.1

Improved service delivery

INTERMEDIATE RESULT 2.2.1

Improved knowledge and behavior of women and children

INTERMEDIATE RESULT 2.3.1

Strengthened national level donor partnerships

INTERMEDIATE RESULT 2.1.2

Increased availability of FP and health products through social marketing

INTERMEDIATE RESULTS 2.2.2

Improved service delivery

INTERMEDIATE RESULT 2.3.2

Strengthened community level partnerships

INTERMEDIATE RESULT 2.1.3

Increased availability of FP and health

INTERMEDIATE RESULT 2.3.3

Strengthened NGO partnerships

DRAFT 10/7/96

LINKAGES

IR 2.3: Linkages established among donor and other partners which address critical health system constraints.

ILLUSTRATIVE INDICATORS
1. Frequency of stock-outs reported by health centers.
2. Number of trained personnel at district level to implement decentralized health sector management policy and strategies.
3. Staffing pattern at the periphery;
4. MOH budget and decentralized financial resources allocation to the periphery;
5. Adequacy of facilities and equipment to support quality service delivery in the health centers at all level;

Sub-IR: 2.3.1: Strengthened national level donor partnerships

* Formal MOH-led coordination council established and functioning;
* Number of partnership contracts developed with selected donors (IE. KFW, WB, GTZ, UNFPA and WHO);
* Number of joint planning/programming, monitoring and evaluation activities conducted with other donors.

Sub-IR 2.3.2: Strengthened community level partnerships.

*Formal MOH-led regional and district level coordination councils established and functioning;
* Percentage of prefectures (districts) with community representative management committees;
* Number of partnership programs among donors and implementing organizations;
* "Safety net" procedures put in place and functioning in targeted communities.

Sub-IR 2.3.3: Strengthened NGO partnership

* Percentage of population with access to services via NGO partnerships

STRATEGIC OBJECTIVE NO. 2: Increased Ability of Families to Determine Household Size

INDICATORS	UNIT OF MEASUREMENT	BASELINE DATA Year	BASELINE DATA Value	Actual 1990	Actual 1991	Actual 1992	Actual 1993	Actual 1994	Actual 1995	Planned 1995	Planned 1996	Planned 1997	Planned 1998	Data Source
1 Increase in sales of contraceptives 1/	Thousand Units	1992												
- Private Sector														
Condoms			1921			1,921	2,116	1,398	2,777	3,000	3,000	3,200	3,500	
Oral Contraceptives			0			0	0	0	4.6	na	4.6	7.2	10.4	
Injectables			0			0	0	0	1.3	na	1.3	1.6	2.3	
- Public Sector				Activity not started										
Condoms		1993	23.5				23.5	31.1	36.2	na	60.7	67.5	81.0	
Oral Contraceptives			0.0			0.0	13.0	26.3	37.4	na	91.1	101.2	121.5	
Injectables			0.0			0.0	2.5	6.0	8.4	na	18.4	20.4	24.5	
IUD's			0.0			0.0	0.1	0.1	0.3	na	0.6	0.7	0.8	
Spermicide			0.0			0.0	13.7	13.9	32.2	na	40.5	45.0	54.0	PSI Records
2 Increase in contraceptive prevalence rates (CPR)	Percent	1992												
- National			1.3			1.3	na	na	4.6	5	5.5	6	7	DHS for 1992 data 1995 PSI estimates
3 Increase in couple years of protection (CYP)	Number of CYPs	1992												
Total			12,807			12,807	15,135	18,550	39,000	26,500	36,725	43,000	51,000	
- Private Sector			12,807			12,807	14,107	14,000	28,500	25,000	23,225	28,000	33,000	
- Public Sector			0			0	1,028	4,550	10,500	1,500	13,500	15,000	18,000	PSI Records

1/ The figures refer to Population Services International -related sales only

INTERMEDIATE RESULT No. 2.1: Family Planning Population Policy Formulated and Implemented

INDICATORS	UNIT OF MEASUREMENT	BASELINE DATA Year	BASELINE DATA Value	Actual 1990	Actual 1991	Actual 1992	Actual 1993	Actual 1994	Actual 1995	Planned 1995	Planned 1996	Planned 1997	Planned 1998	Data Source
1 National Population Policy articulated and implemented by the Ministry of Plan	Scale 1-10 1/ 5 = articulation 10 = full impl.	1990	1	1	3	5	7	9	9	10	10	10	10	GOG legislation and USAID Assessments
2. Legislation passed and enforced giving increased rights to women over their fertility	Scale 1-10 5 = passed 10 = full impl.	1990	1	1	1	3	4	4	4	10	5	6	7	GOG legislation and USAID Assessments
3. Legislation passed and enforced permitting promotion of family planning products and services through public and private sectors	Scale 1-10 5 = passed 10 = full impl.	1990	1	1	1	5	8	0	9	10	9	10	10	GOG legislation and USAID Assessments

1/ This indicator gives the best judgement of those more closely involved with these issues.

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INTERMEDIATE RESULT No. 2.2: Improved Family Planning Information and Commodity Delivery

INDICATORS	UNIT OF MEASUREMENT	BASELINE DATA Year	BASELINE DATA Value	Actual 1990	Actual 1991	Actual 1992	Actual 1993	Actual 1994	Actual 1995	Planned 1995	Planned 1996	Planned 1997	Planned 1998	Data Source
1. Increase in the number of family planning information and commodity delivery centers/sites	Number of													
- Public health centers and hospitals	centers/sites	1992	16			16	50	70	106	100	106	106	106	
- Community Based Distribution sites		1995	50		n a				50	50	450	450	450	PSI Records
2 Increase in the number of private family planning information and commodity delivery sites	Number of													
Total		1992	340			340	565	1105	3710	1580	3750	3750	3750	
- Traditional Outlets	centers/sites		40			40	145	200	235	260	250	250	250	
- Non-Traditional Outlets			300			300	420	905	3475	1320	3500	3500	3500	PSI Records

INTERMEDIATE RESULT No. 2.3: Increased Demand for Contraceptive Services

INDICATORS	UNIT OF MEASUREMENT	BASELINE DATA Year	BASELINE DATA Value	Actual 1990	Actual 1991	Actual 1992	Actual 1993	Actual 1994	Actual 1995	Planned 1995	Planned 1996	Planned 1997	Planned 1998	Data Source
1 Percent of people having specific knowledge of contraceptive methods														
- National			27.2			27.2	na	na	53	58	60	65	70	
Forest Region			10.5			10.5	na	na	52.5	24	58	75	80	
Upper Guinea			7.0	Activity not started		7.0	na	na	35	19	42	70	80	PSI estimates, 1995
Conakry	Percent of Sample	1992	63.8			63.8	na	na	90	75	90	95	98	1992 Guinea DHS
AREA CAPITALS														
N'Zérekoré (Forest Guinea)			89.0			Baseline figures determined by 1995				70	75	80	90	
Kankan (Uppermost Guinea)			91.0			DHS study. IEC activites to begin				65	70	75	80	
Mamou			68.0			in FY 96 will be based on this new data.				see footnote 2				
Labé (Middle Guinea)	Percent of Sample	1995	63.0											PSI data
2 Modern contraceptive use														
- Female										To be established				
Forest Region			0.8			0.8	na	na	4.3	during project design				
Upper Guinea			0.6			0.6	na	na	3.9					
Conakry	Percent of Sample	1992	3.9			3.9	na	na	na					PSI estimates, 1995
														1992 Guinea DHS

1/ CPR estimated from CYP in years between DHSs

2/Specific data for the area capitals of Mamou and Labe is not available, although there is baseline data. Impact in these areas is reflected at the national level.

SO 3: Increased Enrollment in Primary Schools with Emphasis on Rural/Female Participation

SO 3 Analysis: Process, Framework, Indicators and Program Implications

1. Process

The PMG Team found the Mission Results Framework on education complex and before applying the NPI Framework to it, worked with the SO Team to clarify their strategy. What came from that exercise was a simple model based on supply and demand. Access to education (supply) and improved quality of teaching in an environment responsive to consumers (parents) will increase demand for education and increase enrollment in primary schools. Proper management of that model will produce the desired emphasis on female and rural participation. A second consideration was that the SO Team reported that the strategic objective was donor initiated and heavily donor subsidized in a multi donor environment. Sustainability is often an important issue with donor driven initiatives. Reviewing the simplified framework with an NPI lens revealed partnerships integrated heavily into all aspects of it, though they were not explicitly tracked. Given the importance of sustainability, an intermediate result (IR) for **"partnerships/linkages support sustainable impact"** at the bottom of the framework contributing to all IRs above it seemed to capture the nature of the role of partnerships in the strategy with a spin toward long range sustainability. Indicators track partnership successes in problem solving (enabling environment), consumer responsiveness, and financial sustainability for both primary education in general and for NGOs concerned with quality education.

2.Recommended Framework

The NPI approach was integrated into the framework from the very beginning in that community involvement provided a customer feedback loop into all levels of the education system from the Ministry to the local school. The only real NPI change is the addition of an Intermediate Result that would track progress toward sustainability: **"Partnerships/linkages support sustainable impact."** SPO 1, **"Fostering civil society development and good governance,"** is shown as contributing to that result. Information on sustainability may help the SO team along the road to an exit.

3. Indicators (See Table SO 3)

The indicators focus on partnerships in three distinct roles: 1. In a problem solving mode to improve the enabling environment, 2. Their contribution to (or leverage for) non-donor revenue sources for sustainability, 3. As a feedback loop to the Ministry of Education to improve quality, increase customer satisfaction, and thereby willingness to pay. Essentially, non-donor revenue compared to total cost tells the story of the road toward sustainability. Non-donor revenue may take the form of contributions to local school support or Ministry of Education support for NGOs' role in teacher training.

4. Program implications

Sustainability deserves attention in most donor driven programs. Literacy by its very nature is sustainable but the literacy rate will drop with time if new generations are not educated. Partnerships at the local level will, in all likelihood, assume the maintenance cost for investment in

school facilities. Investment in the Ministry infrastructure for data management, planning, teacher training, curriculum development, etc., may need a sustainability plan. The program may need to look for creative ways (partnerships/linkages) to cover the maintenance cost of the investment over the long term.

Guinea: Strategic Objective No. 3

PMG Team Recommendation

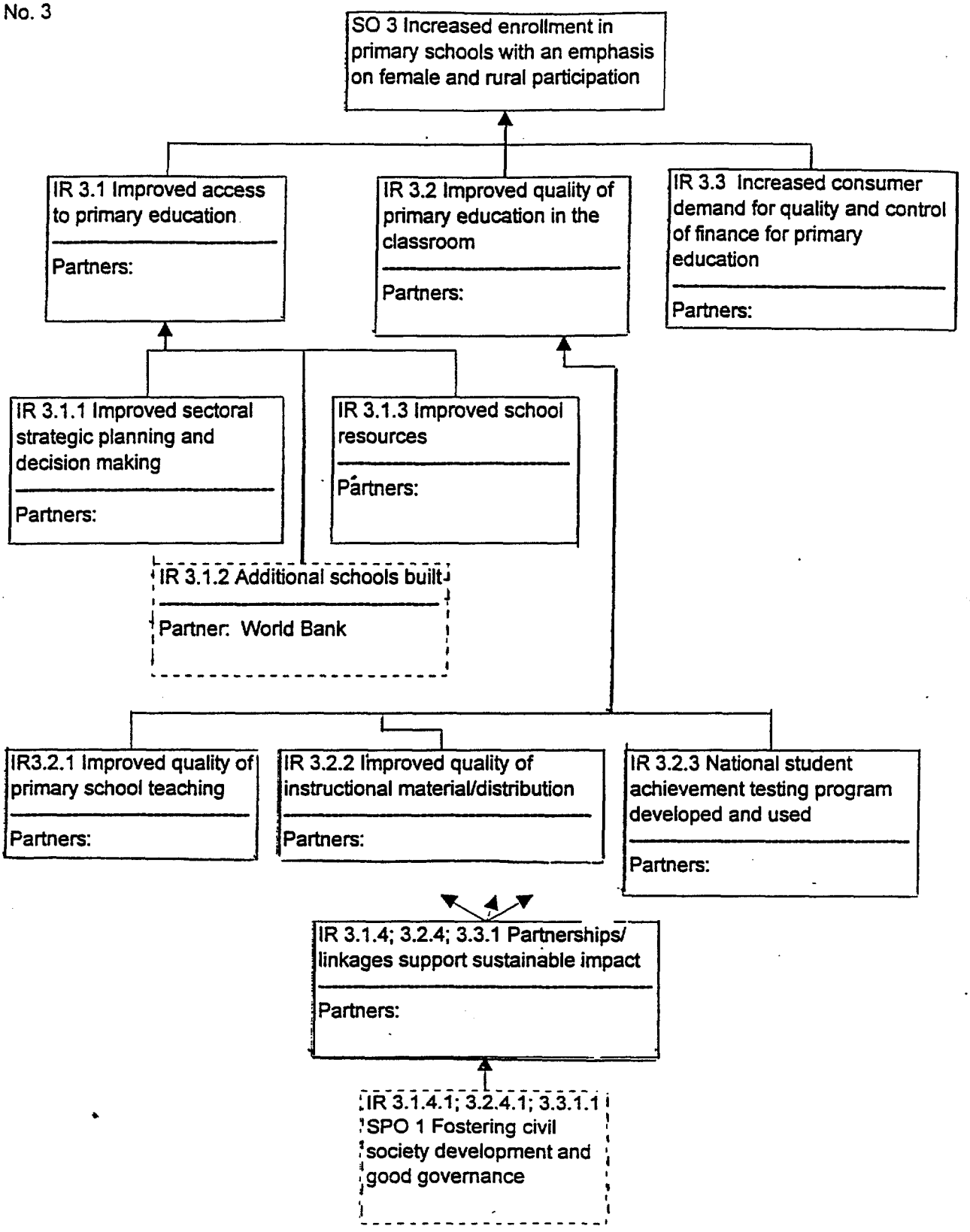

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Table SO 3 **Guinea SO 3 Indicators** - PMG Team Recommendation

SO 3 Increased enrollment in primary schools with an emphasis on rural/female participation

Indicators	Unit of Measurement
1. same as in R4	same as in R4
2. same as in R4	same as in R4
3. same as in R4	same as in R4
4. same as in R4	same as in R4

IR 3.1 Improved access to primary education (New IR)

Indicators (New indicators)	Unit of measurement
1. Increased correlation between population and school distributions	Standard deviation
2. Increased correlation between population and teacher distributions	Standard deviation
3. Primary schools with minimum number of texts (Define minimum number)	Percent

IR 3.1.1 Improved sectoral strategic planning and decision making (3.1 in R4)

Indicators (New indicators)	Unit of Measurement
1. Cost per student day of instruction (against benchmarks defined by comparative analysis with other countries)	$
2. Schools meeting MEPU defined minimum quality/quantity standards	Percent

IR 3.1.2 Additional schools built (World Bank) (New donor activity)

Indicators	Unit of Measurement
1. Schools built	Number

IR 3.1.3 Improved school resources (New IR)

Indicators (New indicators; delete R4 indicators)	Unit of measurement
1. Schools constructed or rehabilitated	Cumulative number
2. New teachers hired by gender/rural/urban	Numbers
3. Total number of teachers in primary classrooms by gender/rural/urban	Numbers

IR 3.2 Improved quality of primary education in the classroom (Replaces R4 3.2)

Indicators (New indicators; delete R4 indicators)	Unit of Measurement
1. Independent expert random survey of school quality improvement	Yes/No + analysis
2. 4th grade literacy test during survey	Percent literate

IR 3.2.1 Improved quality of primary school teaching (R4 3.2 reworded)

Indicators (New indicator)	Unit of Measurement
1. Rating by independent expert of teacher congruence with standards from training	Percent score

IR 3.2.2 Improved quality of instructional material/distribution (New IR)

Indicators	Unit of Measurement
1. Evidence of availability and use in schools surveyed	Yes/No and observations
2. Reading and comprehension score on pamphlets in survey	Percent grade

IR 3.2.3 Development and use of a national student achievement testing program(New IR)

1. Change in policy, practice, training and/or educational materials as a result of test score analysis	Yes/ No plus analysis

IR 3.3 Increased consumer demand for quality and control of finance (Replaces R4 3.3)

Indicators (New; Delete R4 indicators)	Unit of Measurement
1. Rural schools managed by APEAES and communities	Percent
2. Advocacy groups that successfully change a policy, procedure, budget, curriculum or teacher training objective	Number

3. Local funding of total cost of primary school	Percent

IR 3.1.4, 3.2.4, 3.3.1 Partnerships/linkages support sustainable impact (New IR)

Indicators	Unit of Measurement
1. Partnerships formed	Number
2. Problems solved by partnerships	Number
3. MEPU policies/practices changed by consumer initiative	Number
4. Primary schools with partial local finance	Percent
5. Non-donor revenue compared to total cost of primary school	Percent
6. GOG training and TA budget amounts available to NGOs	$000

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SO Team Draft Framework

R4 Performance Data Table

SO-3 RESULTS FRAMEWORK

Agency for International Development Goal 1

Broad-based Economic Growth Achieved

USAID/Guinea's Strategic Objective

Improved Economic and Social Well-Being of all Guineans in a Participatory Process

Strategic Objective No.3

Increased Enrollment in Primary Schools with an Emphasis on Rural and Female Participation

Intermediate Results

Improved Sectoral Strategic Planning and Decision-Making	Improved Classroom Quality Through Better Teaching and Learning	Increased Access and Equity in Education Through Community Participation

Target/ outputs for year 2002

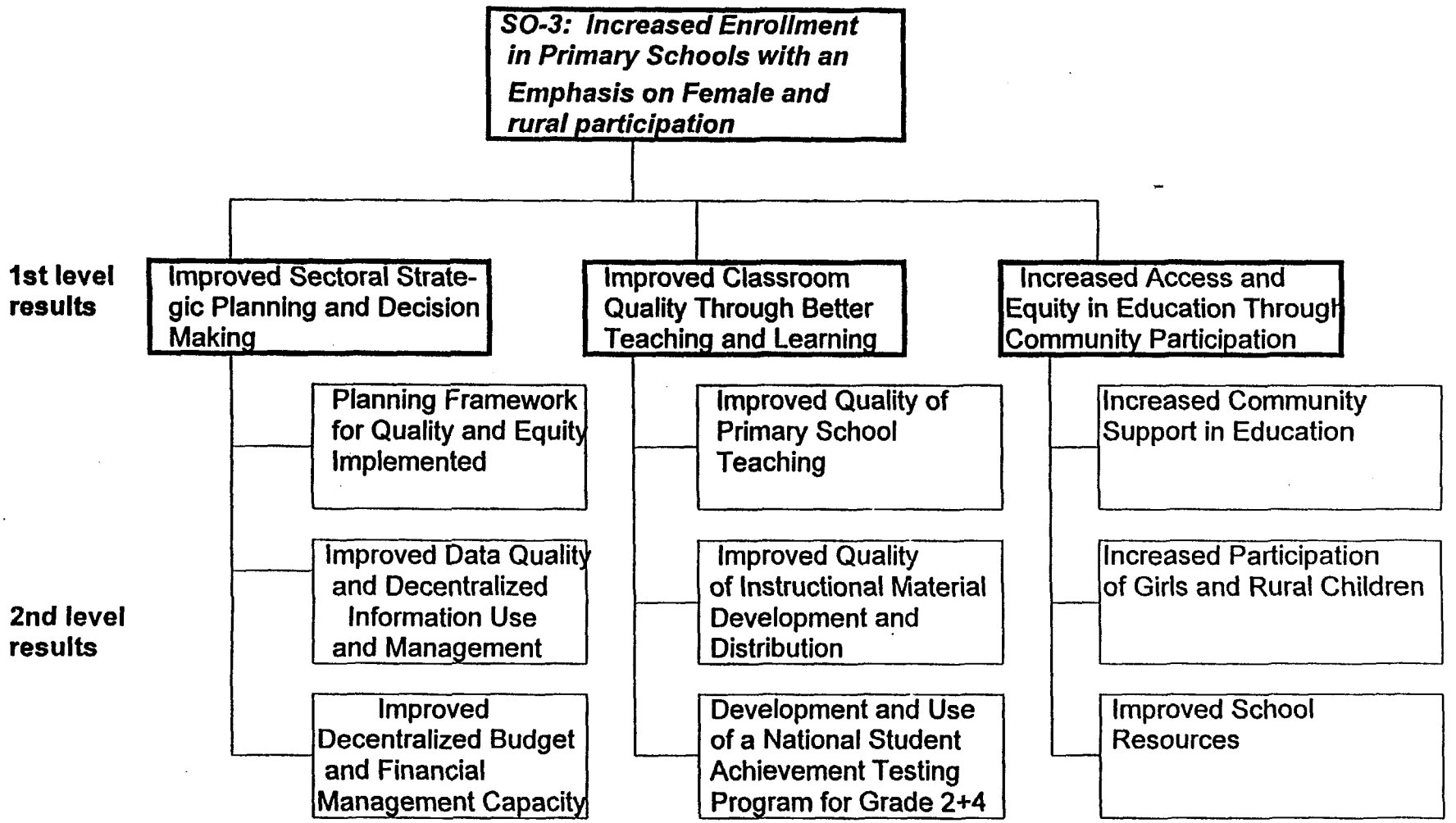
Improved Sectoral Strategic Planning and Decision-Making	Improved Classroom Quality Through Better Teaching and Learning	Increased Access and Equity in Education Through Community Participation
* FQL Planning framework with measurable annual targets: 1) developed 2) in operation	* Textbook production and distribution policy formulated	* Increased capacity of education NGOs, APEAEs, and communities
* Regular consultations, Policy dialogue, and consensus building between partners	* On-going innovated approaches to curriculum and pedagogy design	* National strategy to improve equity in operation
* Information system established to support management decisions for FQL implementation	* In-service teacher training policy in practice	* Advocacy constituencies for girls' education developed
* Data use and analysis dissemenated	* Appropriate pedagogical methods used in the classroom	* Increased number of schools with teachers in rural areas
* Budget and financial management decentralised		

Critical Assumptions : SO-3:

* Primary Education budget allocation will continue to expand and improve
* Priorities of Primary, rural and girls' education will be increased
* Investments in improving quality will lead to improved student performance and reduce # years to complete s
* Donor and MEN collaboration and coordination will im
* MEN will continue to construct and staff schools as planned
* GOG and MEN reorganization will not impede on planned activities

Footnotes to be added

STRATEGIC OBJECTIVE #3



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Strategic Planning and Management

I.R.3.1

Improved Sectoral Strategic Planning and Decision Making

Indicators:

*Mission statement and operational plan develped by MEN.
*FQL multi-year planning strategy and framework with measurable annual targets
*Customer feedback incorporated into decision and policies at central and decentralized levels.
*Linkage between budgeting and program planning strengthened

IR.3.1.A

Planning Framework for Quality Equity Implemented

IR.3.1.B

Improved Data Quality and Decentralized Information Use and Management

IR.3.1.C

Improved Decentralized Budget and Financial Management Capacity

Indicators

*Effective planning framework developed by MEN for 1) quality and 2) equity implemented

*Implementation policy for FQL developed and in operation

*Progress towards meeting FQL targets tracked

*Equity committee members planning and implementing equity activities at central and regional levels

*Regular customer/partner consulations with MEN

*CP and SSP collaborating to assess PASE progess

*Information and Management system reports developed responsive to clients needs

*Data analysis incorporated in developing sectoral plans

*Data collection and Data base management streamlined

*Information regularly disseminated

*Financial Planning framework and tools utilized by DAAF and SAAF

*Internal auditing and inventory control systems operating at DAAF and SAAF levels

*Procurement and Inventory systems streamlined

*DAAF analyzing FQL policy options in relation to financial resources available

Footnotes to be added

QUALITY

I.R.3.2

Improved Classroom Quality Through Better Teaching and Learning

Indicators:

*In-Service teaching training policy established

* Primary School Repetion rates decreased: female/male rural/urban.

* Primary School Drop-out rates decreased: female/male rural/urban

* 4 grade completion rates increased: female/male rural/url

3.2.A

Improved Quality of Primary School Teaching

3.2.B

Improved Quality of Instructional Material Development and Distribution

3.2.C

Development and Use of a National Student Achievement Testing Program for Grades 2 and 4

Indicators

* In-service teacher training programs 1) established and 2) functioning

* Number of teachers receiving supervisory support

* # of trained teachers in the application of teacher manuals in the classrooms

* Number of MEN trained staff acquiring skills in curriculum and instructional materials development

* Improved teacher manuals developed and used in the classroom

* Number of student brochures developed and used in the classroom

* National student Achievement test developed for grades 2 and 4

* Percentage of students tested

* Results of tests recorded and analyzed

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EQUITY/ACCESS

I.R.3.3

Increased Access and Equity in EducationThrough Community Involvement

Indicators:

* Multigrade classrooms increased in rural areas

*Community-School based intiatives developed and supported at all levels of MEN

* Community based constituencies involved in dialogue regulary with MEN officials

I.R.3.3.A

Increased Community Support in Education

I.R.3.3.B

Increased Participation of Girls and Rural Children

I.R.3.3.C

Improved School Resources

Indicators

* Number of APEAES operating in beneficiary regions

* Number NGOs operating in beneficiary regions

* Percentage of rural schools managed by APEAESs and communities

* Advocacy groups for girls in education developed in local communities

* Gender bias in curriculum and class-room practices implemented

* Activities addressing girls' constraints implemented

* Number of schools constructed according to school maps and norms

* Number of school renovated

* Number of new teachers hired: female/male rural/urban

Footnotes to be added

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STRATEGIC OBJECTIVE 3 Performance Data

STRATEGIC OBJECTIVE NO. 3: Increased Enrollment in Primary Schools with Emphasis on Rural/Female Participation

INDICATORS	UNIT OF MEASUREMENT	Baseline Year	Data Value	Actual 1990	1991	1992	1993	1994	1995	Planned 1995	1996	1997	1998	Data Source
1 Primary school enrollment: Gross Enrollment Rate														
- National	Percent	1990	27.5	27.5	31.3	31.9	36.5	40.1	43.7	na	46.6	50.2	53.5	
- Girls		1990	17.0	17.0	19.4	19.6	23.1	25.7	28.2	na	30.4	32.7	34.9	Ministry of Pre-University
- Rural		1991	20.6	na	20.6	24.0	27.4	30.4	34.1	na	37.3	40.5	43.7	Education (MEPU)
2 New First Grade enrollment:	# of students 1/	1990		74,492	90,025	86,624	119,458	122,577	136,466	na	151,078	167,254	185,162	
- Share of girls in first grade	Percent	1990		35	33.5	35	34.1	36.3	38.4	na	39.1	39.9	40.5	
-Share of rural in first grade	Percent	1992		na	na	23.5	25.8	28.9	33.7	na	37.1	40.5	43.9	
-Share of first grade in primary school	Percent	1990		23.7	26	29	28.3	25	24.3	na	22.8	21	19.2	
3 4th Grade Completion	Percent	TBD 2/												MEPU
-Female														
-Male														
-Urban														
-Rural											TBD	TBD	TBD	MEPU
4 6th Grade Completion	Percent	TBD												
- Female														
- Male														
- Urban														
- Rural											TBD	TBD	TBD	MEPU

1/ GER for first grade cannot be determined because information on the population of 7-year olds is not available; the census only calculates the 7-12 age cohort.

2/ TBD To be determined by USAID, MEPU, and implementing partners in second quarter of FY 97.

INTERMEDIATE RESULT No. 3.1: Increased Sectoral Strategic Planning and Decision-Making

INDICATORS	UNIT OF MEASUREMENT	Baseline Year	Data Value	Actual 1990	1991	1992	1993	1994	1995	Planned 1995	1996	1997	1998	Data Source
1 FQL Standards and Targets														
a FQL standards and targets defined and authorized by MEPU (FY 97)	N/A	TBD 1/												
b FQL standards and targets met (FY 98)	N/A	TBD										TBD	TBD	MEPU
2 No of teachers in primary classrooms:														
-Total	Number	1990		6,140	6,699	7,394	8,577	9,499	11,652	na	12,614	13,214	13,814	
- Share of women teachers	Percent	1990		22	22.5	29.4	27.9	27.5	24.3	na	24.6	27	30	
-Share of rural teachers	Percent	1990		52.8	52.8	62.9	58.3	55.1	43.4	na	41.1	44	47	MEPU
3 Education Management Info Systems														
a MEPU staff trained in developing an educational management information system (EMIS) - (FY 97)	number of staff	TBD												
b. EMIS framework developed (FY 98)	N/A	TBD										TBD	TBD	MEPU

1/ TBD to be determined by USAID, MEPU, and implementing partners in second quarter of FY 97.

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Intermediate Result No. 3.2: Improved Classroom Quality Through Better Teaching and Learning

INDICATORS	UNIT OF MEASUREMENT	Baseline Year	Data Value	Actual 1990	1991	1992	1993	1994	1995	Planned 1995	1996	1997	1998	Data Source
1 Teacher Training														
a In-service teacher training policy established (FY 97)	N/A	TBD 1/										TBD	TBD	MEPU
b Teachers and supervisors trained (FY 98)	Number	1996									12,614	13,214	13,814	MEPU/Contactor
2. Learning Materials:														
a Teacher Syllabus sets distributed (FY 97)	Number	1996										16,000		MEPU
b Student Brochures and Teaching manuals produced and distributed (FY 98)	Number	TBD											TBD	MEPU
3 Student Achievement:														
a Student Achievement Tests for grade 2 and 4 developed (FY 97)	N/A	TBD										TBD		MEPU
b Students tested (FY 98)	Number	TBD											TBD	MEPU

1/ TBD To be determined by USAID, MEPU, and implementing partners in second quarter FY 97

Intermediate Result No. 3.3: Improved Gender and Geographic Equity in Access to and Participation in Primary School

INDICATORS	UNIT OF MEASUREMENT	Baseline Year	Data Value	Actual 1990	1991	1992	1993	1994	1995	Planned 1995	1996	1997	1998	Data Source
1 Equity Committee trained in planning and implementation of equity activities	Number	TBD 1/										TBD	TBD	MEPU/Contractor
2 Education NGOs operating in beneficiary regions	Number	TBD										TBD	TBD	PVOs
3 APEAEs operating in beneficiary regions	Number	TBD										TBD	TBD	MEPU/PVOs
4 Community schools operating in beneficiary regions	Number	TBD										TBD	TBD	MEPU/PVOs

1/ TBD To be determined by USAID, MEPU, and implementing partners in second quarter FY 97

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SPO 1: Fostering Civil Society Development and Good Governance

SPO 1 Analysis: Process, Framework, Indicators and Program Implications

1. Process

The SPO Team had developed two intermediate results contributing to the SPO: **local level organizations' participation in local government planning decisions** and **improved governance in both local government and local civic organizations**. The Team thought a third result was necessary: **increasing advocacy for civil society development and good governance**. Discussions about obstacles and strategies to overcome them centered around issues of transparency and accountability of local government (key issues in the **environment**). The strategies themselves involved **capacity building** within civil society and forming **partnerships** among government, local civic organizations and private enterprises. The application of the three first level intermediate results from the NPI Framework as a second level of results underpinning the three above appeared to capture those strategies. Modified to fit the SPO, they became **capacity building** around issues of good governance, managing the environment and advocacy; **partnerships** to support sustainable impact; and an **environment** that enables transparency and accountability.

2. Recommended Framework

The framework recommended would add one Intermediate Result at the first level below the SPO and three additional Intermediate Results on the second level below the SPO as underpinnings to the first level. "**Advocacy**" is added to "**local participation**" and "**improved local governance**" at the first level. " **Capacity building**", "**partnerships/linkages**", and an "**environment that enables transparency/accountability**" provide the underpinnings on the second level. The underpinnings are modifications taken directly from the NPI Strategic Framework. They add a tracking mechanism for some of the training invested in civil society and local government (**capacity**); for the partnerships formed in support of environmental change, participation, improved governance or advocacy (**partnerships/linkages**); and for the temperature of the environment on the transparency/accountability scales (**enabling environment**).

3. Indicators (See Table SPO 1)

At the SPO level, the indicators tell a story of increasing influence by civil society with local government and local government's increased capacity to incorporate that participation as part of "good" governance. One indicator (borrowed from the NPI Strategic Framework) also tracks the number of grass roots level coalitions into 2nd tier (networking, advocacy or apex) organizations as an indicator of increasing civil society influence. At the first level below the SPO, the indicators track that influence and its incorporation into good governance in more specific detail.

Indicators for the NPI underpinnings would track **capacity** specific to practicing good governance, managing the environment toward increased transparency/accountability, and advocacy. A rating matrix for that kind of capacity may not exist and may have to be developed. Indicators for **partnerships/linkages** track the number of partnerships (regardless of focus within the SPO), problems solved by partnerships, and progress toward sustainable impact. The indicator on

sustainable impact would require USAID to estimate progress toward building the critical mass of partnerships that will sustain impact post donor involvement. Indicators for an **environment** enabling transparency/accountability track the accessibility of legal information, the transaction costs associated with forming civil society organizations, the size of an independent media and a reading on the level of risk associated with advocating change toward more transparency/ accountability. The risk scale would have to be developed with behavioral anchor points starting with verbal threats and progressing from there.

4. Program implications

SOs for agricultural markets, health and education will all be strengthened by SPO 1's contribution to them. They, in turn, provide the content of local concerns by which means SPO 1 will achieve its results. The NPI Team organized by the Mission is an innovative vehicle by which to harness the synergy potential among the SOs and SPO 1.

PMG Team Recommendation

Guinea Special Objective SPO 1

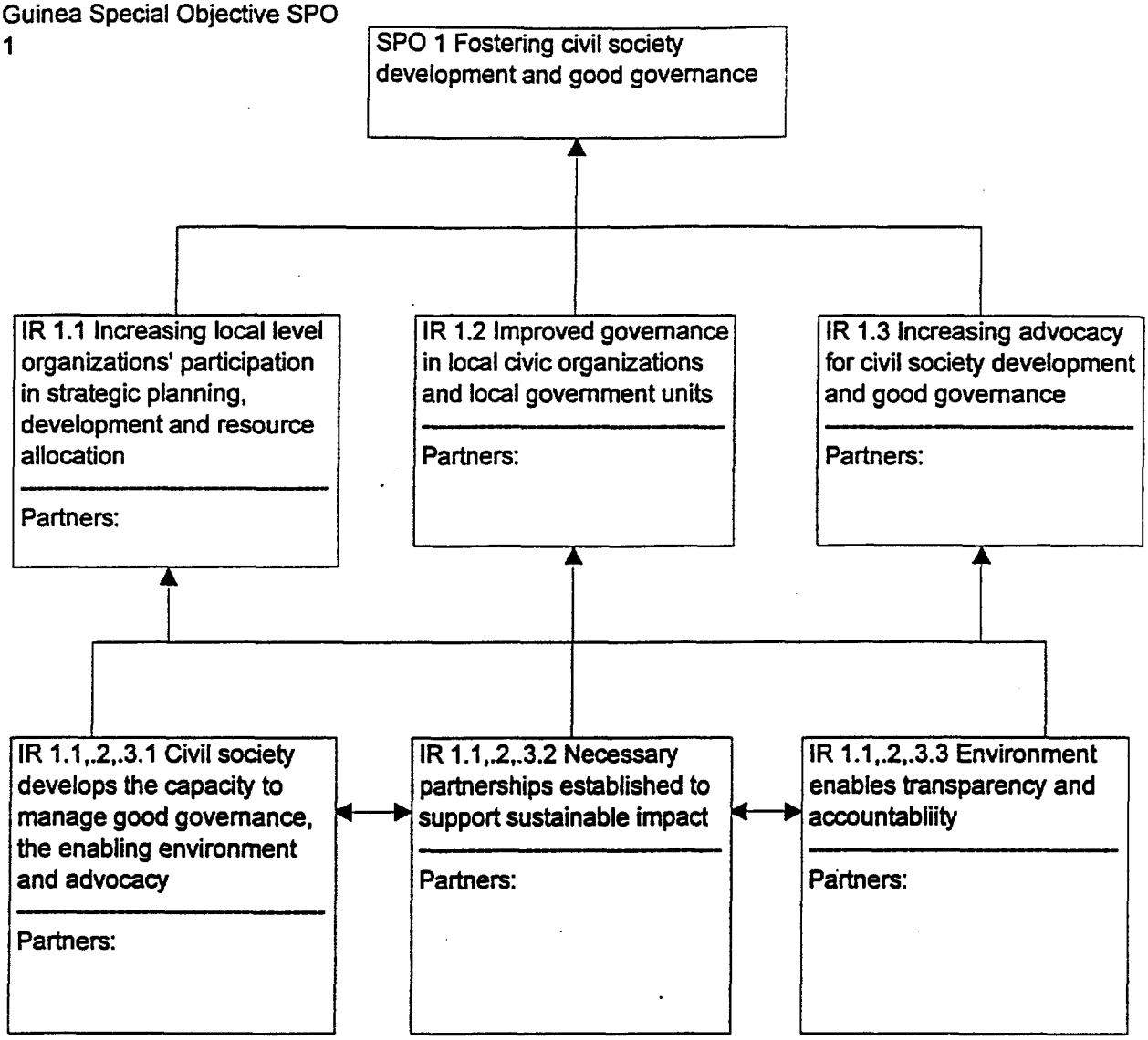

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Table SPO 1: **Guinea SPO 1 Indicators** - PMG Recommendation

SPO 1 Fostering civil society development and good governance

Indicators (Substitutions for those in R4)	Unit of Measurement
1. Civil society organizations that have achieved at least 1 local gov. policy or administrative change objective	Number
2. 2nd tier organizations created by grass roots organizations with a (TBD) significant membership	Number
3. CUD/CRDs with 2 or more institutionalized procedures for local participation, democratic or financial transparency from civil society initiative, with documented use on file	Percent

IR 1.1 Increasing local level organizations' participation in strategic planning, development, and resource allocation

Indicators (both new)	Unit of Measurement
1. CUD/CRDs with mechanisms for local participation in decision making with documented use	Number (or Percent)
2. CUD/CRDs with at least one resource allocation decision/yr. implemented and documented as traced to local group initiative	Number (or Percent)

IR 1.2 Increasing governance in local level civic organizations and local government units

Indicators	Unit of Measurement
1. same as in R4	same as R4 (or Percent)
2. Growth in local revenue of CUD/CRDs (New substitute)	GF (or Percent increase)
3.Rational use of revenue (Definition: Portion of total revenue invested in public projects/services) (New substitute)	Percent

IR 1.3 Increasing advocacy for civil society development and good governance (New IR)

Indicators	Unit of Measurement
1. Access to information on appropriate laws at the subprefecture level (Definition: available in local language within 1 hour of travel during normal office hours)	Percent Yes
2. CUD/CRDs known to project(s) that conduct information meetings with community groups	Number or percent

3. Civil society groups holding at least 2 advocacy meetings per year with local government units	Number or percent

IR 1.1,.2,.3.1 Civil society develops the capacity to manage good governance, the enabling environment and advocacy (New IR)

Indicators	Unit of Measurement
1. Organizations progressing on capacity rating matrix (Definition: Matrix TBD but centered on good governance, managing the environment and advocacy)	Number

IR 1.1,2.,3.2 Necessary partnerships established to support sustainable impact (New IR)

Indicators	Unit of Measurement
1. Partnerships formed in support of shared objectives	Number
2. Problems solved through partnerships	Number
3. USAID estimate of percent completion of the web of partnerships necessary for critical mass for sustainable impact	Percent

IR 1.1,.2,.3.3 Environment enables transparency and accountability (New IR)

Indicators	Unit of Measurement
1. GOG makes information on (TBD) laws accessible in local languages (Definition: accessible is a rating of [TBD] steps/time/$ cost to get it. Area or political units qualify as falling under maximum difficulty level Yes/No)	Percent Yes
2. Reduction in cost [(TBD) # steps, time and/or $] associated with legalizing civil society organizations	Percent
3. Media independent of government and political party control	Number
4. Level of risk associated with advocating change (Definition: scale with anchor points TBD)	Rating

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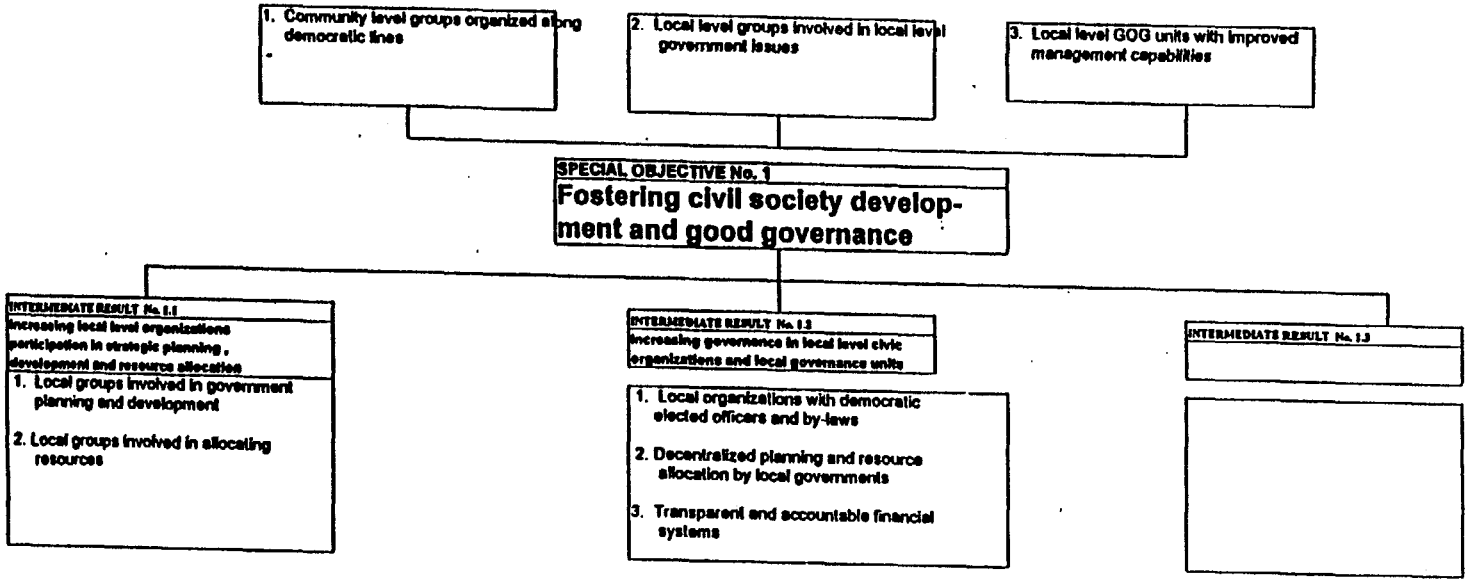
SPO Team Draft Framework

R4 Performance Data Table

Special Objective 1 Intermediate Results and Indicators



SPECIAL OBJECTIVE 1: Fostering Civil Society Development and Good Governance

INDICATORS	UNIT OF MEASUREMENT	BASELINE DATA Year	BASELINE DATA Value	1990	1991	1992	1993	1994	1995	Planned 1995	Planned 1996	Planned 1997	Planned 1998	Data Source
1 Community level groups organized along democratic lines	number of groups	1996	TBD							Target is for FY 2000 Target number is 200				
2 Members involved in local level government issues	number of members	1996	TBD							Target is for FY 2000 Target number is 3,400				
3 Local level GOG units with improved management capabilities	number of units	1996	TBD							Target is for FY 2000 Target number TBD				

INTERMEDIATE RESULT SP 1.1 Increasing Local Level Organizations' Participation in Strategic Planning, Development, and Resource Allocation

INDICATORS	UNIT OF MEASUREMENT	BASELINE DATA Year	BASELINE DATA Value	1990	1991	1992	1993	1994	1995	Planned 1995	Planned 1996	Planned 1997	Planned 1998	Data Source
1 Members trained in basic organization management including financial management and systems of accountability.	number of people	1996	0							Target is for FY 2000 Target number is 4,250				

INTERMEDIATE RESULT SP 1.2 Increasing Governance in Local Level Civic Organizations and Local Government Units

INDICATORS	UNIT OF MEASUREMENT	BASELINE DATA Year	BASELINE DATA Value	1990	1991	1992	1993	1994	1995	Planned 1995	Planned 1996	Planned 1997	Planned 1998	Data Source
1 Local organizations with democratically elected officers and by-laws	number of groups	1996	0							Target is for FY 2000 Target number is 200				
2 Decentralized planning and resource allocation by local governments	TBD	1996	TBD							Target if for FY 2000 Target levels TBD				
3 Transparent financial systems established with clear lines of accountability	TBD	1996	TBD											

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SPO 2: Protection of the Environment

SPO 2 Analysis: Process, Framework, Indicators, Program Implications

1. Process

Comparison of the Mission SPO 2 Framework to the NPI Results Framework was similar to the comparison of SPO 1 to it. The first level of intermediate results rests on an a strategy of partnership building among the government (both local and national), land owners and small land holders or landless farmers. Those partnerships contribute to the objectives of both SPO 1 **(Fostering civil society development and good governance)** and SPO 2 **(Protection of the environment)**. In this case, all that was required was to indicate the synergistic relationship between SPO 2 and SPO 1 was to add SPO 1 to the framework as an underpinning.

2. Recommended Framework

Like many of the other SOs this one was organized along NPI lines long before NPI was invented. The program builds **capacity**, organizes **partnerships,** works on the **enabling environment** all toward the goal of sustainable protection of the physical environment. It focuses on the economic and legal underpinnings to increase the probability of sustainability. The addition of SPO 1 **"Fostering civil society development and good governance"** to the framework makes what is already happening more visible.

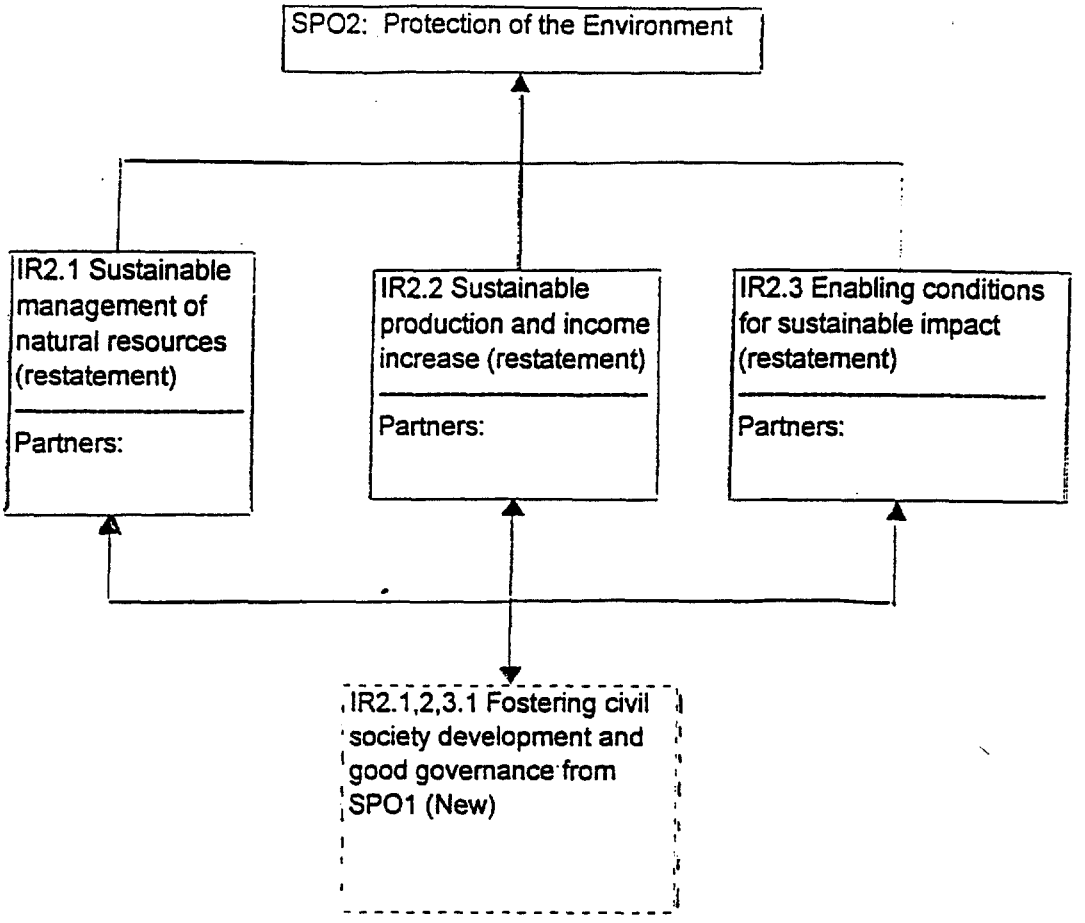
3. Indicators

There were no recommended changes in indicators for SPO 2; the existing indicators do the job. Some words might be changed in them to look more like NPI language; it would not make any difference in tracking or in the quality of information for decision making. SPO 2's contributions to indicators for SPO 1 would be tracked under that SPO.

4. Program implications

Integration with SPO 1 was institutionalized some time ago through the NPI team.

PMG Team Recommendation



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SPO Team Draft Framework

R4 Performance Data Table

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Figure 1a: Results Framework for Special Objective No. 2

SPECIAL OBJECTIVE No. 2

PROTECTION OF THE ENVIRONMENT

APPROACHES:

1. Promoting enabling conditions for long-term investment in natural resource conservation & improvement.
2. Strengthening institutional capacity for sustainable natural resource management.
3. Relieving pressure on environment through sustainable production and income increase.
4. Enhancing sustainable natural resource management through participation, incentives and economic sustainability.

INTERMEDIATE RESULT No. 1

SUSTAINABLE MANAGEMENT OF NATURAL RESOURCES

APPROACHES:

1. Protecting and conserving ecologically fragile land not in use.
2. Stabilizing the use of marginal land which the villagers cannot afford to take out of production.
3. Enhancing the adoption of sustainable NRM practices.
4. Promoting participatory management of forest and water resources.

INTERMEDIATE RESULT No. 2

SUSTAINABLE PRODUCTION AND INCOME INCREASE

APPROACHES:

1. Improving yields through use of appropriate production techniques.
2. Improving and maintaining soil fertility.
3. Improving farm management and marketing skills.
4. Developing profitable village-level enterprises.
5. Increasing marketing of farm products.

INTERMEDIATE RESULT No. 3

ENABLING CONDITIONS FOR SUSTAINABLE IMPACTS

APPROACHES:

1. Enhancing land security through application of the Land Code and long-term land use contracts.
2. Empowerment of village-level organizations to manage forest and water resources.
3. Improving institutional capacity in rational natural resource management.

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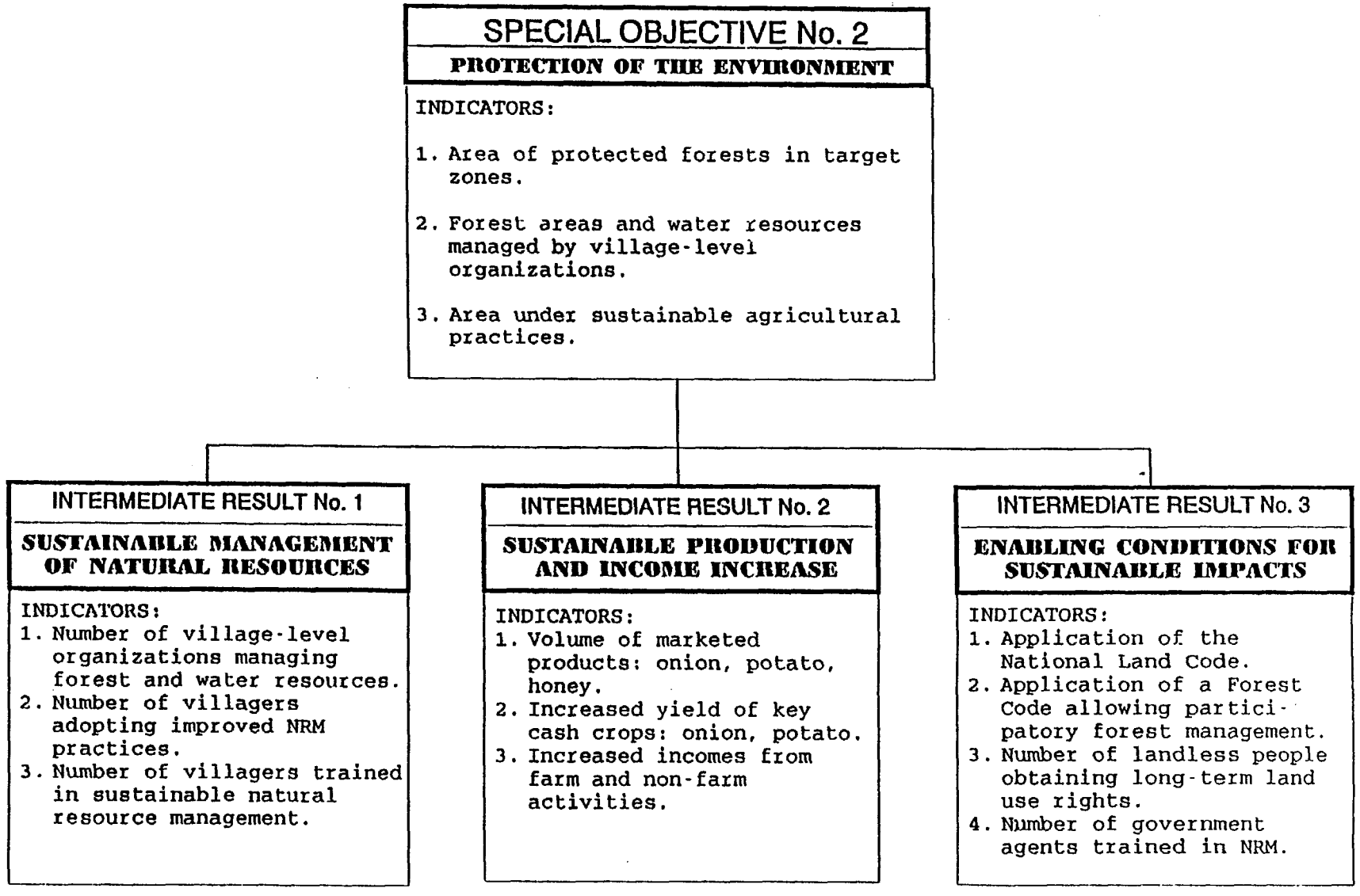
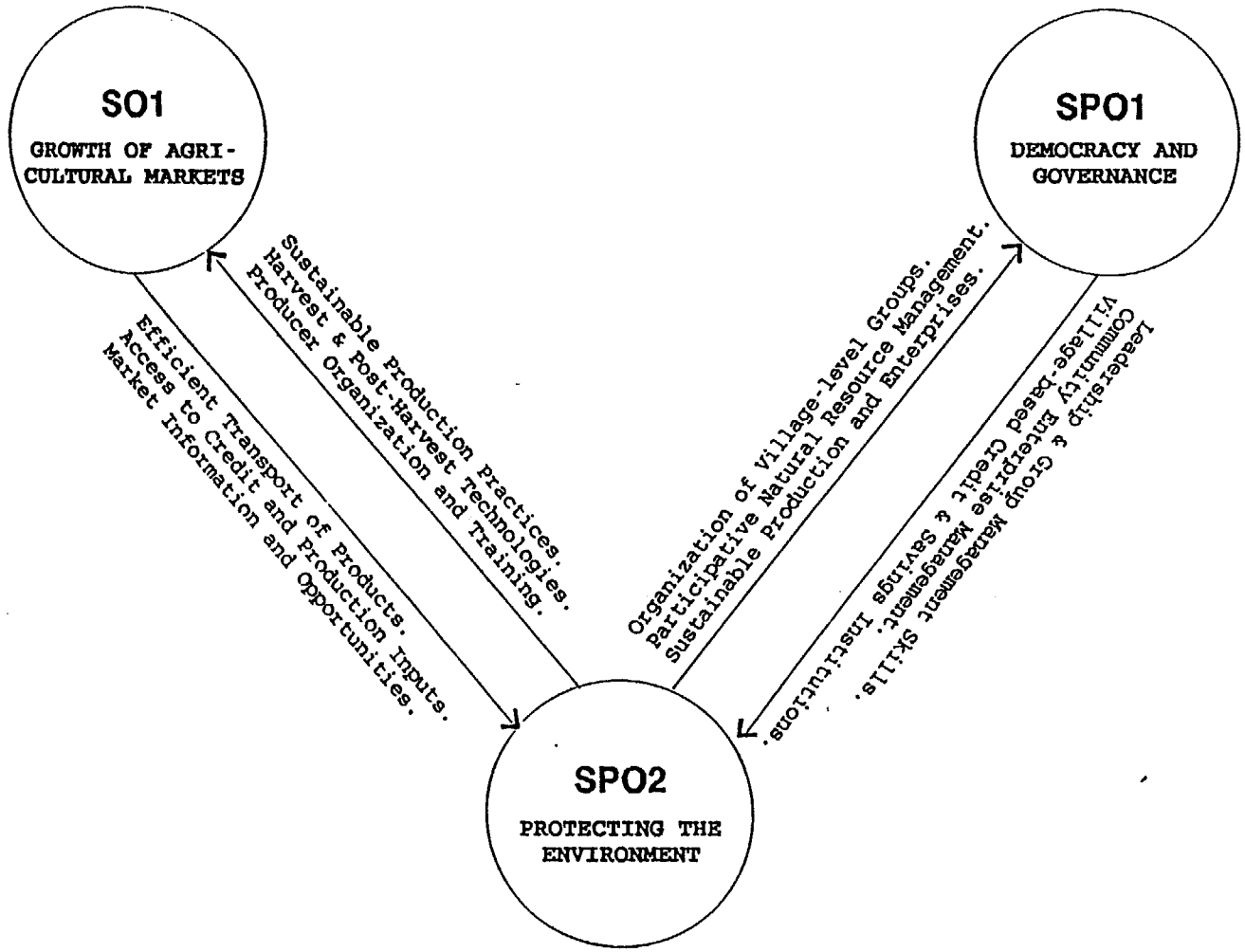
Figure 1b: Results Framework for Special Objective No. 2, with Indicators



LINKAGES OF SPO2 WITH SO1 AND SPO1



SPECIAL OBJECTIVE #2 : PROTECTION OF THE ENVIRONMENT
RESULTS FRAMEWORK MATRIX

NARRATIVE SUMMARY	INDICATOR	BASELINE (1992)	TARGET	TIMEFRAME	RESPONSIBILITY	ASSUMPTIONS
SPECIAL OBJECTIVE #2: Protecting the Environment	1. Area of protected forests in target zones.	10,017 hectares	19,067 ha		DNFF, CRD, NGOs	Expansion of project zone
	2. Number of forest areas and water resources managed by village-level organizations.	• Forest areas: 18 • Water sources: 2 • Wells: 5	• 64 • 19 • 41	1997	DNFF, Villagers	
	3. Area under sustainable agricultural practices in with USAID assistance.	0	35 ha	1997	DNFF, NGOs, Villagers	
Intermediate Result #1.1: Sustainable Management of Natural Resources	1. Number of village-level organizations managing forest and water resources.	0	38	1997	DNFF, NGOs	
	2. Number of villagers adopting and/or trying improved NRM practices.	0	2,400	1997	DNFF, NGOs, Villagers	
	3. Number of villagers trained in sustainable natural resource management.	0	1,000	1997	DNFF, NGOs	
Intermediate Result #1.2: Sustainable Production and Income Increase	1. Volume of marketed key products: • Onion, • Potato • Okra • Honey	 • 0 MT • 0 MT • 5 MT • 100 kgs	 • 30 MT • 6 MT • 15 MT • 3,000 kgs	 1997 1997 1997 1997	DNFF, NGOs, Producers	
	2. Increased yields of key cash crops: • Onion • Potato • Okra	 • 10 MT • • 10 MT	 • 15 MT • • 15 MT	 1997 1997 1997	DNFF, NGOs, Producers	
	3. Increase in incomes from farm and non-farm activities: • Farm • Non-farm	 • na • na	 • 41.4 million GF • 19.6 million GF	 1997 1997	DNFF, NGOs, Villagers	
Intermediate Result #1.3: Enabling conditions for Sustainable Impacts	1. Application of the National Land Code.	Land Code approved	Implementing legislation completed	1997	Ministry of Agriculture (MAEF)	
	2. Application of a Forest Code allowing participatory forest management.	Forest Code approved	Implementing legislation completed	1997	DNFF, MAEF	
	3. Number of contracts with landlords giving landless people long-term land use rights.	0	85	1997	DNFF, NGOs, CRD	
	4. Number of national agents trained in natural resource management.	4	45	1997	DNFF, NGOs, USAID	
	5. Number of people (school children and adults) participating in the environmental education program.	0	1,280	1997	Peace Corps, Schools	

SPECIAL OBJECTIVE 2: Protection of the Environment

INDICATORS	UNIT OF MEASUREMENT	BASELINE DATA Year	BASELINE DATA Value	Actual 1990	Actual 1991	Actual 1992	Actual 1993	Actual 1994	Actual 1995	Planned 1995	Planned 1996	Planned 1997	Planned 1998	Data Source
1 Area of protected forests														
- Total	Hectares	1996	.....	na	na	na	na	na	na	na	1,186,61	.....	.....	Forest Service reports
- USAID-supported areas	Hectares	1992	0	na	na	na	na	na	na	na	10017	19000	20000	NRM reports
2 Number of forest sites and water resources managed by communities in USAID-supported areas														
- Forest sites	Number	1992	0	0	0	0	19	38	61	na	80	100	120	
- Water sources and wells	Number	1992	0	0	0	0	21	29	39	na	45	60	80	
3 Area under sustainable agricultural practices in USAID-supported areas	Hectares	1992	na	na	na	na	na	6	15	na	20	30	50	

INTERMEDIATE RESULT SP 2.1 Sustainable Local Capacity to Plan and Manage Natural Resources

INDICATORS	UNIT OF MEASUREMENT	BASELINE DATA Year	BASELINE DATA Value	Actual 1990	Actual 1991	Actual 1992	Actual 1993	Actual 1994	Actual 1995	Planned 1995	Planned 1996	Planned 1997	Planned 1998	Data Source
1. Oversight of community forest and water resources by user groups in USAID-supported areas	Number of user groups	1992	0	na	na	0	21	27	29	na	33	38	43	NRM reports
2 Number of villages adopting NRM	Number of villages	1992	0	0	0	0	5	22	29	na	35	50	70	

INTERMEDIATE RESULT SP 2.2 Increased Sustainable Production in Targetet Areas

INDICATORS	UNIT OF MEASUREMENT	BASELINE DATA Year	BASELINE DATA Value	Actual 1990	Actual 1991	Actual 1992	Actual 1993	Actual 1994	Actual 1995	Planned 1995	Planned 1996	Planned 1997	Planned 1998	Data Source
1. Volume of market ed products in three watersheds of NRM project														NRM reports
- Onions	Metric ton	1992	0	na	na	na	0	1	14	10	30	40	50	
- Potatoes	Metric ton	1992	0	na	na	na	0	0	2.5	2	4	8	12	
- Honey	Metric ton	1992	0.1	na	na	na	0.1	1.6	1.3	1.6	1.5	1.7	2.0	
2 Increase in yield of key crops														NRM reports
- Onions	MT/Ha	1994	10	na	na	na	na	10	17	na	20	25	25	
- Potatoes	MT/Ha	1994	na	na	na	na	na	na	12	na	15	20	20	
- Maize	MT/Ha	1992	2	na	na	na	2	2	2.6	na	2.8	3	3	

INTERMEDIATE RESULT SP 2.3 Enabling Conditions for Broad-based Impacts

INDICATORS	UNIT OF MEASUREMENT	BASELINE DATA Year	BASELINE DATA Value	Actual 1990	Actual 1991	Actual 1992	Actual 1993	Actual 1994	Actual 1995	Planned 1995	Planned 1996	Planned 1997	Planned 1998	Data Source
1 Application of the National Land Code														
- Implementing legislation issued	Date											X		GOG
2 Application of the Forest Code														
- Implementing legislation issued	Date											X		GOG
3 Number of people participate (school children and adults) participating in environmental education program	Number	1995	0	0	0	0	0	0	0	0	100	500	1200	NRM reports

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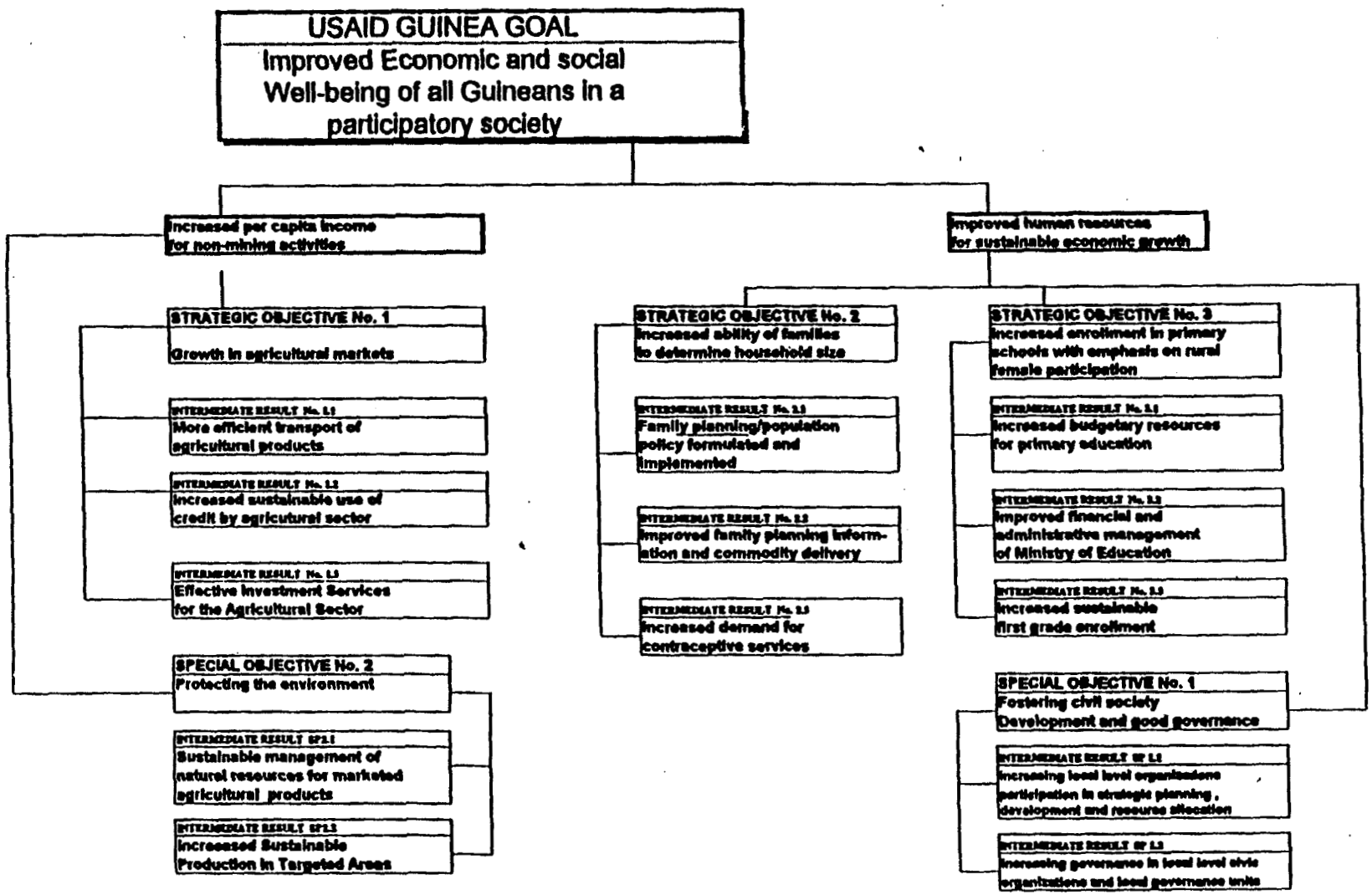
Table 1. USAID/Guinea 1995 Results Report: FY 1992 - 1996 CPSP Objective Tree



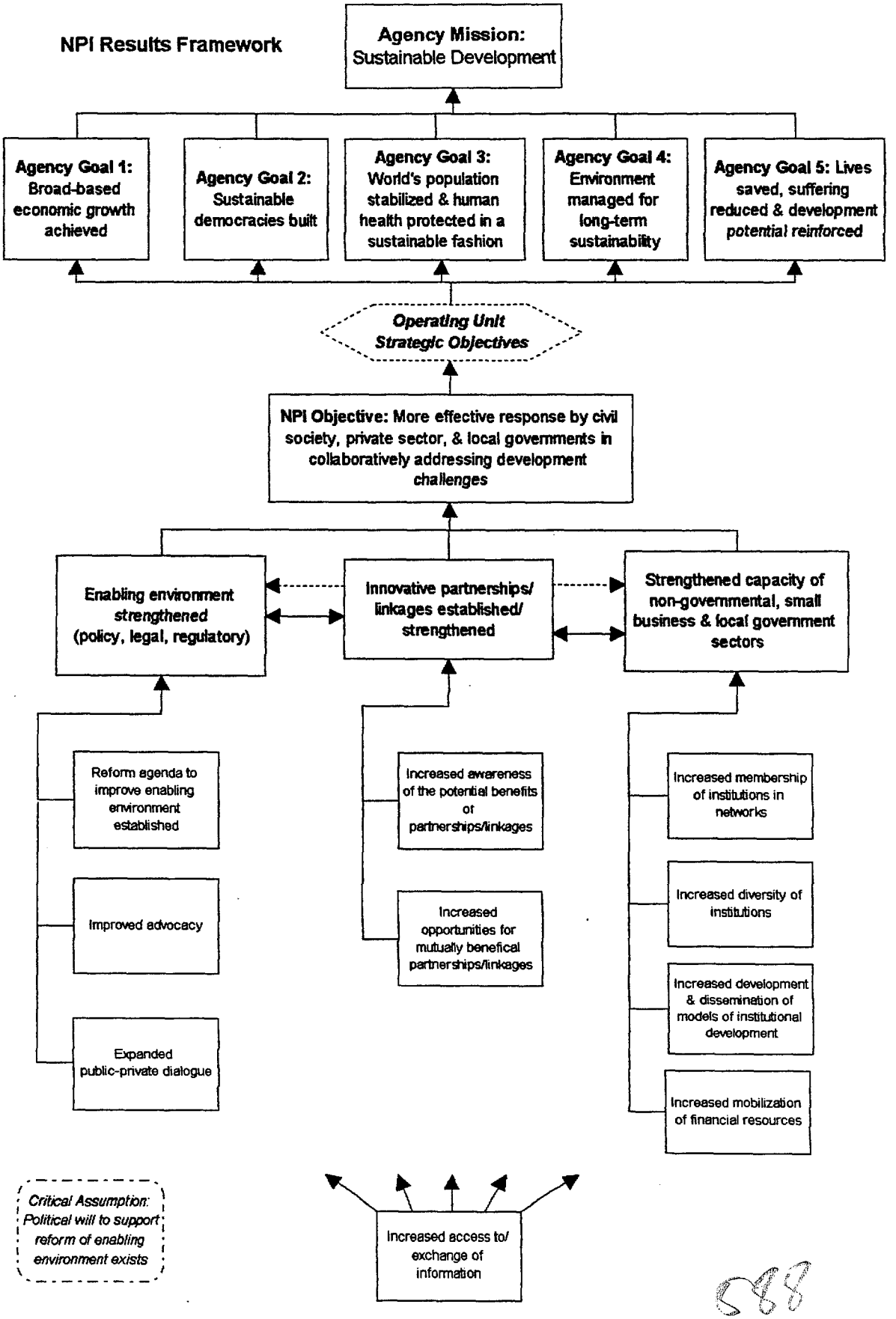
Appendices

A. NPI Results Framework (draft version)

B. Definition of Partnership: Partnership vs. Linkage Criteria

C. Illustrative NPI Partnership Indicators

A


NPI Results Framework
Agency Mission: Sustainable Development
Agency Goal 1: Broad-based economic growth achieved
Agency Goal 2: Sustainable democracies built
Agency Goal 3: World's population stabilized & human health protected in a sustainable fashion
Agency Goal 4: Environment managed for long-term sustainability
Agency Goal 5: Lives saved, suffering reduced & development potential reinforced
Operating Unit Strategic Objectives
NPI Objective: More effective response by civil society, private sector, & local governments in collaboratively addressing development challenges
Enabling environment strengthened (policy, legal, regulatory)
Innovative partnerships/ linkages established/ strengthened
Strengthened capacity of non-governmental, small business & local government sectors
Reform agenda to improve enabling environment established
Improved advocacy
Expanded public-private dialogue
Increased awareness of the potential benefits of partnerships/linkages
Increased opportunities for mutually benefical partnerships/linkages
Increased membership of institutions in networks
Increased diversity of institutions
Increased development & dissemination of models of institutional development
Increased mobilization of financial resources
Critical Assumption: Political will to support reform of enabling environment exists
Increased access to/ exchange of information

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Definition of Partnership: One or more exchanges between two or more parties to accomplish a specific purpose.

Partnership Criteria

* Agreed common objective or purpose; perhaps agreement on common target
* Formalization of relationships and/or plan
* Resources mobilized toward common objective
* Commitment of effort to achieve common objective
* Decision-making processes understood
* Mutual accountability

Linkage Criteria

* Compatible objectives
* Exchange of information or resources
* Decisions conveyed

Illustrative NPI Partnership Indicators

* Number of actions that result from partnership efforts

* Number of partnerships formed in support of shared objectives and/or targets

* Number of problems solved through partnerships

* Expert opinion on the % of total resources required from a web of partnerships to achieve sustainable impact

* Number of partnerships USAID separates from that continue to achieve impact or meet need(s)

* Number of partners that form partnerships to achieve objective

* Number of partners strengthened to carry on activities toward goal

* Number of partnerships that reduced due to increased reliability of resources mobilized

* Number of partnerships progressing toward resolution of problems

SEVEN CRITERIA FOR ASSESSING PERFORMANCE INDICATORS

1. **DIRECT.** A performance indicator should measure as closely as possible the result it is intended to measure. It should not be pegged at a higher or lower level than the result being measured. For example, *contraceptive prevalence rate* is a direct measure of the result *increased use of family planning methods*. But *number of service providers trained* would NOT be a direct measure of the result *improved service delivery*. Just because people are trained does not necessarily mean they will deliver services better.

If using a direct measure is not possible, one or more proxy indicators might be appropriate. For example, sometimes reliable data on direct measures are not available at a frequency that is useful to managers, and proxy indicators are needed to provide timely insight on progress. Proxy measures are *indirect* measures that are linked to the result by one or more assumptions. For example, in rural areas of Africa it is often very difficult to measure income levels directly. Measures such as percentage of village households with tin roofs (or radios or bicycles) may be a useful, if somewhat rough, proxy. The assumption is that when villagers have higher income they tend to purchase certain goods. If convincing evidence exists that the assumption is sound (for instance, it is based on research or experience elsewhere), then the proxy may be an adequate indicator, albeit second-best to a direct measure.

2. **OBJECTIVE.** An objective indicator has no ambiguity about what is being measured. That is, there is general agreement over interpretation of the results. It is both unidimensional and operationally precise. To be *unidimensional* means that it measures only one phenomenon at a time. Avoid trying to combine too much in one indicator, such as measures of both access and use. *Operational precision* means no ambiguity over what kind of data would be collected for an indicator. For example, while *number of successful export firms* is ambiguous, something like *number of export firms experiencing an annual increase in revenues of at least 5 percent* is operationally precise.

3. **ADEQUATE.** Taken as a group, a performance indicator and its companion indicators should adequately measure the result in question. A frequently asked question is "how many indicators should be used to measure any given result?" The answer depends on a) the complexity of the result being measured, b) the level of resources available for monitoring performance, and c) the amount of information needed to make reasonably confident decisions. For some results that are straightforward and have tried and true measures, one performance indicator may be enough. For example, if the intended result is *increased traditional exports*, the indicator *dollar value of traditional exports per year* is probably sufficient. Where no single indicator is sufficient, or where there are benefits to be gained by "triangulation" -- then two or more indicators may be needed. However, avoid using too many indicators. Try to strike a balance between resources available for measuring performance and the amount of information managers need to make reasonably well informed decisions.

4. **QUANTITATIVE, WHERE POSSIBLE.** Quantitative indicators are numerical (number or percentage of dollar value, tonnage, for example). Qualitative indicators are descriptive observations (an expert opinion of institutional strength, or a description of behavior). While quantitative indicators are not necessarily more objective, their numerical precision lends them to more agreement on interpretation of results data, and are thus usually preferable. However, even when effective quantitative indicators are being used, qualitative indicators can supplement the numbers and percentages with a richness of information that brings a program's results to life.

5. **DISAGGREGATED, WHERE APPROPRIATE.** Disaggregating people-level program results by gender, age, location, or some other dimension is often important from a management or reporting point of view. Experience shows that development activities often require different approaches for different groups and affect those groups in different ways. Disaggregated data help track whether or not specific groups participate in and benefit from activities intended to include them. Therefore, it makes good management sense that performance indicators be sensitive to such differences.

6. **PRACTICAL.** An indicator is practical if data can be obtained in a timely way and at a reasonable cost. Managers require data that can be collected frequently enough to inform them of progress and influence decisions. USAID operating units should expect to incur reasonable, but not exorbitant, costs for obtaining useful performance information. A rule of thumb, given in the reengineering guidance, is to plan on allocating 3 to 10 percent of total program resources for performance monitoring and evaluation.

7. **RELIABLE.** A final consideration in choosing performance indicators is whether data of sufficiently reliable quality for confident decision-making can be obtained. But what standards of data quality are needed to be *useful*? The data that a program manager needs to make reasonably confident decisions about a program is not necessarily the same rigorous standard a social scientist is looking for. For example, a low cost minisurvey may be good enough for a given management need.

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OVERVIEW

Results Frameworks - Functions

Management Driven
NOT
Report Driven

Founded on
Practical
Experience

- Planning
- Management
- Communication
- Building consensus and ownership
- Reporting

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Results Framework

- Identifies the critical results necessary to achieve the SO
  - through USAID assistance
  - through other development partners
- Illustrates the cause-and-effect linkages in the strategy

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SUMMARY DEFINITIONS OF KEY TERMS

Hypothesis: a testable statement; tentative explanation that accounts for the set of facts that can be tested through further investigation

Strategic Objective: the most ambitious result (intended measurable change) that a USAID operational unit, along with its partners, can materially affect and for which it is willing to be held responsible. A strategic objective is a higher result associated the achievement of a set of lower level results.

Result: an intended measurable change (of a condition, an outcome, or a product of a process); needs to be thought of in terms of an end state (e.g., established) rather than as a process (e.g., to establish)

Performance Indicator: a measure used to track progress (or lack thereof) towards a strategic objective or intermediate result. Performance indicators serve to determine "whether" progress is being made, rather than "why"/"why not" such progress is being made.

Target: the specific and intended result to be achieved within an explicit time frame and against which actual results are compared and assessed. Each indicator must have a target with a specific time frame.

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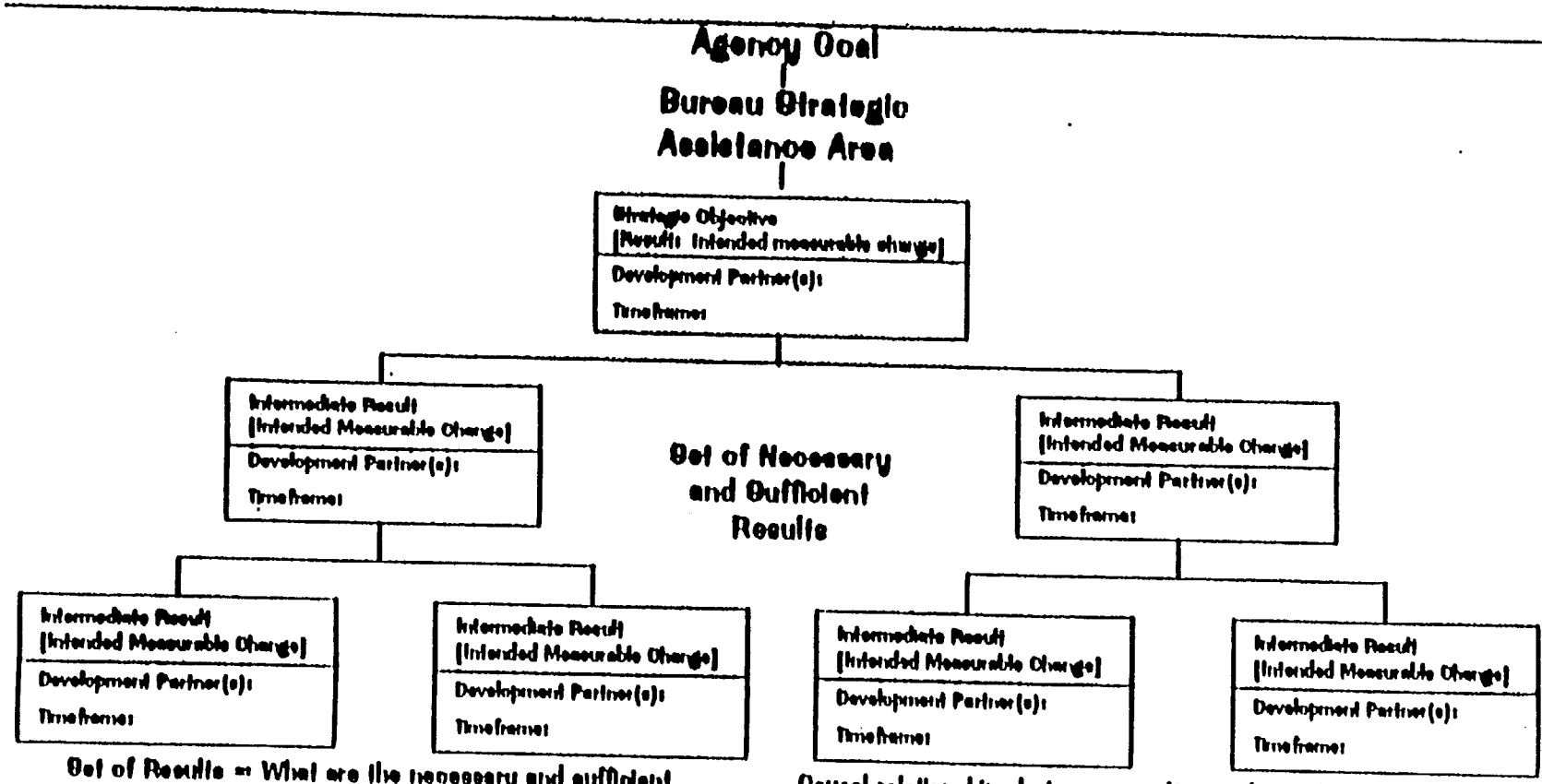
Strategic Objective Schematic



Set of Results = What are the necessary and sufficient changes/results to get to the next "higher" level? How do you achieve the "higher" level? What do you have to get right?

Causal relationships between results need not always be hierarchical (although only hierarchical relationships are depicted in this schematic), i.e., an intermediate result on one "level" can contribute to the achievement of an intermediate result on the same "level."

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Planning Checklist

- Are SOs/IRs stated as results? ☐
- Are results unidimensional? ☐
- Are they objectively verifiable? ☐
- Are the relationships between results causal, not definitional/categorical? ☐
- Are the how/why, if/then relationships direct, plausible and clear? ☐
- Are the SOs results which USAID programs and activities can materially affect? ☐
- Are the assumptions reasonable? ☐
- DO the IRs include partner as well as USAID-funded results? ☐

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ANNEX 3

BIBLIOGRAPHY OF COLLECTED PRINTED RESOURCES ON CAPACITY BUILDING AND PARTNERSHIP FORMATION

The mandate of the NPI Capacity Building Working Group (CBWG) was to facilitate Agency learning regarding institutional capacity building and partnership formation in developing country contexts. As part of this effort, the CBWG has collected a number of materials on the state of the art, providing information on:

1) Activities, programs, resources and technologies for capacity building of civil society organizations;

2) Activities, programs, resources, and technologies for building institutional partnerships and linkages:
- -- Intra-sectoral (coalitions, support associations, networks, etc.)
- -- Cross-sectoral (small business, local government and civil society organizations)
- -- North-South (PVO-NGO, Sister communities)

3) Development of a host-country policy environment that enables linkage formation and sector-wide empowerment;

4) Cutting edge discussions of the NGO sector and its relevance to sustainable development; and

5) Case studies of all of the above.

A listing of these collected documents follows. A fully annotated bibliography is available upon request.

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USAID MISSION EXPERIENCES (NPI, PARTNERSHIPS, CAPACITY BUILDING, ETC.) 13
MISCELLANEOUS 13

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ANNEX 4

PACT ORGANIZATIONAL CAPACITY ASSESSMENT - RATING REPORT		
Name of NGO:		
Date of Assessment		
Conducted by:		

Rating Scale	
Needs urgent attention and improvement	■
Needs attention	■ ■
Needs improvement on fairly wide scale, but not major or urgent	■ ■ ■
Needs improvement in limited aspects, but not major or urgent	■ ■ ■ ■
Room for some improvement	■ ■ ■ ■ ■
No need for immediate improvement	■ ■ ■ ■ ■ ■

A. GOVERNANCE

1. Board	
a. The Board provides overall policy direction and oversight.	■ ■ ■ ■
b. The Board provides accountability and credibility.	■ ■ ■ ■
c. The Board is composed of committed members who represent the diverse interests of the constituents.	■ ■ ■
d. The Board is capable of carrying out key roles such as policy formulation, fund raising, public relations and lobbying.	■ ■ ■
e. Mechanisms are in place for obtaining appropriate input from constituency.	■ ■ ■
f. Board respects by-laws concerning fixed terms of office and a quorum.	■ ■ ■ ■ ■
g. Board members work in voluntary and unpaid capacity.	■ ■ ■ ■ ■
2. Mission/Goal	
a. The NGO's has clearly articulated mission/goal.	■ ■ ■ ■ ■
b. The NGO's mission is understood by staff, constituency and the public.	■ ■ ■
c. Strategies are aligned with mission, realistic and take the form of clear objective statements as to how they can be achieved.	■ ■ ■
d. Operational planning is jointly conducted by senior management, staff and constituency.	■ ■
3. Constituency	
a. There is a well defined constituency base.	■ ■
b. There is a recognition of the constituency as partners.	■ ■ ■

c. There are regular surveys of constituency needs and findings are integrated into the planning process.	■ ■
d. The constituency is regularly involved in the review of the NGO's mission and strategies.	■ ■
e. The Board executes its role of advocate for constituents.	
4. Leadership	
a. Board and senior management have clear understanding of their roles and responsibilities as providers of overall direction.	■ ■ ■
b. Senior management's relationship to staff is participatory, transparent and management decisions are delegated.	■ ■ ■ ■
c. Leadership is accessible and fosters participation of constituents.	■ ■ ■
5. Legal Status	
a. NGO is properly registered according to local regulations.	■ ■ ■ ■ ■ ■
b. NGO benefits from the financial and legal status allowable under local law.	■ ■
B. MANAGEMENT PRACTICES	
1. Organizational Structure	
a. NGO has an organizational structure with clearly defined lines of authority and responsibilities	■ ■
2. Information Management	
a. Systems exist to collect, analyze and disseminate data and information.	■ ■
3. Administrative Procedures	
a. Administrative procedures and operating manuals exists and are followed	■ ■ ■ ■
b. Procedures and operating manuals are updated regularly.	■ ■ ■ ■
4. Personnel	
a. Recruitment, employment and personnel practices are clearly defined and followed.	■ ■ ■ ■
5. Planning	
a. Operating plans are developed, reviewed, updated and reflect a strategic plan.	■ ■ ■
b. Resources are planned for and allocated properly.	■ ■ ■
c. Input from constituents is included in planning.	■ ■
d. Staff is involved in planning.	■ ■
6. Program Development	
a. Constituents and staff are involved in program design, implementation and evaluation.	■ ■
b. An M&E System exists incorporating identification of indicators, collection and analysis of data, evaluation of impact and processes for program modifications.	■ ■ ■
7. Program Reporting	
a. NGO regularly reports on activities and results of evaluations.	■ ■ ■
b. NGO publishes and disseminates reports on lessons learned.	■ ■

C. HUMAN RESOURCES

1. Human Resources Development	
a. Human resources development planning takes places.	■ ■
b. Staff training plan based on NGO's capacity needs and strategic objectives.	■ ■
c. Opportunities exist to integrate skills acquired in training into the work environment.	■ ■ ■
d. Evaluations and promotions are based on performance and are equitable.	
2. Staff Roles	
a. Jobs descriptions are well defined, documented, respected and regularly updated.	■ ■ ■ ■
b. Clearly established links exist between staff capacity and NGO mission.	■ ■ ■ ■
c. Job descriptions are applied and used to measure staff performance.	
3. Work Organization	
a. Staff meetings are regularly scheduled.	■ ■ ■
b. Staff participates in management decisions.	■ ■
c. Team work is encouraged.	■ ■ ■
d. Information is shared freely among all staff members.	■ ■
e. Staff encouraged to take initiative and to be self-motivated.	■ ■
4. Diversity Issues	
a. Diversity of constituents is reflected in the composition of the board and staff.	■ ■ ■
5. Supervisory Practices	
a. Supervision occurs on regular basis.	■ ■ ■
b. Grievance and conflict resolution procedures are in place and practiced.	■ ■ ■
6. Salary and Benefits	
a. Salaries are clearly structured and competitive.	■ ■ ■
b. Benefits policy is clearly structured.	■ ■ ■
c. NGO conforms to standard tax and labor regulations and requirements.	

D. FINANCIAL RESOURCES

1. Accounting	
a. Appropriate and adequate financial procedures and reporting systems are in place.	■ ■ ■ ■ ■
b. Account categories exist for separating project funds.	■ ■ ■ ■
2. Budgeting	
a. Regular budgeting process is developed and integrated into annual operating plans.	■ ■ ■ ■
b. Staff is responsible for preparation and management of project budgets.	■ ■ ■

3. Financial/Inventory Controls	
a. Adequate financial and inventory controls exist and are implemented.	■ ■ ■ ■ ■
b. Internal and external financial reviews are performed with regular and appropriate frequency to assure transparency.	
c. Adequate procurement procedures are in place.	■ ■ ■ ■ ■
4. Financial Reporting	
a. Financial reporting is accurate and timely.	■ ■ ■ ■ ■
b. Reports are used for planning.	■ ■ ■ ■
c. NGO has a system for reporting on financial status.	■ ■ ■ ■ ■
E. SERVICE DELIVERY	
1. Sectoral Expertise	
a. Relevant sectoral expertise exists within organization.	■ ■ ■
b. Expertise is credible and recognized by the development community.	■ ■ ■
c. NGO is capable of adapting program and service delivery to the changing needs of constituency.	■ ■
2. Constituency Ownership	
a. Program priorities and services are defined in collaboration with constituency and are based on need and institutional capacity. ■ ■	
b. Constituency perceives service delivery is adequate and cost effective.	
c. Appropriate structures exist to reach grassroots. ■ ■	
3. Impact Assessment	
a. Indicators of success and impact have been jointly identified and established for each objective. ■	
b. Baseline data measurements are monitored and regularly analyzed. ■	
c. Impact assessments are used to adjust programs as required. ■	

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F. EXTERNAL RELATIONS

1. Constituency Relations	
a. NGO is seen as credible and a valuable resource to constituency.	■ ■
b. NGO is able to attract volunteer support.	■ ■
c. The NGO - constituency relationship is one of full partners serving a common purpose.	■ ■
2. Inter-NGO Collaboration	
a. NGO networks and shares resources with national and international NGOs	■ ■
b. NGO plays leadership role in promoting coalitions, networks and mechanisms for advocacy.	■ ■ ■
3. Government Collaboration	
a. NGO has contacts with decision makers and is able to engage policy makers in dialogue.	■ ■
b. Exchange of resources occur between NGO and Government (training, TA, material resource, etc.).	■
c. NGO plans and activities are integrated into national plan.	■
4. Donor Collaboration	
a. NGO has diversified contacts within the donor community.	
b. NGO is regarded as a credible and valuable resource to donor(s).	
c. NGO has the opportunity to engage in open and frank dialogue with donor(s).	
5. Public Relations	
a. NGO understands how to conduct and engages in public relations.	■ ■ ■ ■
b. NGO image is clearly articulated and is well known.	■ ■ ■
c. Information on the NGO is available and mechanisms for dissemination exit.	■ ■ ■ ■
6. Local Resources	
a. NGO has relations with private business sector for technical expertise, material and human resources (such as Board members and/or other).	■
b. NGO is perceived as community partner.	■ ■ ■
7. Media	
a. NGO understands how to work collaboratively with media.	■ ■ ■ ■ ■
b. NGO is well known and their opinions and experiences are solicited by media.	■ ■
c. NGO uses media as means to inform public about its work and/or mount public education campaigns.	■ ■

G. SUSTAINABILITY

1. Program/Benefit Sustainability	
a. NGO program activities are supported by those it serves because the benefits are important to and owned by the constituency.	■ ■
b. NGO program activities can continue due to behavioral changes in constituency.	■ ■ ■
c. NGO has developed systems for short and long-term continuity.	■ ■
d. NGO has developed phasing-out strategies.	
e. Local institutions have been identified to provide continuing support.	■
2. Organizational Sustainability	
a. NGO has a shared vision of its role and the skills to interact with other partners in civil society.	■ ■ ■
b. NGO participates as a full and equal partner in the development process.	
c. NGO is a member of and shares information with umbrella organizations and networks.	■ ■
d. NGO has partnerships with INGOs, universities, research institutes and others.	■ ■
3. Financial Sustainability	
a. NGO has understanding of and ability to develop diversified resources to contribute to long-term activities.	■ ■ ■
b. NGO has fee for services and/or other cost recovery mechanisms built into service delivery.	■ ■
4. Resource Base Sustainability	
a. Understanding of importance and need for an alternative resource base exits and a diversification plan is developed.	
b. Local resources capacity has been identified.	
c. Resource base is diversified.	
d. Provisions for additional resources to finance activities exist and plans are being developed.	
e. Proposal writing and fund raising capacity exist.	

Annex 5

Capacity Assessment Tool

Name of Organization: _____

Date of 1st Assessment: **Conducted by:**

Date of 2nd Assessment: **Conducted by:**

Date of 3rd Assessment: **Conducted by:**

Date of 4th Assessment: **Conducted by:**

Scoring: 1 = Nascent; 2 = Emerging; 3 = Expanding; 4 = Mature

	1st Assess	2nd Assess	3rd Assess	4th Assess
A. Governance				
1. Board				
a. Board provides appropriate level of institutional oversight.				
b.				
c.				
2. Mission, Goals and Philosophy				
a. Organization's mission is well defined.				
b.				
c.				
3. Executive Leadership				
a. Executive leadership has a clear vision of organization's mission.				
b.				
c.				
4. Legal Status				
a. Documentation related to legal status is in order.				
b				
c.				

B. Management Practices				
1. Organizational Structure				
a. Lines of authority facilitate agile decision-making.				
b.				
c.				
2. Information Systems				
a. Timely information available to support decision-making.				
b.				
c.				
3. Administrative Procedures				
a. Administrative tasks are systematized.				
b.				
c.				
4. Planning				
a. Organization develops operational plans that guide action.				
b.				
c.				
5. Program Development				
a. Baseline data collected by organization guides program.				
b.				
c.				
6. Program Reporting				
a. Program reports accurately reflect strengths and weaknesses.				
b.				
c.				
C. Human Resources				
1. Personnel Management				
a. Program in place to facilitate staff development.				
b.				
c.				
2. Diversity Issues				
a. Organization's work force is diverse.				
b.				
c.				

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3. Supervisory Practices				
a. Supervisory practices facilitate staff growth and development.				
b.				
c.				
4. Salary and Benefits				
a. Salary and benefits sufficient to retain skilled staff.				
b.				
c.				
D. Financial Resources				
1. Accounting				
a. Accounting practices yield accurate financial data.				
b.				
c.				
2. Budgeting				
a. Budget process is integrated with program planning.				
b.				
c.				
3. Financial/Inventory Controls				
a. Independent audits are integral part of finance control system.				
b.				
c.				
4. Financial Reporting				
a. Financial reporting is timely.				
b.				
c.				
E. Service Delivery				
1. Sectoral Expertise				
a. Organization has experience necessary to accomplish mission.				
b.				
c.				
2. Constituency Ownership				
a. Stakeholders influence service delivery.				
b.				
c.				

3. M&E Systems				
a. Project implementation is monitored against benchmarks.				
b.				
c.				
F. External Relations				
1. Constituency Relations				
a. Organization regards constituency as a full partner.				
b.				
c.				
3. Government Relations				
a. Organization has mechanism for providing policy input with govt.				
b.				
c.				
4. Donor Relations				
a. Organization has practices and procedures for recognizing donors.				
b.				
c.				
5. Public Relations				
a. Organization uses multiple channels for attracting support.				
b.				
c.				
6. Media Relations				
a. Organization maintains diverse contacts with media outlets.				
b.				
c.				
G. Partnering				
1. Intra-sectoral partnering				
a. Organizations engage in intra-sectoral partnerships to further mission.				
b.				
c.				
2. Inter-sectoral partnering				
a. Organizations engage in inter-sectoral partnerships to further mission.				
b.				
c.				

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Annex 6

Strategic Planning Checklist

The organization is ready to engage in strategic planning if *each* of the following conditions prevails (circle *yes* or *no* as appropriate and complete column three for those items where "*no*" has been circled):

	Meets Condition:	Recommended Remedial Action:
1. There is a willingness to work toward developing the best fit between the organization and its external environment by examining the following questions: where are we going? (mission) how do we get there? (strategies) what is our blueprint for action? (budget) how do we know if we're on track? (control)	**Yes No**	
2. There is a high likelihood that consensus can be reached on the following issues: Who are we? What are the basic social and political needs we exist to fill? What do we do to recognize or anticipate and respond to these needs? Who are our key stakeholders and how should we respond to them? What are our philosophies and core values? What makes us distinctive or unique?	**Yes No**	
3. There is an absence of impending doom and crisis.	**Yes No**	
4. There is deeply held commitment on the part of top leadership to engage in strategic planning.	**Yes No**	
	Yes No	

5. There is a shared understanding about the nature of strategic planning among organizational stakeholders.

Yes **No**

6. There is a competent group of people willing and able to serve on the strategic planning team.

Yes **No**

7. There is ability within the organization to respond to problems with solutions that are politically, ethically, technically, and culturally acceptable.

Yes **No**

8. There is agreement on the planning process/model to be used.

Yes **No**

9. There is consensus regarding the organizational mandate given to the planning team.

Yes **No** **Recommended Remedial Action:**

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10. There are adequate resources (including facilitators from either within or outside the organization) so that the planning team can do each of the following tasks:
    clarify organizational mission and values
    identify clients/stakeholders
    assess the external environment
    assess the internal environment
    identify the strategic issues it faces
    formulate strategies to manage these issues (options generation)
    establish an effective organizational vision for the future
    convert the vision into activity plans, budgets, and key result areas that can be monitored
    monitor performance "actuals" versus "expectations"
    make adjustments to the plan

Yes **No**

11. There is access to data that reflect the political, economic, social and technological trends that effect the organization's clients, customers, competitors and collaborators.

Yes **No**

12. There is access to data that reflect the organization's current resources and performance level.

Annex 7

Total Quality Management

When an organization is capable, it is able to coordinate, influence, and balance the economic, political and social factors that shape the landscape in which it operates. *Economic* factors include growth rates; labor market conditions; international economic relationships and conditions; private sector activities; and development assistance. *Political* factors encompass leadership support, mobilization of civil society, stability, legitimacy, and political institutions. Among the critical *social* factors is the entire web of educational, training, extension and related institutions, as well as the structures which govern community organization and mobilization. Such a comprehensive framing enables the capable organization to adopt a long-term perspective on sustainable development; to formulate sound policies and strategies that reflect this perspective; and, to implement corresponding projects and programs effectively.

While there are many approaches that help organizations achieve these important competencies, two command special attention, the introduction of Total Quality Management (TQM) and the provision of training or technical assistance. We will discuss each of these in turn, emphasizing the emerging best practices associated with them.

In recent years, the field of TQM has emerged as a major force in shaping current thinking about capacity building. Some of the more salient thoughts to emerge from this field with relevance for NPI include the following:

> *Customer-focus*--All organizations have customers, both internal and external, that are served through the organization's activities. For the NGO, the customer may be both donors and those singled out by the mission statement. For municipal government, the customer is the taxpayer. Having a customer focus means that *everything* an organization does must be evaluated in terms of the degree to which it contributes to customer satisfaction. It also entails determining with precision what it is that the customer wants as well as introducing procedures and standards to make sure that this is what the customer gets.
>
> Capacity building efforts should equip organizations with the skills they need to identify customers, determine customer levels of satisfaction with current operations, pinpoint customer needs, and assess current operations in light of the foregoing. Specific assistance in restructuring operations to reflect a customer focus should also be part of a capacity building effort.
>
> *Setting standards of excellence*--TQM entails setting precise standards for all significant aspects of an organization's operations and then monitoring against those standards to ensure compliance. Monitoring also leads to corrective actions as necessary. The underlying notion is that "quality is free," meaning that it always costs more to correct errors than to avoid them in the first place. NPI-sponsored capacity building activities should assist organizations in setting realistic but meaningful standards of excellence and developing the systems needed to assess the degree to which they are being met. Skills development in how to use data to take corrective measures when standards are not being met is also important.

Empowering frontline workers--TQM advocates argue that frontline workers are the people who have most direct contact with the customer and, thus largely determine the degree to which customers will be satisfied with the organization's performance. They therefore suggest that these frontline workers become empowered to make decisions to resolve customer dissatisfaction without having to consult with individuals higher up on the chain of command. For example, in an NGO, services might be tailored to individuals and communities more flexibly without having to get authorization from some central supervisory unit for changes in design or delivery of services. A municipal police department might train its officers to be a first-line point of contact in dispute resolution prior to making arrests. A small retail business might enable its sales force to directly resolve customer complaints without having to involve supervisors routinely.

The empowerment of frontline workers is not a skill that organizations intuitively develop. Training and technical assistance are required if this shift is to be made in a way that augers well for its success. NPI capacity building efforts should include, as appropriate, support for efforts to empower frontline workers. Often, this will mean significant support for efforts to change the culture of the organization from hierarchy and control to service and support.

The learning organization--Organizations, like people, must continue to learn if they are to grow more capable with the passing of time. Learning comes from mistakes as well as from success. However, this means that capacity building efforts must help to create an organizational climate in which there is some tolerance for error and failure. An organizational culture that supports prudent and negotiated risk-taking is better positioned to achieve important breakthroughs than where only the "tried and true" is attempted. A learning organization, in other words, fosters innovation, consciously seeks to identify lessons learned, and has mechanisms for sharing those lessons with a wide audience.

Central to TQM is the idea of "continuous improvement." The process of getting better at what an organization does is ongoing and is fueled by the learning that takes place.

NPI capacity building activities should seek to assess, as part of the cross-functional perspective described earlier, the ways in which organizational learning can be enhanced. Traditional approaches for human resource development should be complemented by innovative approaches for disseminating information throughout an organization, changing organizational culture to promote innovation, and creating an atmosphere that embraces the ongoing nature of organizational development.

Benchmarking against best in class--Organizations are encouraged to measure themselves against others that they deem to be "best in class." For a service business, this means comparing performance in satisfying customer needs to another service organization that it deems to be outstanding in this area. An NGO might choose to examine its performance in responding to donors in relation to that NGO it considers most exemplary in responding to donor concerns.

Benchmarking entails gathering quantitative data about how the "best in class" organization performs on key indicators that relate to customer satisfaction. Then, plans are made for how the gap between an organization and its "best in class" competitor is to be closed. These

plans are monitored by comparing performance in narrowing the gap with respect to the indicators selected.

NPI capacity building efforts can help individual organizations to determine "best in class," select the relevant benchmark indicators, gather the required data, analyze organizational performance against these benchmarks, and develop additional plans for continuous improvement.

Cross-functional teams--TQM teaches that most organizational problems do not neatly fall into bureaucratic categories. Customers don't care whether a product is faulty because of a production error or a design error. NGO customers aren't interested in whether the service they receive fails to meet expectations because of inadequate funding or incompetent staff. And, it makes no difference to taxpayers disappointed with the cleanliness of their city, if the problem lies with municipal sanitation workers who are too few in number or if the equipment is obsolete .

Frequently, the causes of customer dissatisfaction are multiple, cross-departmental, and interrelated. This means that the steps to resolve the problem will also have to be cross-departmental. Yet, seldom in organizational life do, for example, those who deliver services interact directly with those who deal with organizational finance.

NPI should seek, as part of its approach to capacity building, to develop organizational capacity to analyze customer satisfaction problems from a cross-functional perspective and to implement solution strategies that reflect the complex and interrelated web of relevant factors.

Supplier relationships--An essential tenet of TQM is that vendors should be viewed as partners with a long-term stake in the organization. The idea is to create relationships that have an element of "win-win" rather than "win-lose" between organizations and their suppliers.

This idea runs counter to traditional notions about competitive solicitation that involve awarding the contract to the firm that submits the lowest bid. Such practices discourage long-term relationships, increase errors that result in customer dissatisfaction, and dampen supplier innovation in meeting an organization's needs.

NPI can make a valuable contribution to local capacity building by fostering the sensitive examination of practices that relate to the awarding of contracts. Missions might consider encouraging some experimentation in this area to determine how TQM teachings with respect to supplier relationships can be adapted to local contexts.

A second broad area of emerging best practice with regard to institutional strengthening concerns technical assistance and training. Seven of the most important principles are summarized here.

1. *All training and technical assistance activities should create conditions that facilitate the transfer of knowledge to new settings.* Knowledge transfer is not automatic, and organizational settings change rapidly because of changes within the internal and external environments. Training and technical assistance that place emphasis on observation, rule making, underlying

principles, and situational analysis as well as exposure to varied kinds of organizational problems in authentic settings are best suited to the promotion of knowledge transfer. The use of case studies may be especially appropriate if they are structured in a way that allows participants to extract principles and apply them to new problems.

2. *All training and technical assistance activities should facilitate the construction of organizational development knowledge by enabling appropriate stakeholders to work together in social contexts.* The shaping and testing of ideas with others in a group setting is a skill that must be learned and that underlies broad-based participation in organizational strengthening. In turn, such broad-based participation undergirds all efforts designed to achieve sustainable development.

3. *All training and technical assistance activities should emphasize collaboration (rather than competition) among peers.* This ethos is a prerequisite for helping individuals grow in their abilities to function as problem solvers, contributors and analytic discussants. Training and technical assistance that incorporate interactive and community-oriented approaches to organizational development provide individuals with the support they need to work and learn interdependently rather than independently.

4. *All activities should enhance the self-confidence of participants.* One way to achieve this goal is to build on what individuals already know or do, the strengths that already exist within an organization, and the formal and informal groupings within an organization that can act as internal resources for the change process.

5. *Good training and technical assistance are based on a pragmatic approach to change.* There is no single service delivery model or approach that is definitively best under all circumstances. Rather, emphasis should be given to accommodating local needs, resources, and preferences. Consequently, an appropriate organizational development strategy for a given organization may reflect such diverse elements as formal training, informal advice-giving, networking, linking to appropriate resources, collaborative problem-solving, and provision of reference materials or relevant tools.

6. *Good training and technical assistance require methodological consistency.* Development agencies cannot use participatory approaches with their clients, while retaining traditional top-down, bureaucratic forms of communication and learning within their own operations. Organizations cannot be expected to promote collaborative approaches to development problems while engaging in didactic training and technical assistance activities.

7. *Good training and technical assistance allow institutional stakeholders to observe, engage in, invent or discover expert strategies for dealing with a particular type of problem.* This is best accomplished when the training and technical assistance help organizational learners to:

   identify all the relevant processes within a task by making these tasks transparent to participants;
   situate abstract organizational principles in authentic contexts so that the relevance of the principle is apparent and the participant can embed this new knowledge within an organizing structure;

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actively interpret--rather than record--information so they can construct new knowledge for themselves;
have the opportunity to work at group problem-solving by actively sharing skills and expertise with one another;
unbind knowledge from a single specific context in order to maximize knowledge transfer;
recognize and respect what they already know as well as the knowledge that exists within the entire organization;
move from the known to the unknown in terms of knowledge, patterns of relationships, and contexts;
develop an ability to recognize those circumstances in which new knowledge should be used;
explore many examples of a new concept and how its essential features are reflected in a range of settings.

In conclusion, it is clear that emerging best practice suggests that organizational strengthening, whether through the introduction of TQM or as a result of enhanced training and technical assistance, should focus on enabling organizations to become:

agile in decision making;
responsive to civil society in meeting basic economic and social needs;
gifted at doing more with less;
able to cope with continuous change and ambiguity as well as a steady stream of new information;
innovative;
facilitative in creating the conditions most propitious for the transfer of knowledge to new settings;
comfortable with and inclined to use technical information, holistic thinking, and analysis in making decisions and solving problems;
able to amass and deploy sufficient decision-making power to respond effectively to mission-related challenges;
participatory in the sense of encouraging debate, discussion and collaboration in decision making;
accountable to the extent that those who are in charge of making and implementing decisions are held responsible for their actions;
able to transcend concerns with specific problems and their solution by developing systems, processes, and cultures that ensure wise choices and the responsible use of resources;
inclined to situate narrowly defined activities in the broader context of policy definition and development strategies; and,
able to forge partnerships that embrace nongovernmental organizations, private-sector entities and governmental agencies from multiple sectors.

Such characteristics emerge when there is an ongoing process of institutional capacity building. Central to this work is the continuous development of individuals (staff, volunteers and relevant others) who are affiliated with the organization. Other essential ingredients of institutional capacity building are the development of good facilitation skills among all who have developmental responsibilities, constructive management in a task-oriented atmosphere, as well as an organizational ethos that values institutional learning and facilitates problem solving.

ANNEX 8

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ANNEX 9

REENGINEERING RESOURCE MATERIALS

PPC/CDIE's **Reengineering Best Practices series** summarizes recent Mission experience. They point out where new approaches or management systems are strengthening the way we do business and where additional resources or support is required:

"Planning and Managing for Results Under Reengineering: Early Lessons From the Field" (PN-ABY-229) and **"Planning and Managing for Results with Teams, Customers, and Partners in the Reengineered USAID: Observations From the Field"** (PN-ABY-228PN) focus on Missions' experience working with teams, and customers and partners. In the first year of applying re-engineering systems, USAID Missions have developed promising innovative approaches that are changing the way USAID does business. Now in the second year, Missions face new challenges and some uncertainties. **"Managing for Results in A Regional Mission: USAID/Central Asia's Experience"** (PN-ABY-231) shares the experience of a regional Mission managing five country programs under the Freedom Support Act. While the Mission sees real benefits in a regional approach, it points out that regional management is staff-intensive and requires careful monitoring of grantees and contractors working under the broad mandate of regional or worldwide grants or contracts.

"Country Experimental Laboratories: One Year Later" by Turra Bethune, March 1996 (PN-ABY-270).

"Building Teamwork in USAID's Dominican Republic Mission" by Wilma Gormley, March 1996 (PN-ABY-271).

"Reengineering at USAID/Bolivia. Why We Did What We Did" by Olivier Carduner (PN-ABY-272).

"A Partner's Consultation: Reengineering Relationships" by John Grayzel, Lisa Rose Magno and Geraldo Porta of USAID/Philippines (PN-ABY-223).

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ANNEX 10

Case Study from IGI International, Inc.[1]

NGO TRAINING IN FINANCIAL SUFFICIENCY: A Group Epiphany about Collaboration

A training firm from the Dominican Republic recently contacted IGI International to work with it on a small USAID project in the area of fundraising training for a large group of NGOs. Before entering into partnership with the Dominican firm, IGI emphasized that its approach to NGO financial sustainability utilizes a relatively complex matrix of strategies for cost reduction, cost recovery, fundraising and grant/project solicitation, and also focuses heavily on entrepreneurial thinking to develop new income sources. Because the needs of the NGOs were in sync with such an approach, IGI and the local firm decided to formally collaborate on their training.

The training--designed to instill the idea that every participant was a "change agent"--occurred in two phases. After an initial five-day session, the 30 participants (two from each NGO) returned to their organizations, met with staff and board members, conducted resource development planning, and completed several projects. A second five-day training session was held five weeks later, at which time the participants were quite energized with various ideas about how to apply the strategy matrix to their respective organizations. In some cases, work was underway even before the training was completed.

The first phase of training focused on issues such as: identifying and targeting the NGOs' constituency; attracting and managing volunteers; constructing and communicating the NGO "case;" working effectively with boards; and emphasizing collective responsibility for resource development throughout the organization. The week ended with completion of a work plan for each NGO team. During the second session, detailed training was provided in the areas of cost reduction, grant and project proposal writing, and private sector fundraising.

Throughout the process, heavy emphasis was placed on participation, the sharing of experiences and lessons learned, and discussion of strategies. By the end of the first week, the class was functioning as a cohesive team. Such team-building among the NGOs was a fundamental--though unstated--objective of the course, allowing the camaraderie to develop naturally and evolve into long-lasting personal relationships.

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[1] IGI International, Inc. is a Miami, Florida-based consulting firm with extensive USAID experience in training and technical assistance to public and private sector institutions. The firm's special emphasis is on financial self-sufficiency, service delivery and constituency communications.

(continued)

The issue of collaboration frequently arose in the presentations and discussions. The concept of cost sharing and of increasing an organization's competitive advantage through partnering with other NGOs was introduced in the context of projects, grants and private sector fundraising. However, this idea was difficult to embrace for groups accustomed to thinking in highly competitive terms, particularly with regard to resource acquisition in a limited economy.

During the second week of training, this group instinct to withhold and guard information was addressed by trainers through an activity in which the teams prepared technical and cost proposals for development projects--particularly those funded by governments and donors. The closing activity for the day was a simulation exercise designed to test the degree to which the NGOs had assimilated the idea that collaboration with their "competitors" could be mutually beneficial.

Participants were divided into four groups. After being given an NGO "identity" and profile to assume, each group received a brief RFP for a donor-funded project. With one hour in which to work and a single winner to be selected, they were instructed to put together the key elements of a strong proposal and to orally present their proposal to the judges. It is important to note that none of the NGOs had any knowledge about the others they were competing against, although each group was given a piece of "intelligence" about the project that--if used properly--would give them some type of advantage.

About 15 minutes into the simulation exercise, one group sent out emissaries to the other three to find out what type of NGOs they were, and to attempt to gain some kind of useful information. As suspected, all the groups were very protective and guarded with their "competitors."

However--little by little--they learned more about the other NGOs and began to see that each had different strengths and comparative advantages in pursuing the project. While the groups had initially focused on the threats posed by the others, as well as strategies to overcome them, various participants came to adopt a different perspective. The groups started "courting" each other to join forces against the other two by offering deals on the project and trying to entice them with hints about the value of their piece of information.

About 45 minutes into the simulation, the group dynamics visibly shifted. A huddle formed in the middle of the room, instructions were issued across teams, and the natural leaders began to delegate tasks. Within 20 minutes the participants jointly prepared an excellent presentation on how they would collaborate, with each NGO bringing its respective strength to the project team. The total budget was also reduced as a consequence of the pooling of resources.

The debriefing session afterwards was exhilarating as the NGOs fully understood the incredible strength they had when united. The feeling in the room pre- and post-simulation was markedly different and turned into a very real, tangible force. On the last day of

(continued)

training, the schedule was changed to accomodate a discussion of ways in which groups could work together to improve the environment for NGOs and become stronger participants in the country's development efforts.

One tangible initiative which emerged from the training session was the formation of a committee to meet with an Internet service provider and establish a forum/bulletin board for the entire network of NGOs. Another activity was monthly luncheon meetings of network representatives which provide a forum for information sharing and guest speakers from the government, private sector and the international donor communities.

Specific alliances were also formed. In one case, a business association of large corporations joined forces with two small environmental NGOs to pursue an environmental grant with a special focus on increasing the supply of quality water to urban areas. All three partners benefited from the exposure, while the NGOs became far more competitive for the grant. In another case, three NGOs and a government clinic dealing with AIDS-related programs agreed to collaborate on a proposal for a donor project larger than any of them could have pursued on their own. Several NGOs agreed to seek out and pursue grants and projects together based on their complementary missions, profiles and strengths, while others have shared their annual strategic plans in order to identify common objectives and strategies.

IGI expects that many other synergistic activities and spillover effects will continue to emerge from this two-week training program. It hopes most of these small NGOs will create their own mix of strategies to sustain themselves and achieve their missions and desired results. One overarching result which is already visible is the birth of a real NGO network of groups thinking more strategically about development issues and working together more effectively for the benefit of the Dominican Republic.

Annex 11

Additional Materials Available from USAID/Manila

1. "Technology of Participation: Group Facilitation Methods," (Institute of Cultural Affairs, Phoenix, AZ: 1994).

2. Annual Partners Conference, Manila, September 1996.

3. Lessons Learned from Reinvention of the Office of Voluntary Cooperation Co-Financing Program, USAID/Philippines, 1994.

4. Capiz - Organization Development Protocol - How the Organizational Assessment Framework/Design Works, Governance and Local Democracy Project, Province of Capiz.

5. Trip Report by John Grayzel (USAID/Philippines): Observations and Suggestions for USAID/Sri Lanka on Democracy Programming and the CIPART Project

Annex 12A.

Trip Report

for the Period September 15 to October 25, 1996

ARD/PACTE

Submitted by:
Hank Hunse
World Learning
October 24, 1996

1. Technologies of Participation

1.1. Participants

The Technologies of Participation (TOP) workshop, held on the week of September 16 to 20, 1996, was cosponsored by Associates in Rural Development (ARD), and International Organization of Migration (IOM). Representatives of the other Democracy Enhancement Project components were also invited to attend. Of the 26 attendees, 12 were from IOM and 11 from ARD, plus representatives from USAID, ADF/Aosye, and CFET. Other representatives of USAID came for periodic visits. The primary objective was to train newly appointed staff of ARD and selected existing staff of IOM in the TOP. Secondary objectives consisted of promoting cooperation between IOM and ARD, and sharing the relevant experiences of each institution. Gary Forbes, an external consultant specializing in TOP presented the workshop in English, with Creole translations made by ARD and IOM staff.

1.2. Discussion Method - Objective, Responsive, Interpretative, Decisional (ORID)

The discussion method is a elegant, simple tool developed in North America, effectively used in management and service group settings to help participants get past normal problem solving techniques and into proactive vsioning paradigms. The methodology was utilized with success in a somewhat similar democracy enhancement project in the Philippines by ARD. The TOP begins with a method to engage a group in structured discussion, which largely mimics the way in which adults learn about the world around them. Because it is a structured method, it saves time, and assists groups in quickly getting to the heart of the matter in their meetings and planning sessions.

1.2.1. Objective

The objective phase of the discussion method is one in which data is generated, and deals with concrete reality before being or analyzed. It typically works in the realm of numbers, statistics, and other tangibles.

1.2.2. Reflective

The Reflective phase of the discussion method describes one's initial gut reaction to the data generated in the objective phase. It is non-judging in content, and only seeks to elicit the direct emotional impact of the external world.

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1.2.3. *Interpretive*

One's assessment of the importance of the data or response to the data or outside world constitutes the interpretive phase. In it, one analyzes, classifies and structures the data, but does not yet make a decision based on it.

1.2.4. *Decisional*

The final step in the discussion method in the discussion method is decisional. One's (or a group's) action or lack of action is what takes place in the decisional step. Logically, it is at this step that a group moves from thinking into action or may decide against action.

1.2.5. *Conclusions on the ORID Discussion Method*

The ORID method is a very elegant and simple method which was easily learned by staff members, and over the past 4 weeks, practiced in a variety of circumstances. It also parallels conflict resolution strategies, and this skill is crucial to ARD's team building. The ARD team is rapidly gaining skills at utilizing this method in its own work, but as yet has not been able to naturally facilitate an uninitiated group through the discussion method. Most staff have commented on how they appreciate this method, and how it in fact facilitated meaningful "learning moments" during the past month.

The discussion method will be taught and practiced with the mayor's association and commune interventions in meetings, debriefing sessions, and incorporated in the workshops.

1.3. *Workshop Method*

The workshop method is a generic description for a particular facilitation method. Variations of this method are the Vision Workshop, the Action Planning Workshop, and the Strategic Planning Workshop. The course covered the vision workshop during the week of September 16, and was introduced to the action planning workshop during the mayor's association seminar the following week.

1.3.1. *Context - Setting the Stage*

The initial step in the workshop method is that of setting the context of the workshop, including framing of the focus question, which is used to keep the group on track during the course of the workshop. It is critical to a successful workshop to get this question

phrased correctly. This implies that the facilitator must have an intimate understanding of his/her customer prior to beginning the workshop.

1.3.2. Brainstorm - Generating New Ideas

This second stage of the workshop method is an application of a brainstorming session, whereby ideas concerning the focus question are put on paper by individuals, then shared in small groups for selection or prioritizing. The ideas are self-filtered; the criteria for selection of the ideas is decided on by the individual. This stage is where technical or managerial competencies are required, as the better the quality of the brainstorming exercise, the better the results of the workshop. Stated differently, the data generated in the brainstorming session determines the quality of the workshop output. The brainstorming session parallels the objective phase of the ORID discussion method.

1.3.3. Organize - Forming New Relationships

This is a clustering exercise whereby the group organizes the data generated in the brainstorming session into pairs, and eventually groupings. This correspondes to the reflective phase in ORID. This step and the following step, naming, can be difficult if the initial quality of the brainstorming responses is "poor" or does not reflect the true capacity of the group. This became apparent during experiences in the field, where the method was not familiar enough for the best ideas of the participants to shine through.

1.3.4. Name - Discerning the Consensus

The naming of the data is a step whereby the group takes the information generated by individuals or small groups which constitute the larger group, and endows the data with a new aspect: it is the point at which the group has fully accepted the participation of the individuals. Since all ideas posted in the brainstorming session get placed in a named category, all contributions are honored, and self-confidence within the group rises.

1.3.5. Reflect - Confirming the Resolve

The reflection stage is similar to the decisional phase in the discussion method (not to be confused with the reflective phase in the discussion method). During this step, the group steps back from the naming process and takes a final look at the grouping of information to decide what to do with the information.

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1.3.6. Applications of the Workshop Method

As mentioned previously, the workshop method is a generic type of method, and is easily adaptable to many situations as required. The method will be used in workshops for both the MA and commune level interventions. It's customability is one of its greatest strengths.

1.4. Action Planning Workshop

Action Planning is a variation or specific application of the more generic Workshop Method.

1.4.1. Victory Circle

The Victory Circle serves the same function as the focus question in that it solicits the group to provide the concrete results anticipated by a successful project planned for in the action planning workshop. Rather than a problem-solving orientation, the victory circle projects forward in time, inviting participants to step outside of their current state to a point in the future with which they can readily identify. Because items solicited in the victory circle exercise are to be concrete, and based on experiential data, the chance that the group will develop an unachievable action plan is minimized.

1.4.2. Current Reality

The next step to ascertain the group's perspective on current reality is a second way, after the victory circle, to get the group ready for the brainstorming exercise which follows, to assist the group in formulating an attainable action plan for itself. These "filters" help increase the quality of the brainstorming inputs, reducing the need for judgment or clarification questions during the all important brainstorming phase.

1.4.3. Brainstorming, Organizing, Naming

A focus question is posed to the group which generally solicits action types of phrases for the brainstorming session. Otherwise, the steps and techniques are similar to the workshop method.

1.4.4. Task Force Formation

Once the ideas are organized into columns, the group forms task forces. The task forces can be selected based on area, individual interest, or by appointment. It is the task force's responsibility to

take the information generated in the brainstorming session, and put a timeline to the various activities, and add activities if required. As each task force places its activity on the timeline, the beginning of a coordination effort can be seen. The final phase of this process is the development of a budget.

2. Mayor's Association Workshop - A TOP Test - Sept. 23-24, 1996

The Mayor's Associations (MA) are one of the target groups envisioned in the project workplan. The workshop was held on September 23 and 24, 1996 at the Hotel Chrisopher. Seventeen mayors attended representing 6 Mayor's Associations, of which, one is legally incorporated and registered with the Ministry of Social Affairs. The MA are professional associations organized for the purpose of promoting the interests of the mayors and their constituents in Haiti. The exact role of the MA is yet evolving, as the mayors are exploring the various opportunities open to them both in Haiti and in North America among the Haitian Diaspora. The theme of the workshop was "A Vision for the Future of the Local Government Associations". The objectives of the workshop were to introduce and practice the TOP, to present the PACTE project to the mayors' associations, and to share information generated by the USAID Monitoring Unit with the mayors.

2.1. Introduction

The session was opened by Louis Siegel, the Chief of Party for Associates in Rural Development in Haiti. The participants were introduced to the PACTE field staff and eachother, and the workshop atmosphere created.

2.2. Presentation of the Assessment Report to the Mayors

Louis Siegel and Franck Lanoix, a consultant to PACTE, presented the findings of the Assessment Report, written in July, 1996. The report assessed the current condition of local government, and provides the basis for the approach of the PACTE project.

2.3. Current Realities Workshop

The facilitation was guided by Gary Forbes, and supported by Gina Cherron and other PACTE staff. A copy of the proceedings is attached to this report.

The group of mayors participated in a current realities workshop, which contains four main categories: recent accomplishments, strengths, benefits, and challenges. The results of this workshop are attached to this report as "Reyalite Jodia".

2.4. *Vision Workshop*

The vision workshop had as its central question: "What do you want to see in the mayors association by the year 2000?" The mayors broke into small groups, engaged in a brainstorming exercise, and regrouped in plenary session to categorize the results of the brainstorm. The results are attached as "Atelye Vizyon". The mayors were pleased with the results of this process. Unsolicited comments such as, "This is the first time that I can see where I am going" were common after the workshop.

2.5. *USAID*

John Currelly presented his work on the Geographical Information System to the group. During the past number of years, USAID has tracked a number of indicators throughout the country for food aid assistance. It has amassed a great amount of information disagregated for each commune and some communal sections. The data bank is not yet complete, and could be improved and expanded through the active participation of the mayors. This information could be quite useful to the mayors for planning activities and project in their respective communes.

2.6. *Workgroup Session*

Based on the vision workshop, the mayors divided themselves according to a self-selecting process into work groups, each of whom would take on one of the vision pillars developed, and work them into an action plan. The results are listed in "Travay Komisyon Asosyasyon Me Yo." This was the beginning of an action plan to be implemented by the mayors association.

2.7. *Evaluation*

The results of the participants' evaluation of the 2 day workshop are attached.

3. Field Trips

3.1. *Miragoane/Verettes - September 25-26, 1996*

3.1.1. *Location and Context*

Miragoane and Verrettes are two areas of OIM project activity. The KAK, a group composed of local leaders was created specifically to function as the entity to negotiate and absorb OIM funding and projects. The KASEK, the constitutionally mandated body is normally a subset of this larger group. The KAK is not a

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constitutionally mandated entity and its future OIM has-completed its activities in the zone is uncertain.

The facilitators were a combined group of OIM and PACTE staff who attended the TOP workshop the week prior to the field visit. The two-day workshop was the second using the TOP, without refinements.

3.1.2. Objectives of the Workshops

- Project Identification

  The initial purpose for the session with the KAK and Mayor was to identify a project to be completed prior to December 15, 1996, for less than 200,000 gourdes which met IOM the criteria.In Verrettes, some of these criteria were not clearly articulated to the participants.

- Project Site Selection

  A normally sensitive area in the selection process in project identification is where to place it. Normally, OIM had engaged in relatively protracted debates with the local community as to where to place

- Field Test of Technologies of Participation

  A main objective from the perspective of PACTE was to gain insights into how both the newly selected staff and "typical" community group responded to the TOP, and whether or not changes were required to make the tool more appropriate in the Haitian context.

3.1.3. Process and Results of Workshop - Miragoane

3.1.3.1. Vision Workshop

The Focus Question was: "What do you want to see in the Commune of Miragoane by the year 2000?" The group, through the workshop method made a series of statements on the following domains:

1. Water
2. Agriculture
3. Health
4. Roads
5. Education

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Normally the vision workshop would be followed by an action planning workshop, with the group forming task forces by interest. The group, including the facilitator staff, had some difficulty in organizing the information clusters by their appropriate headings.

3.1.3.2. Project Selection

OIM presented its project selection criteria, and began a discussion and process of project selection. Brainstorming techniques were utilized to generate ideas for projects which fit the criteria presented. The group proposed project types ranging from spring capping to latrines for markets to school benches. Once these were categorized, a multiple vote was held whereby each participant could have three votes to distribute among the four project candidates listed. The group elected to install benches for the schools which OIM had constructed as the project. All the communal sections thereby would receive some benefit from the outcome of the "planning session" . Since the schools which OIM built were distributed thoughout the commune, the question of the location choice was therefore not an issue.

3.1.3.3. Lessons Learned in Miragoane - TOP

The overall impression from the group participants was very positive. The group, both facilitators and participants were surprised at the speed at which the task was accomplished. This is in part due to the fact that the group was small, had some experience in project management, and the task assigned was a straight forward "bricks and mortar" type of project.

The current reality portion of the workshop, containing the four categories of recent accomplishments, strengths, benefits and challenges required some adjustment. In future workshops, the category "recent accomplishments" will most likely be replaced with an "data" category which would generate some relevant statistics.

The discussion method did not allow for grandstanding or negative takeover by authoritarian leaders. On more than one occasion the group was able to assert its own agenda over those of a former "Chef de Section", a significant accomplishment. Another pertinent observation is that the distance (social and learning) between the participants and facilitators was not great, and this is in part due to the amount of participation encouraged by the method.

For the PACTE project, the methodology needs to be repeated with the same group 2 to 3 times before the quality of the output is high enough to meet expected standards. In many ways, the method is too fast, and when the issues are more complex, the faciltator may lose a majority of the participants because of the speed, thereby defeating the purpose of the exercise. The simple remedy to this is a number of "dry runs" on simpler projects or circumstances. Although the TOP is use in many parts of the world, it works best when participants have had prior experience, and a professional background in the subject matter. Most often, this will not be the case in the PACTE project. That said however, TOP is the very best for entry posture into the new subject area of the PACTE project.

Another important point is that the small groups themselves, at least at the outset, need facilitation until they gain competency in group learning. This means that in the initial phases, a high level of staffing is required to ensure that the group gains competency early in the facilitation process. Eventually, staff requirements should diminish as the group gains experience in the method.

There was a significant disarticulation in the workshop which occurred on completion of the action planning workshop and the OIM agenda of project selection began. There was no real connection made between the project selection and the previous visioning exercise, which disrupted the learning sequence, and consequently, confusion.

3.1.4. Process and Results -Verrettes

The workshop in Verrettes was held in the city hall of Verrettes, with more than 60 persons attending. All communal sections were well represented. The team had some difficulty managing the workshops with 60 people, and the quantity of people did slow down the process somewhat. The facilitation process began the same way as in Miragoane, with a "Current Realities" session, a vision workshop, and finally project selection.

3.1.4.1.Project Selection

Unlike Miragoane, the KAK proposed different projects in each of the communal sections. This will eventually increase the follow-up work on the part of the local OIM staff. Based on the information generated at the vision workshop, the KAK chose the following 6 projects:

1. Repair the health center in the 3rd and 4th communal section.

2. Repair the school in Chandel and the Public Park in Borel, purchase a megaphone and office supplies for the KASEK in the 2nd communal section.
3. Complete the public market in Iyankou, fix the furniture in the school in Payen in the 1st communal section.
4. Construct a public meeting center, with tables and chairs in the 6th communal section.
5. Cap a spring in the 5th communal section.
6. Paint the City Hall in Verrettes, and fix the toilet in the National School.

3.1.4.2.Lessons Learned from Verrettes on TOP

One of the main lessons learned was from the mistakes of the local OIM field representative. Because he wanted to allow the group to have as much ownership as possible of the process, he in fact did not give enough guidance to the process, therefore at times, he was taken by the group to places he did not really want to go. The fact that 6 small, spread out projects were chosen is an indicator of this problem. Rather than have the commune function as a commune, the OIM field person allowed each communal section to act independently. Although this is not negative per se, the approach did not foster a commune wide identity and cooperation between KAZEK and the mayor's office.

Verrettes seems to be blessed with an abundance of persons who have much experience in working in small groups. A number of NGO's have worked in the area on animation techniques and this is now a definite asset to the commune, and can be a point of departure for the PACTE project.

The last comment concerns optimum size of a group when facilitating. It was the conclusion of OIM and PACTE staff that 62 participants was too many to handle in the facility, with this group of facilitators. How this can be handled differently next time is a matter of concern. Often times in rural areas of Haiti, proper representation ratios are difficult to manage. The tendency is to have complete and total participation on one hand, or the other extreme, of one person deciding for the whole group with little regard for the input of the group.

3.2.5. *Action Planning Workshop*

The group pulled two of the main pillars built during the vision workshop. They were: agriculture, and education. The groups chose to initiate projects in soil conservation, and the second, on a school building. Since this was a "role play" session, the results were tabulated and given back as information by PISANO.

3.2.6. *Budgeting*

The group was lead by OIM in the process of budgeting for a project. The example of a school building project was used to illustrate how a budget was designed. The group seemed to respond well to the information, but the proof will be when the KASEK actually implements a project with financial management responsibilities.

3.2.7. *Learnings from the Jean Rabel Field Visit*

The greatest impression we had coming back from Jean Rabel was that the TOP allowed for the efficient coordination between three agencies to present a workshop.

The use of a dry run, that is, a project that everyone knows will not come to fruition, is relatively demotivating for the group. In the PACTE program, it is suggested that all workshops and trainings are for real activities and projects. Not much is gained by having a session on a hypothetical subject.

3.3. *Petit Goave - October 16, 1996*

The PACTE team assisted in a one day seminar/workshop with OIM in the town of Petit Goave. A total of 4 communes were represented by 30 KAK members. Several of the participants were members of the KASEK, and all were male. The format of the seminar followed the same pattern as the previous seminars.

3.3.1. *Lessons and Learnings: Current Realities/Vision/Action Planning Workshops*

The group was divided by commune for the day. The average size of each group was 6 persons. All groups did quite well in generating the information for the current realities portion of the workshop. The infomation was specific, and gave the participants further appreciation for their particular commune. Because the size of each group was small, the vision workshop did not work as well as it could. It seems that 6 persons is simply not enough to generate

the variety of input required for an adequate treatment of the commune vision.

Some of the facilitators had not had specific TOP training, and this had a negative impact on the flow of the day.

The attempt to put the 3 workshops in one day with 4 separate groups simply was too much for the participants and facilitators to deal with.

4. Staff

4.1. Existing Staffing Pattern

Current staff structure anticipates a full-time trainer, who develops training materials and trains staff, a Port-au-Prince based operations manager who oversees the work of the field staff, and a full-time Policy Advisor, who is responsible for researching donor sources, to maintain proper relations with the central government, and to provide counsel to the project on policy issues. The project will eventually have up to 12 to 15 field staff. The constellation and organization of the staff is yet not completely decided. Much of this will depend on how the project evolves, and how it is received by the target groups and the GOH.

4.2. Possible Field Staff Structure

Further training and more field experience in the TOP are required for the staff to do a competent job without a great deal of line supervision. It will take at least one year before the current team masters the skills of consulting with the KASEK, mayors, and commune leaders. Until this mastery is achieved, the field staff will require close monitoring to ensure that the goals of PACTE and strategies required to implement those goals are implemented. This may require a change in the management structure of the project to further decentralize supervision, and create a mid-management layer of supervision/support in two regional offices. In this scenario, the Port-au-Prince office becomes the center for training, technical assistance, and coordination with external agencies, and daily operational management is done out of the regional offices. The desired ratio of staff/supervisors is 4/1.

4.3. Training

The time period of September 15 to October 15 was a time of team formation, creating an ambiance of cooperation, openness to change, intellectual capital transfer and absorption. The selection and training of field staff is one of the most difficult tasks in a organizational development

project such as this, and commendations are in order for a job well done in this area. The payoff for the time spent with staff now will be apparent later on in the project, and although one can only guess and hope, the prospects for having a staff which both understands and is excited about the project are excellent.

4.3.1. TOP

The staff participated in the above summarized Workshop. The staff did catch on to the techniques of TOP relatively quickly, however, have some difficulty in "thinking on their feet" in front of a group. Some are better facilitators than are others. A general comment is that those staff who have originally been trained as animators have more difficulty with facilitation as a group technique. Animators are trained to lead, rather forcefully and loudly at times, a group of "peasants", and follow a more typical school teacher model, where a central figure is the source of most of the knowledge and discussion, and the class follows.

4.3.2. Assessment Report

The staff engaged in a 10 day session to review, in detail, the contents of the French version of the Assessment Report. The team read through the report, page by page as a group. The method used to process the information was that of the ORID structured discussion method, plus that of direct mentoring by the Chief of Mission, Louis Siegel. Over the course of the 10 days, Louis Siegel conducted approximately one session of 1.5 hours per day. Frank Lanoix, an economist and author of the financial section of the Assessment Report, also presided over a 2 hour session with the team to further explain the report and answer questions concerning the Report.

A copy of the exams written by the team is attached to this document. Comments by Hank Hunse and Louis Siegel are also attached.

4.4. Future Training Needs for Staff

- Project/Proposal Writing
- Consulting Skills
- Conflict Resolution
- Computer Literacy
- Report Writing
- Central Government Resource Identification

- Donor Programs Inventory
- Sectoral introductions

5. Documents Reviewed

- Assessment Report PACTE June 1996
- Project Workplan - PACTE June 1996
- Community Empowerment - A Participatory Training Manual on Community Project Development - Stanley Gajanayake and Jaya Gajanayake - 1993
- Redesigning Rural Programming
- Planning Assistance Project Documentation 1993-1995
- Crafting Institutions for Self-Governing Irrigation Systems- Elinor Ostrom - 1992

Annex 12B.

ENGAGING THE BUSINESS COMMUNITY IN CIVIL SOCIETY

Discussions with the business community, though limited, suggest certain important themes and considerations in approaching the issue of business and civil society. There is a very real sense that the business community is very fragile and vulnerable – other than the biggest. The policy and regulatory environment has been very unfavorable and rent seeking and patronage have characterized the business culture, not productivity and competition. The small size of the market simply reinforces these tendencies. There is little or no experience in working with elected governments – national or local, and a growing mistrust of the NGO community.

The Mission should consider the business community as an important part of civil society that is substantially alienated and marginalized in the current environment. It is poorly organized and has little understanding of democratic processes and how to advocate its interests within it. The business community is probably a prime target for civic education.

By the same token, the rest of the community may have little understanding of the private sector or its potential role in a developing community. So the Mission may also want to consider whether there should be an entrepreneurship and private investment as well as a citizenship theme in its civic education program.

If this analysis is correct, the Mission should be cautious in expecting a dramatic philanthropic response from the business community. Certainly there is some exciting evidence of philanthropic foundations and community oriented business groups emerging that the Mission program can build on. But, it is probable that the bulk of the business community will be motivated to engage in civil society only insofar as activities focus on community programs that affect them. The approach of the Mission civil society program currently seems well suited to this approach.

Specific possibilities are discussed below.

Business Access to Decision Makers:

Except for the most powerful business families, the bulk of the business community was excluded during the Duvalier era, and feels equally excluded by the current political leadership. Several aspects of the old regime continue. Today's politicians (national and local) still feel free to approach the business community for contributions to community projects or campaigns on an ad hoc basis. The political parties have no secretariats, so business access to decision makers is still very personal, not institutionalized.

The Presidential Commission is a start, but the business community is poorly organized (especially outside Port-au-Prince) and unaccustomed to dealing with elected officials. Both the Civil Society and Local Government components of the portfolio offer opportunities for improving business awareness of the democratic process and developing mechanisms for engaging with government.

The Mayor of Petionville is apparently unique in that she has established a business advisory council to advise her on municipal matters. Presumably members of such a council could provide assistance to the municipal government on engineering issues, financial management, investment priorities, etc. The municipalities have little analytical capacity or access to empirical data on problems.

Perhaps the business community (associations, foundations) could sponsor studies of local problems to facilitate local action. Seminars that bring parliamentarians and mayors together with business groups might be sponsored by the Chamber of Commerce or other business groups on a regular basis.

Decentralization:

The Constitution and political process in Haiti seem to be driving toward a significant decentralization of political authority, privatization of the economy, and a revival of community life. The USAID program is very much engaged in this process. A significant goal of the NPI effort in Haiti, therefore, will be focused on engaging the business community in this process.

* **Privatization:** The ARD contract under DEP for support to local government has as a major goal the privatization of community and municipal functions. The principle is that many local government functions can, in fact, be "contracted out" to businesses, NGOs, or even other public authorities. This practice offers potential cost savings, increased competition, and an expansion of the small/medium business sector within the community. The promotion of improved governance and the growth of small business are both served by this practice. If work is "contracted out" to NGOs, a considerable step is taken to move them so sustainable financing (for services provided).

  The Chamber of Commerce or other national business associations could probably be engaged to promote this privatization practice, to assist in developing the legal framework, model contracts, monitoring and accounting procedures. In return they would be developing a clientele of new members. Larger private investors with an interest in developing regional port facilities might also be engaged to assist this contracting out process to encourage the development and diversity of local small business.

* **An Investment Partnership:** Regional economic growth is critical to the success of the political decentralization process and to the reduction of poverty in Haiti. There is already evidence of private investers' interest in the restoration of regional port facilities. Refurbished port facilities should also give impetus to agribusiness exports and other business activities. This increased business activity should also increase demand for investment on other economic infrastructure and municipal services.

The Mission's DEP civil society component is a natural mechanism for encouraging this diverse group of interests to engage in a dialogue on their respective plans, roles, and contributions to regional development. Links to other parts of the Mission portfolio are also possible. It might be very much to the Chamber's or other business groups' interest to sponsor such events.

Philanthropy:

Business philanthropy and support for "foundations" is already evident in Haiti. Scions of the large families have been increasingly active in socially-oriented activities through these foundations. However, there appears to be little love lost between the business community generally and the existing NGO community, and little mutual understanding. The business community appears to distrust the NGOs, which they see as creatures of the donors and of questionable accountability and honesty. There is a fear that decentralization under current conditions will simply turn the community over to the NGOs.

The civil society activities of the Mission might well work to build bridges between the NGO community and these new foundations – perhaps weaning the NGOs from their near-total reliance on donor funding. It would also be helpful to give greater visibility to this philanthropic activity – both as a model to the business community and to help restore the image of the business community among the public at large.

As proposed by the Mission, It might also be worthwhile approaching business groups to engage them in the expansion of the business community's involvement – scholarships, mentoring, internships, 4-H type programs in agribusiness, county fairs, etc. Currently, the Chamber does not have a small business section. It is anxious to expand its membership and its geographical spread. Leaving aside the question of whether the Chamber is the right institution for the job, the idea of engaging the business community and financing an "entrepreneurial" component of civil society is an attractive one.

Examples of partnerships:

One interesting model is the SogeBank Foundation, which engages in philanthropy (assistance to business groups to get started, projects, public dialogue, communication with Parliament and authorities, etc.). The Foundation facilitated cooperation to improve the ambiance and security of the financial district in Port-au-Prince. In Jacmel, it established a trust fund for regional development facilitated by SogeBank.

In La Saline, a coalition comprising a university, a business foundation, an NGO, and the Government of Haiti facilitated a low-cost housing project.

An agro-business group worked with donors to create a facility for mango growers that facilitated marketing, technology transfer and training.

Media:

The media in Haiti is largely privately funded, but it is not clear that it plays either a developmental or watchdog role. It seems to do little to improve understanding of the business community, NGOs, or the new municipal governments. Perhaps a committee of business investors and editors, etc. could encourage in the media a public service function.

Access to Capital:

According to a GOH representative, there is a project which works with local NGOs and donors to provide capitalization of loans to support local community investment activities. It is reportedly financed by savings, involvement of Hatian banks, and external donors (Inter-American Foundation). This is an attractive model that might be expanded by tapping the Haitian financial markets. It would also be useful to engage the mayors so that municipal activities might eventually find access to capital. The access of the community, however organized, to capital for development investments on a self-sustaining basis is clearly a major civil society problem.

Drafted by: NNicholson 10/2/96

CIVIL SOCIETY AND ECONOMIC GROWTH

There are a number of possible connections between the NPI civil society activities and the Mission's activities in economic policy reform and private sector development. Not all of those listed below are necessarily possible or appropriate for USAID/Haiti, but it is important to recognize the complementarily between the Mission programs in private sector development and democracy and governance and the civil society link between the two.

1. The civic role of the business community:

a) Government policies and regulations, the application of the rule of law, the efficient delivery of government services, all affect the transaction costs and profits of businesses (including agricultural businesses). Business participation in both democratic and administrative processes is, therefore, a critical part of the political economy of development. Clearly, the key components of governance that will most directly motivate business participation are property rights, contract law, tax regulations, product and market regulation, and financial market and currency management. It is likely that it is around these issues that efforts to engage the business community in civic activity will be most successful. It is also clear from the USAID/Haiti study, "Analysis of Legal and Regulatory Framework for Trade and Investment in Haiti (May 1995)," that a fundamental reform of the legal and regulatory environment is a high priority for sustained economic growth in Haiti.

One should be cautious in assuming, however, that the business community has an interest in such reform. In an economy traditionally based on patronage, privileged access, and government granted monopolies (which DeSoto terms "mercantilism") much of the business community will find reform threatening. Further, the perverse incentives produced by a bad policy environment will distort institutional development toward rent seeking. Therefore, sound macroeconomic policies are essential for stimulating competitive markets and investment (especially those policies which impact on inflation, exchange rates, and public expenditure) as well as effective institutional arrangements (cf. the work of Ruttan and Binswanger or R. Repetto).

It may be useful, however, to recognize that there are several different processes at work in the reform process -- each requiring the business community to interact with the governance process in different ways and at different points.

* Electoral politics: the business community may support specific parties (or divide among parties) and seek to influence the agenda of the parties through

contributions, electoral support, etc.

* Lobbying: the business community may lobby the legislature or the executive for policy changes and legislative changes. However, it would be unlikely that all elements of the business community would have consistent views on desirable policy -- e.g., the agricultural interests would have very different views tariff protection than manufacturing or tourist industries.

* Administrative lobbying: Various Ministries and regulatory agencies affect the business and farming communities through regulations and services. The needs of various sectors tend to be quite different and these needs are directed at different places in the government.

As local government grows in strength and decentralization becomes a reality, we need to recognize that the interaction of the business community with government and with the political process will take place both locally and nationally.

It may be the case that a single unified business organization can be effective for all of these purposes, but in fact that is unlikely. The reason for this is that the more diverse the membership, the harder it is to reach agreement and the harder it is to organize. Organizations specialized to the needs of specific sectors are generally the easiest to organize. It will also be the case that the interaction of Ministries with their "client" business community will have to be through targeted and specialized participatory (consultative or advisory) structures. There is also the question of standing: Do the regulations give the business community a clear right to be consulted in advance and on implementation of regulations? Does the state, therefore, have an interest in the rules and representativeness of the business organizations?

These observations suggest that the idea of mobilizing the business community in support of good governance and policy reform needs to be much better analyzed. We need to know which elements of the business community have an active interest in the reform in question, how hard will it be to organize them, where within the structure do they have to have access? It is also the case that businessmen will have an interest in supporting public interventions that will reduce costs or expand markets, but seldom have an interest in reforms that will increase competition.

b) A civic role in the community: In developed countries the businessmen play a critical role in the civic life of their communities -- they provide leadership, they organize to support civic functions, they may contribute to the success of local governments' bond issues, and can provide political support for key local investments (economic infrastructure, social services, and law and order), they can be a considerable force for good

governance. This role is particularly weak in many developing countries -- denying civil society critical support.

From this perspective there is a civic education job. To move from mercantilism to a growth economy, there has to be the perception that the economy is not a zero sum game -- i.e. growth is real and possible. Pride in work and product, the value of entrepreneurship and community service, a commitment to the rule of law and good governance, all need to be part of the civic education message. Finally, a set of democratic "disciplines" that restrain the private use of public resources and the monopolization of public functions -- elections, courts, press, pluralism in public authorities, checks and balances, democratic values, etc. -- is critical to the state playing a sustained developmental role in the economy. This needs to be fully understood by the public at large and by the business community.

c) Business Services: The development of business services is a critical problem in private sector development. Although many of these can be provided commercially, this is an area that can be characterized by market failure because of the high start up costs and the very small markets. Also, many of the services have the character of collective goods that are difficult to privatize. The NPI concept fully accepts the organization of the business sector for producing collective goods and services as a potential civil society function -- i.e. a voluntary, membership organization that has potentially both market and governance impacts. Discussions within USAID/Haiti suggest that although this may eventually be a constraint on an aggressive export strategy, that other constraints on economic growth and business development are far more serious at this stage.

2. Capacity Building:

NPI stresses the importance of capacity building as the key to sustainable development. There is a constant pressure in development activities to stress direct results -- policy reforms and the delivery of key services. In the economic growth area, we need to emphasize such capacities as an efficient, competitive, and diverse system of financial intermediation; a diverse set of business organizations that service the economic, social, and governance interests of the business community; and the capacity of local authorities and communities to plan, finance and implement the provision of key economic infrastructure, and community management of natural resources.

The process of capacity building in these areas will differ greatly. They require different mixes of public and private action. The business community may function both as a provider of civic services (e.g., a Rotary Club) and a lobbyist for public action. For NGOs, "capacity building" is usually associated with "strengthening grants." Is this the appropriate model for thinking about building business associations? Alternative interventions include improving access to financial resources through revenues or

financial markets, rather than grants. Higher level or specialized civil society organizations or even government agencies can provide technical assistance and analysis. Facilitation of policy dialogue, problem solving, and public education can be an appropriate contribution.

NPI stresses that a sound enabling environment is critical to institutional development. As argued above, bad economic policy induces perverse institutional arrangements in both the public and civil society sectors as it does in the market. Robert Repetto's excellent work on irrigation systems clearly demonstrates how subsidies on water and cement created inefficient water use decisions by farmers, poor management strategies, and rent seeking arrangements among large farmers, contractors, and the Irrigation Department. Similarly, the Constitutional arrangements surrounding decentralization will fundamentally affect the success of the economic growth strategy. These Constitutional arrangements will influence the cost of access of various groups to the political process (e.g. farmers), the quality of public services and economic investment, allocation of resources to investment and maintenance, and the environment for private investment at the local level.

In NPI we have stressed the importance of small and medium enterprises. The implication of this is that we stress the formal sector as being inherently more effectively organizable for civic functions, as being more competitive and less characterized by rent seeking (although it is not impossible), and being the key to effective development at the community level. We have not really sorted out what to do with microenterprises in the informal sector. Certainly, NGOs that service microenterpirse or the poor generally are an important part of civil society and of development.

3. Regional Development:

Haiti is a classic case of the primate city being the magnet that draws all economic activity and which dominates both the economy and polity. The current effort at decentralization in Haiti, if it succeeds, creates a real political-economy problem. If political power is decentralized but not economic growth, then one of two things follows. Either, the political power of the periphery forces an income transfer from the center to the periphery, or (more likely) the periphery continues to be economically dependent on the center and patronage politics prevails. The problem with this form of patronage politics (as we have seen historically in Haiti) is that the center has a strong political interest in continued economic dependency.

This being the case, there is a strong argument for the mission programs in support of decentralization to begin to interact with the private sector development program to look at the economic viability of the decentralization effort. How can development initiative be stimulated at the local level -- financing, staff expertise, sources of economic growth, etc. We need to structure a partnership between the center and the periphery -- not

dependency. We also need to encourage strong interaction between the dispersal of both economic and political power. The Mission should establish a EG/DG Working Group to facilitate coordination and make recommendations for specific high priority regions where both sectors would concentrate their efforts to reinforce their respective efforts.

4. Community Resource Management:

The Mission appears to have a substantial portfolio in local resource management -- irrigation, forestry, etc. The efficacy of community management is well established and the deterioration of the natural resource base has long been a critical development concern in Haiti. Most natural resources have the characteristic of collective goods that are seriously subject to market failure if privatized and equally subject to "non-market failure" if bureaucratized. The evidence is clear that various forms of civil society institutions are generally most effective. Assuming that the issue of community management and the relationship of this community management with the bureaucracy is already a key element of this part of the economic growth strategy, perhaps it needs to be made more explicit as a critical institutional component of the strategy and an integral part of the civil society effort.

NNicholson 9/18/96

Annex 13A

USAID/Russia - A Complete Listing of All Partnerships by Program

1. Private and Voluntary Organizations' Initiatives

- Dubna Educational Center in Dubna Hospital No. 9 - Lutheran Hospital, LaCrosse, Wisconsin
- Center for Psychological Support - Center for Attitudinal Healing
- Human Soul Foundation - The Fountain House
- Novosibirsk Regional Sports Club "Finist" - Wheeled Mobility Center
- Compassion Center - International Rescue Committee
- Agudath Israel of Moscow - Agudath Israel
- International Women's Center - Center for Development and Population Activities
- Sverdlovsk Oblast Charitable Foundation "Healthy Family" - Feed the Children, Larry Jones International Ministries
- Russian Care - Counterpart
- Salus International Health Institute - Pacific Institute for Research Evaluation
- Center for Formation of Sexual Culture - Planned Parenthood of Northern New England
- Association of Obstetricians and Gynecologists - Population Services International
- Chita Nursing Association, Yekaterinburg Nursing Association - World Vision Relief & Development
- Creativity Association, The Russian Association of Women Business Owners Alliance of American and Russian Women - AID to Artisans
- Moscow Charity House - Access Exchange International
- Local Goodwills in Moscow, St. Petersburg, Rybinsk - Goodwill Industries
- YMCA Affiliates in CIS - YMCA of the USA
- United Way International Moscow - United Way International USA
- The Palace of Youth and Creativity - Project Harmony
- Vozmozhnost "Microenterprise Development Training Center" - Opportunity International "Microenterprise Development Training Center"

- Nizhny Novgorod Sluzhenie "Charitable Fund Activity" Opportunity International - "Charitable Fund Activity"
- Health and Environment Foundation, Association of Physicians of Don - Central European Center for Health and Environment
- Center for Curative Pedagogics - International Research & Exchanges Board
- Russian Orthodox Church - International Orthodox Christian Charities
- Socio-Ecological Union - ISAR (Institute on Soviet-American Relations)
- Association of Social Pedagogues and Social Workers - National Association of Social Workers
- Moscow Center for Gender Studies - Network of East-West Women
- The Foundation for Agrarian Development Research - Rodale Institute
- Foundations for Social Innovations Moscow - Foundations for Social Innovation USA
- Interlegal - America's Development Foundation

2. Institutional Partnerships Project

- All Russian Society of the Disabled - World Institute on Disability
- Association of University Programs in Health Administration Russia - Association of University Programs in Health Association
- Russian Red Cross Visiting Nurse Program - American Red Cross
- St. Petersburg Academy of Post Graduate Medical Studies Department of Family Medicine - University of Iowa Department of Family Practice
- Charity Fund International Biomedical Agency - University of Rochester School of Medicine and Dentistry
- Russian Association of Territorial Bodies of Highway Administration - American Road and Transportation Builders Association
- Russian Chamber of Commerce and Industry - Center for International Private Enterprise
- Institute for Biology of Inland Waters, Russian Academy of Science - South Carolina University, Research Foundation, and Clemson University
- The Russian Academy of Sciences, Mechanical Engineering Research Institute -American Society of Mechanical Engineers
- Moscow Research Center for Human Rights - America's Development Foundation

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- All Russian Fund for the Promotion of Individual Flats - Urban Homestead Assistance Board

- Ministry of Agriculture and Provisions of the Russian Federation, Tatar Institute of Retraining and Agribusiness - Texas A&M University Agricultural Economics Department

- Russian Grain Union - U.S. Feed Grains Council

- Nizhny Novgorod State Agricultural Academy - College of Business at Iowa State University

- International Pedagogical University, Magadan State University, Yakutsk State Pedagological Institute Yuzhno-Sakhalinsk - University of Alaska-Anchorage American Russian center

- Pskov Center for Regional Planning and Development - University of Massachusetts

3. Energy Industry Partnership Program

- Vladimiroblgas - Brooklyn Union Gas

- Penzagas -Colombia Gas Company

- Lenenergo - Entergy Corporation

- Nizhnovenergo - Illinois Power Company

- Sibirgazservis - National Fuel Gas

- Samaragaz - Questar Corporation

- Rosgas - American Gas Association

4. Hospital Partnerships

- Savior's Hospital for Peace & Charity, Moscow - Magee Woman's Hospital, Pittsburgh

- Dubna Hospital No. 9, Central City Hospital, Bolshaya Volga Hospital - Lutheran Hospital and St. Francis Hospital, LaCrosse, Wisconsin

- Moscow Institute of Continuing Education of the Federal Administration of Biomedical Problems and Disaster Medicine, Russian Federation of Health and Medical Industries -
  City of Austin Travis County Emergency Medical Services

- Pirogov First Municipal Hospital, Moscow - Brigham and Women's Hospital Boston Massachusetts

- Government Medical Center of the Russian Federation, Kuntsevo - Premir Inc., Chicago, Illinois

- Russian Federation Ministry of Health and Medical Industry, Institute of Pediatrics, Children's Hospital No. 13, Moscow - Children's Hospital of the King's Daughters Norfolk Virginia

- Murmansk Regional Hospital, City Ambulance Hospital - St. Vincent's Medical Center and Memorial Hospital Jacksonville, Florida

- Stavropol Regional Hospital, City Hospital No.4 - Mercy Medical Center, Iowa Hospital Association

- St. Petersburg Medical University - Georgia Baptist Medical Center

- Medical Center of St. Petersburg - University of Louisville School of Medicine

- Vladivostok Medical Institute, City Clinic Hospital No. 2 - Medical College of Virginia and Virginia Commonwealth University

5. Media Partnerships

- Vladivostok News - The News Tribune

- Ural State University Journalism Department, Yekaterinburg - University of North Carolina at Chapel Hill Journalism Department

- Moscow State Academy of Law - The Benjamin N. Cardoza School of Law at Yeshiva University, The Nation Institute

- Abamedia - RISK film & video production

- Russian National Association of Telebroadcasters - National Association of Broadcasters

- Russian Television Development Foundation - The US Academy of Televison Arts and Sciences

- Tomsk Television Channel 2 - Downtown Community Television, New York City

- SKATE Press - Multinational Strategies and Bloomberg

- "Gorodskie Vesti" Concern - Boles, Morgan & Canino, Inc.

- Vladivostok Newspaper - Art Pattison Communication Exchange

- FAX Magazine - University of North Carolina School of Journalism

6. Agricultural Partnerships

- Intercenter Cooperative, Petrobank of Petrozavodsk, Petrozavodsk Palace - Ben and Jerry's

- Hozyain "Owner" Group of Private Farmers, Privolnoe "Open Spaces" Privatized Farm - Conagra

- Glebovsk Poultry Production Association - Continental Grain
- Georgievsk Agro-Industrial Company - Heinz
- AGROSIB and Iskitim Machine-Building Factory - Ibberson
- Oktiabrsky Fish Plant, Muskoy Beter, Akvandt, Raduga - Magna C
- Primorsky Krairybolovpotrebsoyuz, Dalryba Spassk, Vladivostok & Nakhodka - TPC Foods
- ROSAM Ltd, AKKOR, and Chapova AG Firm - Ventures East
- Efremovski Corn Kombinat - Cargill

7. Civic Initiatives Program (CIP)

- AIDS INFOSHARE Russia, Moscow Association of Lawyers, Union of Women of Russia - AIDS INFOSHARE USA
- Russian Family Planning Association - Planned Parenthood of Northern New England
- Baikal Center for Ecological Information & Citizen's Initiatives - Earth Island Institute
- International Research & Exchanges Board Irkutsk, Information Center of the Independent Women's Forum, Raduga Education & Information Center - International Research & Exchanges (IREX) Board
- Interlegal - America's Development Foundation

8. Partnerships financed through the Eurasia Foundation

- Kola Business Development Center - Geonomics Institute
- St. Petersburg University School of Management University of California at Berkeley - Haas School of Management
- Moscow State University - American Institute of Business and Economics
- Scientific Research Institute of Mechanics and Applied Mathematics, Rostov State University - Citizen Exchange Council International Partners

9. Political Process partnerships

- Don Center for Political Technology - International Republican Institute
- Moscow School of Political Studies - International Republican Institute
- Nevsky Research Foundation, St. Petersburg - International Republican Institute

10. "Stand-alone" Partnerships

- Krasnoyarsk State University - Washington State University
- Russian Initiative for Self Employment - Center for Citizens Initiatives
- Russian Energy Managers Association - Association of Energy Engineers
- The Union of Jurist of the Republic of Karelia - Vermont Bar Foundation
- Independent Mine Workers - United Mine Workers
- Nizhny Novgorod Vozmozhnost "Microbusiness Incubator and Leasing Activity" -
  Opportunity International "Microbusiness Incubator and Leasing Activity"
- Rostov Soprichastnost "Microbusiness Incubator and Leasing Activity" -
  Opportunity International "Microbusiness Incubator and Leasing Activity"

Annex 13B

Russian Survey of Partnerships (English Translation)

Name _____
Organization _____
Date Questionnaire Completed _____

This survey is part of a study by USAID of partnerships between Russian organizations and American organizations. USAID is interested in better understanding what kind of partnerships are successful, and we would like your opinion of your partnership experience.

I. Organizational Data. In this section, we would like to record some of the factual information about your organization and your partnership with _____ _____ (fill in the name of your American partner, please).

1. When was your organization/institution founded?
   - __ before 1992
   - __ 1992
   - __ 1993
   - __ 1994
   - __ 1995
   - __ 1996

2. What is the size of your organization/institution?

   - _____ Total number of employees (professional and support staff)
   - _____ Number of members (if a membership organization)
   - _____ Annual budget (from all sources, in rubles)

3. What is the legal status of your organization/institution?

   - __ Registered Russian charitable organization
   - __ Affiliate of a registered Russian charitable organization
   - __ Affiliate of an American nongovernmental organization
   - __ Private business organization
   - __ Government organization
   - __ Other, please specify _____
     _____

4. The partnership has been actively planning and implementing joint activities since:

   - __ before 1992
   - __ 1992
   - __ 1993
   - __ 1994
   - __ 1995
   - __ 1996

5. Who was the initiator of the partnership idea?

__ We (the Russian partner) did.
__ The American partner did.
__ We jointly thought of the idea.
__ Someone else, please explain _____

_____

6. Do you and your partner-organization have any kind of formal agreement/governing your relationship?

__ Yes. What kind? _____
__ No.

7. What is the number of people currently involved in partnership from the Russian side (professionals plus support staff)?
On a full-time basis ____
On an occasional basis ____

8. What is the number of people currently involved in partnership from the American side?
On a full-time basis ____
On an occasional basis ____

9. Are any of the American partner-organization representatives resident in Russia?
__ Yes
__ No

10. Do you send personnel to visit your American partner, or vice versa?

__ Yes. (How many per year?_____)
__ No.

11. It is planned that the partnership will continue:

__ until the end of the current funding (What year? ____)
__ as long as there is useful work to do together
__ as long as there is continued funding
__ on a more limited basis, from time to time over the next several years

12. The principal objective of the partnership right now is:

_____

_____

_____

Was this your initial objective? If not, what was it?

13. How would you rate progress toward achievement of this objective?

__ We have achieved or have nearly achieved everything we set out to do.
__ Much has been accomplished, it will be completed by the end of the funding.
__ Some things have been accomplished, but difficulties have prevented us from achieving all we wanted.
__ Not much progress has yet been made, we have just begun.

__ Not much progress has yet been made, it has been difficult to solve all the start-up problems.
__ Other, please specify_____
_____

II. Resources.

In this section we would like to have some information about the resources which this partnership is using.

14. What is the approximate annual budget for activities being undertaken by your partnership?
    - __ Less than $50,000
    - __ $50,000 - $250,000
    - __ $250,000 - $1,000,000
    - __ More than $1 million
    - __ Can't tell -- it varies year by year

15. Do you manage budget jointly?
    - __ Yes, but we each have specific areas of control.
    - __ Yes, we do make all decisions jointly.
    - __ No, the American partner makes all decisions.
    - __ No, we each have control of specific accounts which are separate.

16. How much financial support has this partnership received to date from USAID?
    - __ Exact amount _____(Indicate $ or Rubles)
    - __ Don't know, American partner keeps books
    - __ Can only estimate:
        - __ Less than $50,000 so far
        - __ $50,000 - $250,000 so far
        - __ $250,000 - $1,000,000 so far
        - __ More than $1 million so far

17. Has the partnership ever received financial support from: (may check more than one)
    - __ Russian businesses
    - __ Russian Government contributions (including municipal government)
    - __ Private international donations
    - __ Other international foundations (such as Soros, Eurasia, etc.)
    - __ Membership contributions
    - __ Sale of services
    - __ Competitive awards from various projects
    - __ Other, please specify_____
    _____
    - __ None

18. Has the partnership ever received any in-kind support (for example, free office space, the grant of a computer, etc.) from:
    - __ Russian businesses
    - __ Russian Government contributions (inlcuding local government)
    - __ Private international donations

__ Contributions from other international foundations (such as Soros, Eurasia,
__ Membership contributions
__ Competitive awards from various projects
__ Other, please specify_____

_____

__ None

19. Has the partnership ever undertaken any fundraising activities

__ In Russia
__ In the U.S.
__ In other countries
__ No fundraising activities.

20. What fundraising techniques have you used? (indicate one or more)

__ Writing applications for grants, either solicited or unsolicited
__ Personal visits to individuals or groups who might provide support
__ Sales of services or products to public
__ Collection of fees for various services or activities
__ Membership drives
__ Other, please specify_____

_____

21. Does your partnership involve volunteer workers, that is, people who work with you and/or provide specific services with no pay?

__ Yes
__ No

22. What percentage of the total cost of activities undertaken by the partnership in the last year were covered by USAID support?

__ 100%
__ More than half, but not all
__ Between 25% and 50%
__ Less than 25%

23. Has the percentage of the total cost of activities you implemented with your partner covered by USAID support increased or decreased since the partnership started?

__ Increased.
__ Decreased.
__ No change.

24. Is securing financing for your partnership a major issue?
__ Yes
__ No

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25. How much of management time is spent on assuring finances? (Meaning: how much time is spent by your whole management team, not by individual)

__ 100%
__ More than half, but not all
__ Between 25% and 50%
__ Less than 25%

III. Benefits of Partnerships. In this section, we would like to know your views as to the benefits or disadvantages of the partnership as far as your own organization is concerned.

26. What do you think is the principal benefit to your organization of your partnership with an American partner? (Check only one)

__ Money
__ New ideas with regard to actions which my organization could undertake
__ New skills in planning and managing organizational development
__ Strengthening our organization in a number of ways
__ Experience in carrying out certain kinds of activities which we have never done before
__ Ability to undertake an activity which required inputs which our organization did not have on its own
__ Other, please specify _____

_____

27. What is the principal disadvantage of having an American partner? (Check only one)

__ People are suspicious of the partner and won't work with us
__ American partner controls all the money
__ American partner doesn't understand the local situation
__ American partner is too far away to react quickly and provide advice or services on a timely basis
__ The people working for the American partner organization do not always stay with the organization so we are always having to break in new people
__ Other, please specify _____

_____

28. Do you think that your American partner values the partnership with you for reasons which you do not share?

__ Yes
__ No

29. What do you think is the principal benefit of the partnership for your American partner? (Check only one)

__ Financial gain
__ New contacts with a new group of people in Russia
__ Activities in Russia strengthen the organization in a number of ways
__ Provides experience in carrying out certain kinds of activities which they have never done before

__ They are able to undertake an activity which required inputs which their organization does not have on its own
__ Other, please specify _____

_____

30. How would you compare the benefit your organization receives from the partnership from the benefit which your American partner is receiving?

__ About equal. We both get the benefits we expect
__ American partner benefits more than we do
__ We benefit more than the American partner does
__ American partner gets most of the benefit and we get very little
__ Other, please specify _____

_____

31. Have you ever discussed the benefits associated with the partnership with your American partner?

__ Yes
__ No

32. Have you made any changes in your partnership agreement in order to increase the benefits you are deriving from the partnership?

__ Yes
__ No

33. If yes, what kind of changes did you make?

_____
_____
_____

IV. Managing the Partnership. In this section we would like to know a little more about how manage your partnership. Please circle your opinion of each of the statements.

34. Our American partners dominate the partnership: make decisions without consulting us, manage all the money without always sharing details, and lead in the definition of our work plan.

Strongly Agree *Agree* *Neutral* *Disagree* *Strongly Disagree*

35. We on the Russian side are in charge of the partnership's work plan and activities.

Strongly Agree *Agree* *Neutral* *Disagree* *Strongly Disagree*

36. It is relatively easy to discuss problems with our American partners.

Strongly Agree *Agree* *Neutral* *Disagree* *Strongly Disagree*

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37. When we meet with our American partners, we find that their approaches and ideas often need substantial change to adapt them to the Russian environment.

Strongly Agree *Agree* *Neutral* *Disagree* *Strongly Disagree*

38. Equality between the partners is an important factor for achieving the objectives of a partnership.

Strongly Agree *Agree* *Neutral* *Disagree* *Strongly Disagree*

39. We have difficulties in managing the budget.

Strongly Agree *Agree* *Neutral* *Disagree* *Strongly Disagree*

40. We would like to be able to initiate activities and ideas more in our partnership.

Strongly Agree *Agree* *Neutral* *Disagree* *Strongly Disagree*

41. There have been great changes in the quality of our partnership over time. We now feel the partnership is of greater benefit to us than to our American partners.

Strongly Agree *Agree* *Neutral* *Disagree* *Strongly Disagree*

42. Informal communication with our partner is always difficult. We prefer to have formal meetings at which discussion points and agreements are carefully recorded, to avoid misunderstanding.

Strongly Agree *Agree* *Neutral* *Disagree* *Strongly Disagree*

V. Partnerships in the Future. In this final section, we would like your views on the future of your partnership and your recommendations for other partnerships.

43. Do you see your partnership in any way as "permanent"?

__ Yes
__ No (go to Question 48)

44. If yes, will the partnership continue to involve joint activities in Russia or will it be more in the nature of occasional communication, personnel exchanges, etc.?

__ Joint activities
__ Occasional personal communication
__ Regular written communication and sharing of materials
__ Personnel exchanges
__ Other, please specify _____

_____

_____

45. What sources of financing will you use to sustain the partnership? (Can indicate more than one)

__ Grants we are getting or hope to get from international organizations
__ Fees from services we provide or publications (or other goods) we sell or other payments we get from our activities
__ Russian government support
__ Membership contributions
__ Other, please specify _____

_____

46. How much financing do you need to sustain your partnership for a year?

__ Less than $1,000
__ Less than $10,000
__ Between $10,000 and $50,000
__ $50,000 - $250,000
__ $250,000 - $1,000,000
__ More than $1 million
__ Can't tell--it varies year by year or it depends on what our work plan is

47. What sorts of expenses are necessary to sustain your partnership?

__ Funding for joint activities in Russia
__ Funding for personnel exchanges (plane fare, per diem)
__ Costs of mail, E-mail, and faxes
__ Phone costs
__ Other, please specify

48. If you do not see your current partnership as permanent, why not?

__ It depends on having international financing and right now we don't know about future financing
__ We have learned all we can from this partnership
__ We are strong enough to work on our own
__ We don't particularly enjoy working with our partner organization
__ The political situation in Russia makes it difficult to have a permanent American partner
__ We would like to develop new partnerships with other organizations
__ Other, please specify _____

_____

49. Would a partnership with a Russian organization (for example, in another city, or in a complementary field) be as useful to you as your partnership with an American organization?

__ Yes
__ No

If yes, why?_____

If no, why not?_____

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50. Do you have any other "lessons of experience" with regard to partnerships between American and Russian organizations which you would like to share??

____
____
____

51. What kind of support you would like to have from USAID in future?

____
____
____

Thank you for taking the time to respond to this survey! USAID will send you a copy of the final report of this partnerships study.

= =

American Survey of Partnerships

Name ______________________
Organization ______________________
Date Questionnaire Completed ______________________

This survey is part of a study by USAID of partnerships between Russian organizations and American organizations. USAID is interested in better understanding what kind of partnerships are successful, and we would like your opinion of your partnership experience.

I. Organizational Data. In this section, we would like to record some of the factual information about your organization and your partnership with ______________________ ______________________ (fill in the name of your Russian partner, please).

1. When was your organization/institution founded?

__ before 1992
__ 1992
__ 1993
__ 1994
__ 1995
__ 1996

2. What is the size of your organization/institution?

______ Total number of employees (professional and support staff)
______ Number of members (if a membership organization)
______ Annual budget (from all sources, in dollars)

3. What is the legal status of your organization/institution?

__ Registered American charitable organization
__ Affiliate of a registered American charitable organization
__ Affiliate of an American nongovernmental organization
__ Private business organization
__ Government organization
__ Other, please specify _____
_____

4. The partnership has been actively planning and implementing joint activities since:

__ before 1992
__ 1992
__ 1993
__ 1994
__ 1995
__ 1996

5. Who was the initiator of the partnership idea?

__ We (the American partner) did.
__ The Russian partner did.
__ We jointly thought of the idea.
__ Someone else, please explain _____
_____

6. Do you and your partner-organization have any kind of formal agreement/governing your relationship?

__ Yes. What kind?_____
__ No.

7. What is the number of people currently involved in partnership from the American side (professionals plus support staff)?
On a full-time basis ____
On an occasional basis ____

8. What is the number of people currently involved in partnership from the Russian side?
On a full-time basis ____
On an occasional basis ____

9. Are any of the Russian partner-organization representatives resident in the U.S.?
__ Yes
__ No

10. Do you send personnel to visit your Russian partner, or vice versa?

__ Yes. (How many per year?_____)
__ No.

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11. It is planned that the partnership will continue:

__ until the end of the current funding (What year? ____)
__ as long as there is useful work to do together
__ as long as there is continued funding
__ on a more limited basis, from time to time over the next several years

12. The principal objective of the partnership right now is:

_____

_____

Was this your initial objective? If not, what was it?

13. How would you rate progress toward achievement of this objective?

__ We have achieved or have nearly achieved everything we set out to do.
__ Much has been accomplished, it will be completed by the end of the funding.
__ Some things have been accomplished, but difficulties have prevented us from achieving all we wanted.
__ Not much progress has yet been made, we have just begun.
__ Not much progress has yet been made, it has been difficult to solve all the start-up problems.
__ Other, please specify_____

_____

_____

II. Resources.

In this section we would like to have some information about the resources which this partnership is using.

14. What is the approximate annual budget for activities being undertaken by your partnership?

__ Less than $50,000
__ $50,000 - $250,000
__ $250,000 - $1,000,000
__ More than $1 million
__ Can't tell -- it varies year by year

15. Do you manage budget jointly?

__ Yes, but we each have specific areas of control.
__ Yes, we do make all decisions jointly.
__ No, the Russian partner makes all decisions.
__ No, we each have control of specific accounts which are separate.

16. How much financial support has this partnership received to date from USAID?

__ Exact amount _____(Indicate $ or Rubles)
__ Don't know, Russian partner keeps books
__ Can only estimate:
  __ Less than $50,000 so far
  __ $50,000 - $250,000 so far
  __ $250,000 - $1,000,000 so far
  __ More than $1 million so far

17. Has the partnership ever received financial support from: (may check more than one)

__ American businesses
__ American state and/or local government contributions
__ Private international donations
__ Other international foundations (such as Soros, Eurasia, etc.)
__ Membership contributions
__ Sale of services
__ Competitive awards from various projects
__ Other, please specify_____
_____
__ None

18. Has the partnership ever received any in-kind support (for example, free office space, the grant of a computer, etc.) from:

__ American businesses
__ American state and local government contributions
__ Private international donations
__ Contributions from other international foundations (such as Soros, Eurasia, etc.)
__ Membership contributions
__ Competitive awards from various projects
__ Other, please specify_____
_____
__ None.

19. Has the partnership ever undertaken any fundraising activities

__ In Russia
__ In the U.S.
__ In other countries
__ No fundraising activities.

20. What fundraising techniques have you used? (indicate one or more)

__ Writing applications for grants, either solicited or unsolicited
__ Personal visits to individuals or groups who might provide support
__ Sales of services or products to public
__ Collection of fees for various services or activities
__ Membership drives
__ Other, please specify_____
_____

21. Does your partnership involve volunteer workers, that is, people who work with you and/or provide specific services with no pay?

__ Yes
__ No

22. What percentage of the total cost of activities undertaken by the partnership in the last year were covered by USAID support?

__ 100%
__ More than half, but not all
__ Between 25% and 50%
__ Less than 25%

23. Has the percentage of the total cost of activities you implemented with your partner covered by USAID support increased or decreased since the partnership started?

__ Increased.
__ Decreased.
__ No change.

24. Is securing financing for your partnership a major issue?
__ Yes
__ No

25. How much of management time is spent on assuring finances? (Meaning: how much time is spent by your whole management team, not by individual)

__ 100%
__ More than half, but not all
__ Between 25% and 50%
__ Less than 25%

III. Benefits of Partnerships. In this section, we would like to know your views as to the benefits or disadvantages of the partnership as far as your own organization is concerned.

26. What do you think is the principal benefit to your organization of your partnership with a Russian partner? (Check only one)

__ Money
__ New ideas with regard to actions which my organization could undertake
__ New skills in planning and managing organizational development
__ Strengthening our organization in a number of ways
__ Experience in carrying out certain kinds of activities which we have never done before
__ Ability to undertake an activity which required inputs which our organization did not have on its own
__ Other, please specify _____
_____

27. What is the principal disadvantage of having a Russian partner? (Check only one)

__ People are suspicious of the partner and won't work with us
__ Russian partner controls all the money
__ Russian partner doesn't understand the local situation
__ Russian partner is too far away to react quickly and provide advice or services on a timely basis

__ The people working for the Russian partner organization do not always stay with the organization so we are always having to break in new people
__ Other, please specify _____

_____

28. Do you think that your Russian partner values the partnership with you for reasons which you do not share?

__ Yes
__ No

29. What do you think is the principal benefit of the partnership for your Russian partner? (Check only one)

__ Financial gain
__ New contacts with a new group of people in the U.S.
__ Activities in the U.S. strengthen the organization in a number of ways
__ Provides experience in carrying out certain kinds of activities which they have never done before
__ They are able to undertake an activity which required inputs which their organization does not have on its own
__ Other, please specify _____

_____

30. How would you compare the benefit your organization receives from the partnership from the benefit which your Russian partner is receiving?

__ About equal. We both get the benefits we expect
__ Russian partner benefits more than we do
__ We benefit more than the Russian partner does
__ Russian partner gets most of the benefit and we get very little
__ Other, please specify _____

_____

31. Have you ever discussed the benefits associated with the partnership with your Russian partner?

__ Yes
__ No

32. Have you made any changes in your partnership agreement in order to increase the benefits you are deriving from the partnership?

__ Yes
__ No

33. If yes, what kind of changes did you make?

_____
_____
_____

IV. Managing the Partnership. In this section we would like to know a little more about how manage your partnership. Please circle your opinion of each of the statements.

34. Our Russian partners dominate the partnership: make decisions without consulting us, manage all the money without always sharing details, and lead in the definition of our work plan.

Strongly Agree *Agree* *Neutral* *Disagree* *Strongly Disagree*

35. We on the American side are in charge of the partnership's work plan and activities.

Strongly Agree *Agree* *Neutral* *Disagree* *Strongly Disagree*

36. It is relatively easy to discuss problems with our Russian partners.

Strongly Agree *Agree* *Neutral* *Disagree* *Strongly Disagree*

37. When we meet with our Russian partners, we find that their approaches and ideas often need substantial change to adapt them to the American environment.

Strongly Agree *Agree* *Neutral* *Disagree* *Strongly Disagree*

38. Equality between the partners is an important factor for achieving the objectives of a partnership.

Strongly Agree *Agree* *Neutral* *Disagree* *Strongly Disagree*

39. We have difficulties in managing the budget.

Strongly Agree *Agree* *Neutral* *Disagree* *Strongly Disagree*

40. We would like to be able to initiate activities and ideas more in our partnership.

Strongly Agree *Agree* *Neutral* *Disagree* *Strongly Disagree*

41. There have been great changes in the quality of our partnership over time. We now feel the partnership is of greater benefit to us than to our Russian partners.

Strongly Agree *Agree* *Neutral* *Disagree* *Strongly Disagree*

42. Informal communication with our partner is always difficult. We prefer to have formal meetings at which discussion points and agreements are carefully recorded, to avoid misunderstanding.

Strongly Agree *Agree* *Neutral* *Disagree* *Strongly Disagree*

V. Partnerships in the Future. In this final section, we would like your views on the future of your partnership and your recommendations for other partnerships.

43. Do you see your partnership in any way as "permanent"?

__ Yes
__ No (go to Question 47)

44. If yes, will the partnership continue to involve joint activities in the U.S. or will it be more in the nature of occasional communication, personnel exchanges, etc.?

__ Joint activities
__ Occasional personal communication
__ Regular written communication and sharing of materials
__ Personnel exchanges
__ Other, please specify _____

_____

45. What sources of financing will you use to sustain the partnership? (Can indicate more than one)

__ Grants we are getting or hope to get from international organizations
__ Fees from services we provide or publications (or other goods) we sell or other payments we get from our activities
__ U.S. government support at any level
__ Membership contributions
__ Other, please specify _____

_____

46. How much financing do you need to sustain your partnership for a year?

__ Less than $1,000
__ Less than $10,000
__ Between $10,000 and $50,000
__ $50,000 - $250,000
__ $250,000 - $1,000,000
__ More than $1 million
__ Can't tell--it varies year by year or it depends on what our work plan is

47. What sorts of expenses are necessary to sustain your partnership?

__ Funding for joint activities in Russia
__ Funding for personnel exchanges (plane fare, per diem)
__ Costs of mail, email, and faxes
__ Phone costs
__ Other, please specify

48. If you do not see your current partnership as permanent, why not?

__ It depends on having international financing and right now we don't know about future financing
__ We have learned all we can from this partnership
__ We are strong enough to work on our own

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__ We don't particularly enjoy working with our partner organization
__ The political situation in Russia makes it difficult to have a permanent American partner
__ We would like to develop new partnerships with other organizations
__ Other, please specify _____

_____

49. Would a partnership with an American organization (for example, in another city, or in a complementary field) be as useful to you as your partnership with a Russian organization?

__ Yes
__ No

If yes, why?_____
If no, why not?_____

50. Do you have any other "lessons of experience" with regard to partnerships between American and Russian organizations which you would like to share??

_____
_____
_____

51. What kind of support you would like to have from USAID in future?

_____
_____
_____

Thank you for taking the time to respond to this survey! USAID will send you a copy of the final report of this partnerships study.

Annex 13C

Russian - American Partnerships financed by USAID -- Contact Information

		RUSSIAN PARTNER					AMERICAN PARTNER					
Sector	*Names of Partners (umbrella organization in brackets)*	*Postal Address*	*Contact Person (s)*	*Dept. or title of contacts*	*Office Phone*	*E-mail address*	*Postal Address*	*Contact Person (s)*	*Dept. or title of contacts*	*Office Phone*	*Office Fax*	*E-mail address*
STRATEGIC OBJECTIVE 1.3 ACCELERATED DEVELOPMENT AND GROWTH OF PRIVATE ENTERPRISES												
BUSINESS	Creativity Association,The Russian Association of Women Business Owners, Alliance of American and Russian Women / AID to Artisans (World Learning)	Moscow 129626 Alleaya Zhemchugovoi, 1, build. 1, apt. 61	Elena Alyshina	Program Director	(095)370-5237 (t/fax)	lena@aarw.msk.su	14 Brick Walk Lane, Farmington CT 06032	Claire Brett Smith	President	(203) 677-1649	(203) 676-2170	atausa@aol.com
	Russian Association of Territorial Bodies of Highway Adminstration (RADOR) / American Road and Transportation Builders Association (ARTBA) (IREX)	RADOR 9 Rota Street, 16, Building 3, Moscow 107061	Alexander Afanasiev	General Director	(095) 963-2033 / 964-3720 fax	net@mador.msk.su	1010 Massachusetts Ave NW, Washington DC 20001	Tracy Busch	International Affairs Specialist	(202) 289-4434	(202) 289-4435	staff@abs-hq.net
	Russian Chamber of Commerce and Industry / Center for International Private Enterprise (CIPE) (IREX)	Center for Business Education Chamber of Commerce and Industry of the Russian Federation (RCCI) 6 Ilyinka Moscow 103684	Alexander Udachin	Deputy Chief	(095) 929-0158/0316/02 27/0365 (fax)	tppr@rfcci.rospac. msk.su	1615 H St. NW, Washington DC 20006	Stephen Deane	Project Manager	(202) 463-5901	(202) 887-3447	sedeane@aol.com
	Krasnoyarsk State University / Wahington State University	Russian Federation 660014 Krasnoyarsk 44, Telmana Street Yakhont Hotel	Andrea La Fayette-Fisher	Country Director	(3912) 23-79-47	andrea@bircenter. krasnoyarsk.su	Washington State University, 401 W. 13th St., Vancouver WA 98660-2806	Robert Tolar	Project Director	(206) 696-6431	(206) 696-6431	tolar@ vancouver.edu
	Nizhny Novgorod Vozmozhnost "Microbusiness Incubator and Leasing Activity" / Opportunity International "Microbusiness Incubator and Leasing Activity"	Russian Federation 603005 N.Novgorod, B. Ponkrovskaya 25, apt. 14	Stacie Schrader	Country Coordinator	(8312) 33-72-27 (t/fax)	103001.737@comp usarve.com	Opportunity International, P.O. 3695, OakBrook, Il 60522	Dennis Ripley	Executive Vice President	(708) 279-9300	(708) 279-3107	103001.737@ compuserve.com
	Rostov Soprichastnost "Microbusiness Incubator and Leasing Activity" / Opportunity International "Microbusiness Incubator and Leasing Activity"	Russian Federation 344019, Rostov-on-Don 91/91 Beregovaya Pervaya Liniya	Christopher Pitt	Director	(8632) 53-41-33 (t/fax)		Opportunity International, P.O. 3695, OakBrook, Il 60522	Dennis Ripley	Executive Vice President	(708) 279-9300	(708) 279-3107	103001.737@ compuserve.com
	Russian Initiative for Self Employment (RISE) / Center for Citizens Initiatives(CCI)	Nancy Glaser Russian Federation, St. Petersburg 197348, Aerodromnaya 4,room. 307	Nancy Glaser	Program Director	(812) 394-7355/0659 (t/fax)	icci@sovam.com	Center for Citizens Initiatives, 3268 Sacramento St., San Francisco CA 94115	Dale Weedles	Vice President	(415) 346-1875	(415) 346-3731	
	Kola Business Deviopment Center / Geonomics Institute (Eurasia Found.)	Minining Institute, Kola Science Center 24 Fershman St. 184200 Apatity, Murmansk Oblast	Nikolai Melnikov	Director	(47789)14-140	kolar.isc-mine. murmansk.su	Geonomics Institute, 14 Hillcrest Ave., Middlebury VT 05753	Robyn Young	Senior Program Officer	(802) 388-9619	(802) 388-9627	
HOUSING REFORM	All Russian Fund for the Promotion of Individual Flats / Urban Homestead Assitance Board (UHAB)(IREX)	Citizens Foundation, Smolenskiy Boulevard, 17, Moscow, 119121	Igor Kokarev	President	(095) 244-0042/ 230-2200		UHAB, 40 Pince St., 2nd Floor, New York NY 10012	Dan Karan	Project Director	(212) 226-4119	(212) 966-3407	HN580@ connectinc. com
AGRICULTURE	Ministry of Agriculture and Provisions of the Russian Federation,Tatar Institute of Retraining and Agribusiness / Texas A&M Agriculture Economics Department (IREX)	1) Russian Academy of Management and Agribusiness , 15 "B" Orenbugskaya st. Moscow, 111621 (2) 12 Pushkinskaya Street, St. Petersburg, 189626	1) Boris Shaitan, Ivan Perov 2) Alexey S. Malakhov	1) Rector, Moscow Project Assistant 2) Rector of Academy	(095) 700-0843/0667/8/ 9 (fax) 2) 700-0847 (t/fax)	1) shaitan@ rastp.msk.ru 2) rechapin@ tamu.msk.ru	Texas A&M University, College Station TX 77843-2124	J.D. McCrady	Project Coordinator	(409) 862-8965	(409) 862-3019	jd_mccrady@ tamu.edu
	Russian Grain Union / U.S. Feed Grains Council (IREX)	1) Center for Feed Manufacturers and Livestock Prodedures, Ul. Metallurgichuskaya, 92. Samara 443097 (2) Russian Grain Union, Moscow 113324, Dmitrovskaya hihgway.,11 Room #318	1) Natalya Vasileva 2) Boris Yukish	1) Director 2) President	1) (8462) 22-8587/ 58-9263 (fax) 2) (095) 976-2126/1428 (fax)	1) fgcsam@ sovcust.sprint.com 2) fgcrgu@ sovcust.sprint.com	US Feed Grains Council, 1400 K St. NW, Suite 1200, Washington DC 20005	Richard Vogen	Director of International Operations	(202) 786-0789	(202) 898-0522	usfgc. wdc@ usfgc.sprint.com
	Nizhinii Novgorod State Agriculture Academy / Iowa St. University College of Business (IREX)	Continuing Education Center, Nizhny Nov. 603107, 97 Gagarin Avenue	Andrei Novotorov, Alexei Galkin	Director, Rector	1) (8312) 660600 (t/fax)	andrew@ nnov.nnsaa.ru	Iowa State University, 106 E.O. Building, Ames IA 50011	Augie Ralston	Project Director	(515) 294-9355	(515) 294-3525	aralston@ iastate.edu
	Intercenter Cooperative, Petrobank of Petrozavodsk, Petrozavodsk Palace / Ben and Gerry's (CNFA)	Petrozavodsk, Karelia	Vasiley Makeev		(81400)7-4108/4-8728 (fax)		Ben & Jerry's Homemade P.O. 240, Route 100, Waterbury, VT 05676	Bram Kleppner		(802) 244-6955	(802) 244-5944	
	Hozyain "Owner" Group of Private Farmers, "Open Spaces" Privatized Farm / ConAgra (CNFA)	1) Lukyanenko Nii Selkhoz, Krasnodar, 350012 2) "Open Spaces", selo Privolnoye, Krasnodar Kray	1) John Satter 2) Anatoliy Kochugurov		1) (8612) 507-907/562-795 (fax) 2) (86164) 536-95/429-88		ConAgra Diversified Products Companies, 6866 Washington Avenue South, Eden Prairie, MN 55344	Jim Watkins		(612) 942-3229	(612)942-3271	
	Glebovsk Poultry Production Association Exportkhleb / Continental Grain (CNFA)	Glebovsk Poultry Production Association, Exportkhleb, Istra, Moscow Region, 14-184, Sr. Pereyaslavskaya, Moscow 129110	Anna A. Strelkova		(095) 974-1244		Finagrian S.A., av. Eugene-Pittard, 16, Case Postale 351, 1211 Geneva, Switzerland	Raymond Rodgers		41 (22)702-0702	41(22)702-0515	
	Georiglevsk Agro-Industrial Company / Heinz (CNFA)	53, Oktyabrskaya Ul., Georgievsk, Stavropol Kray, 357800	Alexandr Gaevoy		(095) 238-6883 915-7772 (via Moscow)		H.J. Heinz Co. Ltd., 600 grant Street, Pittsburgh, PA 1521902857	Brian Falck		(412) 456-5707	(412) 456-7672	

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		RUSSIAN PARTNER					AMERICAN PARTNER					
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	AGROSIB, Iskitim Machine-Building Factory / Ibberson {CNFA}	AGROSIB, Krasny Prospect, 184, Novosibirsk, 630049	Sergey Krivoshey		(3832) 26-9592 (t/fax)		Ibberson International, inc. 825 Fifth Street, South Hopkins, MN 55343-7750	David Berg		(612) 939-8960	(612) 939-0451	
	Oktiabrsky Fish Plant, Muskoy Beter, Akvandt, Raduga / Magna C {CNFA}	Oktyabrskiy Fish Plant, poselok Morskoy Veter, Kamchatka Region	Victor Petrenko		(41500)26-768		Magna C inc. 5517 Seaview Ave., NW Seattle, WA 98107	Lois DuPey		(206) 781-8586	(206) 781-0682	
	Primorsky Krairybolovpotrebsoyuz, Dalryba Spassk, / TPC Foods {CNFA}	KRPS and Dalryba, Spassk, Vladivostok and Nakhodka, Primorskiy Kray			(4232) 26-4683/28-8888 (fax)		TPC Foods, Inc. P.O. Box 19818, Seattle, WA 98109	Randy Gebhardt		(206) 285-8200	(206) 285-1714	
	ROSAM Ltd., AKKOR, Chapova AG Firm / Ventures East {CNFA}	Shchapovo AG Firm, Moscow Region, 32-1-103, Suvorovskaya, Moscow	Veniamin Shalomov		(095) 963-2555/4124		Ventures East, 24000 Hwy, Suite 115, Excelsior, MN 55331	Vladimir Gribovskiy		(612) 472-4469	(612) 470-6164	
	Efremovski Corn Kombinat / Cargill {CNFA}	Efremovskiy Corn Kombinat, Molodezhnaya, Efremov, Tula Region	Garrit Hewtin		(095) 290-9716 931-9756 (fax)		Cargill International Seeds, P.O. 5724, Minneapolis, MN 55440-5742	Nancy Ballsrud		(612) 742-6174	(612) 724-8969	
ECONOMIC	International Pedagogical University, Magadan State University, Yakutsk State Pedagogical Institute Yuzhno-Sakhalinsk / University of Alaska, Anchorage American Russian Center {IREX}	1) Yakutsk, 677000, Yakutsk State Univ., Institute of Economics, Ul. Ammorsova,4, kv.3 (2) Magadan, Magadan International Pedagogical Univ. 16 Portovaya Street (3) Yuzhno-Sakhalinsk 693000, Sakhalin State Pedagogical Institute	1) Natalya Chiryava 2) Galina Golubkova 3) Boris Misikov	1) Head of Economics and Management Department 2) Head of Economics Department 3) Rector	1) (41122) 62-289/52-239 (50985) 4-3005 (fax) 2) (41322) 3-4337/0538 (fax) 3) (42422)3-2985 (50995)1875 (fax)	1) rabc@talanov .magadan.su 2) mvv@yucnit. yacc.yakutia.su 3) arc@ sovcust.sprint.com	American Russian Center, 3211 Providence Dr., Anchorage AK 99508	Charles Neff	Director	(907) 786-1786	(907) 786-7739	afgtp@ orion.alaska.edu
	Pskov Center for Regional Planning and Deviopment / University of Massachusetts {IREX}	Pskov Polytechnical Institute Center for Regional Planning and Development or Vladimir Andreyev Vice Director, Pskov 180680, L. Tolstoi 4	Alexander Zadonstsev	Director	(811) 246-1372/ 222-2938 (fax)	alex@crp.pskov.su	Dept. of Landscape Architecture and Reg. Landscaping, Univ. of Massachusetts, Amherst MA 01002	Meir Gross	Dept. Head	(413) 545-6625	(413) 545-1772	meirgross@ larp.umass.edu
	St. Petersburg University School of Management / University of California Berkeley Haas School of Management {Eurasia Foundation}	School of Management, 199155 St. Petersburg, per. Dekabristov, 16	Dr. Yury Pashkus	Dean of School of Management	(812)350-0406	pashkus@som.sbu .su	Univ. of California at Berkeley, The Regents of the Univ. of California, Berkeley CA 94720	Dwight Jaffee	Professor	(510)642-4041	(510) 642-2826	
	Moscow State University / American Institute of Business and Economics {Eurasia Found.}	117234 Moscow, Moscow State Unviersity, Main Building A-416	Dr. Dmitri Pushchrevski	Assistant Dean of Geology Department	(095) 939-1222/23		American Institute of Business and Economics, 216 Bliss Lane, Great Falls VA 22066	Edwin Dolan	President	(703) 759-2507	(703) 759-3389	
	Scientific Research Institute of Mechanics and Applied Mathematics (IMAM) Rostov State University / Citizen Exchange Council International Partners {Eurasia Found.}	Rostov-on-Don 344104, 200/1 Stachki	Dr. Fedor Alekseevich Surkov	Deputy Director	(8632) 28-9755/0194/598 5 (fax)	sur@ciem.rnd.su	CEC International Partners, 12 W. 31 St. New York NY 10001	Mary Shea	Director	(212) 643-1985	(212) 643-1996	cecny@igc.apc.org
STRATEGIC OBJECTIVE 1.5 A MORE ECONOMICALLY AND ENVIRONMENTALLY SOUND ENERGY SYSTEM												
ENERGY	Vladimirobigas / Brooklyn Union {USEA U.S. Energy Agency}	Vladimirobigaz, 3 Krasonznamennaya St., 6000717 Vladimir	Vladimir Tarasenko	General Director	(09222)3-7245/49 85		Brooklyn Union Gas, One Metro Tech Center, Brooklyn. NY 11201-3851	Anthony DiBrita	Senior Vice President	(718) 403-2437	(718) 643-2277	
	Penzagas / Colombia Gas Company {USEA}	Penzagazifikatsiya, 50 Gorky St., 44062 Penza	Victor Kuzin	General Director	(88412) 66-3358/3649 (t/fax)		Columbia Gas, 200 Civic Center Dr., P.O. Box 117, Columbus OH 43216-0117	James Lee	Executive Vice President	(614) 460-6413	(614) 460-6455	
	Lenenergo / Entergy Corporation {USEA}	Lenenergo, 1 Marsovo Pole, 191186 St. Petersburg	Vladimir Chernyshov	Director	(812) 219-3886/3477		Chairman's Office, Entergy Corporation P.O. Box 61005, New Orleans, LA 70161	Matt Jordan	Manager			
	Nizhnovenergo / Illinois Power Company {USEA}	Nizhnovenergo, 33 Mayakovskogo St., 603600 Nizhny Novgorod	Valery Titov	Deputy Director	(8312) 31-9350/2303		Illinois Power Company, 500 South 27th St. Decatur, IL 62525-6860	Richard Eimer	Vice President	(217) 424-6860	(217) 362-7417	
	Sibirgazservis / National Fuel Gas {USEA}	Sibirgazservice, 5 Revolution St., 630093 Novosibirsk-93	Victor Pyanov	General Director	(3832) 10-3503/2892 (fax)		10 Lafayette Square, Buffalo, NY 14203	Walter DeForest	Senior Vice President	(716) 857-7861	(716) 827-5515	
	Samaragaz / Questar {USEA}	Samaragaz 18a L. Tolstogo St., 443010	Yefim Veisman	General Director	(8462) 32-3061/0847 (fax)		Questar Corporation, 180 East First South, P.O. Box 11150	Clyde Heiner	Senior Vice President	(801) 534-5136	(801) 534-5483	
	Independent Mine Workers (NPG) / United Mine Worker's {PIER Partners in Economic Reform}	Christine Mulligan, 15 Novy Arbat, room 2101 Moscow Russia 121910	Christine Mulligan	Head of Pier Project	(095) 202-3569\fax 203-0598	pier@glas.apc.org	Partners in Economic Reform, 1730 Rhode Island Avenue, NW, Suit 303 Washington, DC 20006	William Meagher	Executive Director	(202) 466-7473		

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		RUSSIAN PARTNER					AMERICAN PARTNER					
Sector	*Names of Partners (umbrella organization in brackets)*	*Postal Address*	*Contact Person (s)*	*Dept. or title of contacts*	*Office Phone*	*E-mail address*	*Postal Address*	*Contact Person (s)*	*Dept. or title of contacts*	*Office Phone*	*Office Fax*	*E-mail address*
	Russian Energy Mangers Association (REMA) / Association of Energy Engineers (AEE)	54,Korpus 4 Novocheremushkinskaya St., Moscow Russia 117418	Victor P. Gritsina	Executive Director	(095) 120-5147\fax 120-9209 or 883-9563 call first	cenef@ glas.apc.org	Association of Energy Engineers, 4025 Pleasantdale Road, Suite 420, Atlanta, GA 30340-4264	Barbara Stroup	Executive Administrator	(770) 447-5083	(770) 446-3969	barbara@aeecenter.org
	Rosgas / American Gas Association (USEA)	24 Bolshaya Dmitrovka, Room 407, Moscow, 103824	Alexander Kolesov	Chief of Protocol	(095) 229-7313 926-8133 (fax)		American Gas Association, 1515 Wilson Blvd., Arlington VA 22209	Nelson Hay	Vice President - Intern. Affairs	(703) 841-8475	(703) 841-8697	
STRATEGIC OBJECTIVE 2.1 INCREASED, BETTER INFORMED CITIZENS' PARTICIPATION IN POLITICAL AND ECONOMIC DECISIONMAKING												
MEDIA	Vladivostok News / The News Tribune (Media Devmt. Project)		Nonna Chernyakova		(4232) 28-7115	news@estv.iasnet.ru	Sister Cities International, 120 South St., Alexandria VA, 22314	Aaron Lamar	Russian Partnership Director	(703) 836-3535	(703) 836-4815	Telex: 401565
	Ural State University, Yekaterinburg / University of North Carolina Department of Journalism (Media Devmt Project)	Ural State University	Boris Lozovskiy	Dean of Journalism Department	(3432) 55-8001/56-9112 (fax)		University of North Carolina Chapel Hill, CB3363 Howell Hall, Chapel Hill, NC 27599-3365	Cathy Parker			(919) 962-0620	
	Moscow State Academy of Law / The Benjamin N. Cardozo School of Law at Yeshiva University & The Nation Institute (Media Devmt Project)	Media Law Center, P.O. Box 229, Moscow, 121019	Andrei Richter		(095)203-6571	arichter@ glas.apc.org	Brookgate Center, 55 Fifht Av., New York, NY 10003	Sue Folder		(212) 790-0402	(212) 790-0205	suefolger@ aol.com
	Abmedia / RISK (Media Devmt. Project)	Risk Film Production Studio 4 Likhov Per., 103051, Moscow	Igor Grigoriev		(095)209-4055		Abamedia, LP, 4025 Tamworth Rd., Fort Worth TX 76116	J. Mitchell Johnson	President	(817) 336-0777	(817) 336-0858	
	Russian National Association of Telebroadcasters / National Association of Broadcasters (Media Devmt. Project)	15-1, Ilinka Ul., Moscow, 103070	Elena Zlotnikova		(095) 206-8426/9523/08 86/8927 (fax)	nat@ natelebr.msk.ru	National Assoc. of Telebroadcasters, 1771 N St. NW, Washington DC 20036	Terri Rabel		(202)424-5300		
	Russian Television Development Foundation / The US Academy of Television Arts and Sciences (Media Devmt Project)		Alexei Mitrofanov		(095)251-4064		RTDF/ART Los Angeles Rep. Office - c/o ATAS National Headquarters, 3220 Lankershine Blvd., North Hollywood CA 91604	Mikel Pippi		(818) 769-8489	(818) 760-0661	
	Tomsk TV-2 / Downtown Community Television (Media Devmt. Project)	Yeilzarovykh, 70A, Tomsk 634048	Arkadiy Malofis	Station Manager	(3822)26-5884		Downtown Community Television, 87 Lafayette Street, New York, NY 10013	Jon Alpert	Executive Director	(212) 219-0248		
	SKATE press / Multinational Stradegies and Bloomberg (Media Devmt. Project)	16 Vyborgskaya St., Floor 5, Moscow, 125212	Sergey Skaterschikov		(095) 232-9272/3/4/5/17 69 248-2859 (fax)	index@ skate.msk.su media@ skate.msk.su	67 Irving Place, New York, NY 10003	Judy Weddle		(212) 674-2677	(212) 533-7449	jkweddle@ aol.com
	Gorodskie Vesti"Concern / Boles, Morgan, & Canino, Inc. (Media Devmt. Project)		1) Anatoly Karman 2) Valentin Kiverin	1) Editor-in-Chief 2) Deputy Director	(8442)36-1387/ 33-7333		Boles, Morgan and Canino, Inc. 102 South Street, Suite 505, Florence, Alabama, 35630	Van Morgan		(205) 740-8234	(205) 740-8203	
	Vladivostok" Newspaper / Art Pattison Communication Exchange (Media Devmt. Project)	10 Krasnogo Znameni, Vladivostok, 690600,	Nashi Syedain		(4232)25-0471 0397 22-1642 (fax)	100742.354@ compuserve.com	26411 218th Av., SE, Seattle, Maple Valley, WA 98038	David Edicott		(206)292-8255	(206) 682-1697	
	Fax Magazine / University of North Carolina (Media Devmt Project)	Journalism Department Ural State University	Boris Lozovskiy	Dean	(3432) 55-8001/56-9112 (fax)		University of North Carolina Chapel Hill, CB3363 Howell Hall, Chapel Hill, NC 27599-3365	Mary Alice Shaver		(919) 962-6421		
CIVIC INITIATIVES	Moscow Charity House / Access Exchange International (World Learning)	11Novy Arbat, Moscow	Galina Bodrenkova	President	(095) 291-3041/ 292-9127		112 San Pablo Ave., San Francisco CA 94127	Thomas Rickert	Executive Director	(415) 661-6355	(415) 661-1543	
	Local Goodwills in Moscow, St. Petersburg, Rybinsk / Goodwill Industries (World Learning)	6/9, 36 Sredniy Karetny per, Moscow, 103051	1) Vera Karpenkova 2) Elena Chumak (St. Petersburg) 3) Vyacheslav Grafenkov (Rybinsk)		1) (095) 917-7374/ 299-09-17/238-39 69 2) (812) 174-8417 (t/fax) 3) (08555)2-3863/40 07 (fax)	1) n/a 2) elena@goodwill.spb.su 3) root@ goodwill.yarosalvl.su	9200 Wisconsin Ave., Bethesda MD 20814-3898	Elizabeth Scott	Director, Int. Affairs	(310) 530-6500	(301) 530-1516	mjordan@clark.net
	YMCA Affiliates in CIS / YMCA of the USA (World Learning)	Moscow 127276 YMCA of the USA Field Director, ul. Acad. Koroleva, 11, kv. 35	Joe Wooten, Michail Guskov	NIS Field Director, Development Secretary	(095) 219-2067 (fax) 205-4252		101 N. Wacker Dr., Chicago, IL 60606-7386	Sam Evans	International Division Director	(312) 269-0570/17	(312) 977-9063	(800) 872-9622 (home - S.Evans)
	United Way International Moscow / United Way International USA (World Learning)	ul. Gilyarovskogo, 5	Nancy Galloway	Director	095)956-8114 (fax)	uwi@glas.apc.org	701 North Fairfax Street, Alexandria, VA 22314	Russy D. Sumariwalla	President & CEO	(703) 519-0092	(703)519-0097	uwi@igc.org

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		RUSSIAN PARTNER					AMERICAN PARTNER					
Sector	Names of Partners (umbrella organization in brackets)	Postal Address	Contact Person (s)	Dept. or title of contacts	Office Phone	E-mail address	Postal Address	Contact Person (s)	Dept. or title of contacts	Office Phone	Office Fax	E-mail address
	Moscow Research Center for Human Rights / America's Devlopment Foundation {IREX}	4 Luchnikov Perulok, Doorway 3, room 5, Moscow 103982	Alexei Smirnov, Andrei Pribylov	Executive Director, Russian Project Manager	(095) 208-0923/8853 (fax)	hcenter@ glas.apc.org	America's Development Foundation, PO Box 517, Brownsville VT 05037	Karen Diop	Director of Int. Dev. and Training	(802) 484-3810	(802) 484-0121	adfvermont@ aol.com
	The Palace of Youth and Creativity / Project Harmony {World Learning}	8 Ul. Krasnaya, Petrozavodsk, Karelia 185000	Galina Razbivnaya, Irina Maslova	Director, NIS Co-Director	(81422)73-361 (t/fax)	phstp@sovam.com leonid@dtd.pgu. karelia.su (Rus/Eng)	6 Irasville Common Waitsfield, VT 05673	Charles Hosford	Co-Director	(802) 496-4545	(802) 496-4548	pharmony@ igc.apc.org
	Vozmozhinost "Microenterprises Development Training Center" / Opportunity International "Microenterprises Development Training Center" {World Learning}	11, Pamirskaya, N.Novgorod, 603600 and 25, Bol. Pokrovskaya, Suite 14, N. Novgogrod 603008	Vera Chadaeva	Executive Director	(8312) 522-448/889/857 -0305 (fax)	sluz@ vozm.kis.nnov.su	Opportunity International, P.O. 3695, OakBrook, Il 60522	Dennis Ripley	Executive Vice President	(708) 279-9300	(708) 279-3107	103001.737@ compuserve.com
	Nizhny Novgorod Slyzheniya "Charitable Fund Activity" / Opportunity International "Charitable Fund Activity" {World Learning}	11, Pamirskaya, N.Novgorod, 603600 and 25, Bol. Pokrovskaya, Suite 14, N. Novgogrod 603008	Larisa Tsesan	Executive Director	(8312) 522-448/889/857 -0305 (fax)	sluz@ vozm.kis.nnov.su	Opportunity International, P.O. 3695, OakBrook, Il 60522	Dennis Ripley	Executive Vice President	(708) 279-9300	(708) 279-3107	oppint@attmail.co m
	Health and Environment Foundation (HEF), Association of Physicians of Don (APD) / Central European Center for Health {World Learning}	1) Pokrovka 22, Korp. 1, Moscow 2) Rostov-on- Don Oblast, 346740, Azov, ul. Izmailova, 58	Andrei Demin, Irina Demina 2) Igor Simakov	1) President, Vice President 2) Presdent of APD	1) (095) 916-5889 (t/fax) 916-5229 2) (86342) 3-0746/1784/ 4416 (fax)	1) hefrus@ glas.apc.org 2) postmaster@ adp.md.su	3333 K St NW, Suite 110, Washington DC 20007	Natalie Tomitch	Program Officer	(202) 965-5990	(202) 965-5996	ceche@ glas.apc.org
	Center for Curative Pedagogics / International Research &Exchanges Board {World Learning}	1) Moscow 117311 Center for Curative Pedagogics ul. Stroiteley, 17-B (2) IREX Moscow Office, Moscow 119842 ul. Volkhonka 14 street 5, Institute of Philosophy, 5th Floor	1) Roman Dimenstein 2) Bill Fick	1) Director 2) IREX Program Coordinator	1) (095) 131-0683 2) 203-9889/9696/56 92/5966 (fax)	1) ccp@glas.apc.org roman@ccp.msk.s u 2) fick@glas.apc.org irexmos@ glas.apc.org	1616 H St. NW, Washington DC 20006	Tony Byrne	Senior Vice President	(202)628-8188	(202) 628-8189	tonyb@igc.apc.org irex@ gwuvm.gwu.edu
	Russian Orthodox Church / International Orthodox Christian Charities (IOCC) {World Learning}	Orthodox Charity, Davilovskiy Val, 13/1, Moscow, 113191	Denis Averin		(095) 911-1535/1474 (fax) 912-4042	ioccmoscow@ glas.apc.org	711 W. 40th St., Suite 356, Baltimore MD 21211	C.W.T. Hagelman III	Director, Int. Programs	(410) 243-9820	(410) 243-9824	iocc@ igc.apc.org
	Socio-Ecological Union(SEU) / ISAR (Institute on Soviet-American Relations) {World Learning}	SEU, Moscow, Bogoayavlenski per., 3 build. 3	Lyubov Rubinchik	Director of Center for Coordination and Information (CCI)	(095) 304-2579 2051-7617	soceco@ glas.apc.org isarmos@ glas.apc.org	1601 Connecticut Ave. NW Suite 301, Washington, DC 20009	Eliza Klose	Executive Director	(202) 387-3034	(202) 667-3291	isar@igc.apc.org
	Association of Social Pedagogues and Social Workers / National Association of Social Workers (NASW) {World Learning}	Moscow 119906, ul. Karchagina, 7, apt. 40	Dr. Valentina Bocharova, Victor Victorov	President, Director	(095) 283-8492/8314/87 34 246-5799	zimmakova@ glas.apc.org	750 First Street, NE, Suite 700, Washington, DC 20002-4241	Eileen McGowan Kelly	Director, Peace and International Affaires	(202) 408-6600	(202) 336-8310	ekelly@capcon.net bbustos@ capcon.net
	Moscow Center for Gender Studies / Network of East-West Women {World Learning}	1) Moscow 117218, Ul. Krasikova, 27 (2) St. Petersburg 198097, P.O. Box 83	1) Elena Kochkina 2) Olga Lipovskaya	1) Director 2) Project Coordinator	1) (095) 332-4532 (t/fax) 395-5005 2) (812) 528-9293/1830 (fax)	1) mcgs@ glas.apc.org isepp.glas.apc.org 2) sisters@ sovam.com	1601 Connecticut Avenue, NW, Suite 300, Washington, DC 20009	Shanna Penn	Executive Director	(202) 265-3585	(202)265-3508	newwdc@ igc.apc.org
	The Foundation Agrarian Devlopment Reseach (FADR) / Rodale Institute {World Learning}	Moscow 117261, Leninskky Prospect, 85	Dr. Alexander Makeev, Dmitry Durmanov	General Director, President	(095) 932-1182 (t/fax)	admin@ fadr.msk.ru	611 Siegfriedale Road, Kutztown, PA 19530	Jonathon Landeck	International Projects Team Leader	(215) 683-1400	(215) 683-8548	jonathon_landeck. inbox@ parti.inforum.org
	Foundations for Social Innovations Moscow / Foundation for Social Innovations USA {World Learning}	Moscow 101000, Novaya ploschad, 3/4	Gennadiy Alferenko	President	(095) 928-8211/921-007 7 (fax)	fsimosc@ glas.apc.org	777 United Nations Plaza, 6th Floor, New York, NY 10017	Nellie Gregorian	Vice President	(212) 697-6222	(212) 692-9748	fsiusa@igc.org
	IREX Irkutsk, Informatin Center of the Independent Women's Forum, Raduga Education & Information Center / IREX {Save the Children}	1)Bryce Rich, Program Officer, Nizhnyaya Naberezhnaya, 6-232, Irkutsk, 660453, 2) Tatiana Konysheva, Information Center of Women's Forum, M/b 414, Moscow 119270 3) Andrei Vakulenko, Raduga Information and Education Center Rusakovskaya St., 28-199, Moscow 268-4035	1) Bryce Rich 2) Tatiana Konysheva 3) Andrei Vakulenko	1) Program Officer	1) (3952) 33-55-59 (t/fax) 2) (095) 954-4429; (095) 366-9274 395-5864 (faxes) 3) (095) 268-4035/956-796 6 (fax)	1) bryce@irex.irkutsk. su	1616 H St. NW, Washington DC 20006	Robert Huber	Senior Vice President	(202) 628-8188	(202) 628-8189	irex@info.irex.org
POLITICAL	Don Center for Political Technology / International Republican Institute {International Republican Institute IRI}	83 Bol. Sadovaya, Rostov-on-Don	Mikhail Titenko		(8632) 22-5950		Suite 900, 12112 New York Ave. NW, Washington DC 20005-3987	David Denehy	Director	7 (095) 956-9510		

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	Moscow School of Political Studies / International Republican Institute {IRI}	4-2-353, Kutuzovskiy Propspect, Moscow, 121248	Elena Nemirovskaya		(095) 940-2806/ 243-1756/ 290-4158		Suite 900, 12112 New York Ave. NW, Washington DC 20005-3987	David Denehy	Director	7 (095) 956-9510		
	Nevsky Research Foundation / International Republican Institute {IRI}		Anatoly Benienco		(812) 311-4586/ 319-9304/8/ 325-8618		Suite 900, 12112 New York Ave. NW, Washington DC 20005-3987	David Denehy	Director	7 (095) 956-9510		
STRATEGIC OBJECTIVE 2.2 LEGAL SYSTEMS THAT BETTER SUPPORT DEMOCRATIC PROCESSES AND MARKET REFORMS												
LEGAL REFORM	Interlegal / America's Deviopment Foundation {World Learning}	Moscow 117331, Ul. Marii Ulianovoy, 16/1	Nina Belyaeva	President	(095) 138-4408/5916/56 86 (fax)	nina@assist.msk.su interlegal@glas.apc.org	101 North Union Street Suite 200 Alexandria, VA 22314	Michael Miller	President	(703) 836-2717	(703) 836-3379	adf@igc.apc.org
	Interlegal / America's Deviopment Foundation {Save the Children}	Moscow 117331, Ul. Marii Ulianovoy, 16/1	Nina Belyaeva	President	(095) 138-4408/5916/56 86 (fax)	nina@assist.msk.su interlegal@glas.apc.org	101 North Union Street Suite 200 Alexandria, VA 22314	Michael Miller	President	(703) 836-2717	(703) 836-3379	adf@igc.apc.org
	The Union of Jurist of the Republic of Karelia / Vermont Bar Foundation {Associates in Rural Devmt/Checchi}		Sergey Pavshukov		(81400) 75604	root@souz.karelia.su		Honorable Justice John Dooley				'dooley@supreme.crt.state.vt.us
STRATEGIC OBJECTIVE 3.2 IMPROVED EFFECTIVENESS OF SELECTED SOCIAL BENEFITS AND SERVICES												
HEALTH/ HUMAN DIMENSION	AIDS INFOSHARE RUSSIA, Moscow Association of Lawyers, Union of Women / AIDS INFOSHARE {Save the Children}	1) Moscow Association of Lawyers Marksistski Per., 1/32, Moscow 109147 (2)Union of Women of Russia, 211, Ul. Krasny Put, Omsk 644002 (3) Together Against Aids, 3, Ul. 9th January, Ust-Izhora St.-Petersburg 188635 (4) Moscow 105037, P.O. Box 51	1) Karina Moskalenko 2) Tatiana Naumova 3) Evgenii Voronin 4) Alena N. Pyoryshkina	4) Program Director	1) (095) 912-5441/192-593 3, fax (095) 912-5441 2)23-28-06 3) (812) 265-4757 fax (812) 265-6446 4) (095) 110-2460	infoshare@glas.apc.org	743 Addison St., Suite A, Berkeley CA 94710	Julie Stachowiak	President	(510) 204-9090	(510) 843-4066	infoshare1@aol.com
	Russian Family Planning Association / Planned Parenthood of Northern New England {Save the Children}	18-20, Vadkovskiy Per, Moscow, 101479	Ludmila Kamsyuk	Deputy Director	(095) 973-1559/1917 (fax)		51 Talcott Road, Williston, VT 05495-8116	Ellen Dorsch	Director, International Affaires	(802) 878-7232	(802) 878-8001	eppnne@vbi.champlain.edu
	Savior's Hospital for Peace & Charity / Magee Woman's Hospital {AIHA} {WL,SAVE the Children}	Savior's Hospital, Federativny Prospect 17/10, 113399, Moscow	Alexander Petrovich Goldberg	Chief Physician	(095) 304-4939 / 303-9769		Savior's Hospital Project, Magee Women's Hospital, 300 Halket St., Pittsburgh PA 15213	Tanya Kotys	Coordinator	(412) 641-1189	(412) 641-4949	
	Dubna Hospital No. 9 / Lutheran Hospital and St. Francis Hospital LaCrosse, Wisconsin {AIHA }	Health Sciences Resource Center, 11, Sovetskaya, 141980, Dunna, Moscow Region	Gennadiy Smimov, Irina Dmitrievna Makarova	Deputy Mayor, Chief Specialist in Healthcare	(09621)4-0390	madina@main.jinr.dubna.su	Lutheran Hospital, 1910 S. Avenue, LaCrosse WI 54601	Sandra McCormick	Vice President	(608) 785-0530	(608) 791-6334	71075.1173@compuserve.com
	Dubna Educational Center in Dubna Hopital No. 9 / Lutheran Hospital LaCrosse, Wisconsin { World Learning}	Dubna 141980 ul. Universtetskaya, 19	Tamara Zhitnikova, Elena Titova	Clinical Coordinator, Administrative Coordinator	(221)2-2706/28-4 9 4-5698 (t/fax)	hururh@univer.dubna.ru atitov@thsun1.jinr.dubna.su	Lutheran Hospital, 1910 S. Avenue, LaCrosse WI 54601	Sandra McCormick	Vice President	(608) 785-0530	(608) 791-6334	71075.1173@compuserve.com
	Moscow EMS Training Center at Institute of Continuing Education / Austin,Tx Hospital EMS Training Center {AIHA}	Postgraduate Nursing School, 30, Volokolamskoye Shosse, Moscow	Ludmila Alexeevna Gizatulina	Director	(095) 190 7250/1		City of Austin EMS, 15 Waller St., RBJ Health Center, Austin TX 78702	Sue Edwards		(512) 469-2050	(512) 482-9407	
	Pirogov First Municipal Hospital, Moscow / Brigham and Women's Hospital Boston Massachusetts {AIHA}	Pirogov First Municipal Hospital, Leninskiy Prospect, 8, Moscow, 117334	Valeriy Vershirin, Andrey Davidovich Lishansky	Chief Physician, Deputy Chief Physician	(095) 236-9145/3151/60 69	pirogov@glas.apc.org	Richardson Fuller Building 221 Longwood Avenue, Boston MA 02115	Elena Catizone	Program Coordinator	(617) 732-8332	(617) 264-6858	aihaboston@igc.apc.org
	Government Medical Center, Moscow / Kuntsevo Premir Inc., Chicago, Illinois {AIHA}	Central Clinical Hospital, marshala Timoshenko, Str. 15, 121359, Moscowo	Marina Olegovna Ugrmova	Head of International Patients Department	(095) 414-0687 415 0710 (fax)	kuntzevo@glas.apc.org	Three Westbrok Corporate Center, 9th Floor,, Westchester, Il 60154	Sharon Weinstein	Director, Office of International Relations	(708) 409-3793	(708) 409-3499	aihaweinst@igc.apc.org
	Russian Federation Ministry of Health and Medical Industry, Institute of Pediatrics, Children's Hospital No. 13, Moscow / Children's Hospital of the King's Daughters Norfolk, Virgina {AIHA}	Ministry of Health, Rakhmanovskiy Per., 3, Moscow, 101431	Olga Nikolaevna Belova	Chief Neonatologist	(095) 274-7207/5022		Children's Hospital of the King's Daughters, 601 Children's Lane, Norfolk VA 23507	Edward Karotkin	MD, Director of Neonatal Medicine	(804) 668-7456	(804) 668-9255	
	Murmansk Regional Hospital / St. Vincent's Medical Center and Memorial Hospital Jacksonville, Florida {AIHA}	Murmansk City Health Administrarion, 20, 4th Floor, Profsoyuyznaya, 183038, Murmansk	Alexander Alexandrovich Pisarenko	Head of Muransk City Health Administration	(4778)55-53-35 91-0452(fax)		St. Vincent's Medical Center, 1800 Barrs St., Administrative Suites, Jacksonville FL 32204	Vicki Lynn Gloger	Vice President	(904) 387-7305	(904) 387-7326	aihajax@igc.apc.org

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	Stavropol Regional Hospital / Mercy Medical Center Cedar Rapids, Iowa{AIHA}	Stravropol Krai Health Adminstration, Antonia Dunchenko, Deputy Director, Stavropol Kray Regional Hospital, Semashko, 1, Stavropol, 355030	Nikolai Artemovich Shibkov	Head of Stavropol Krai Health Administration	(8652) 26-13-81/42-18/35 -29	hospital@ hospit.stavropol.su	100 East Grand Avenue Room 100, Des Moins, IA 50309	Philip Latessa	President	(515) 288-1955	(515) 282-0454	aihaiowa@ igc.apc.org
	St. Pete. Medical University / Georgia Baptist Medical Center {AIHA}	Delor Medical Center, I. Tolstoy 6/8 197089 St. Petersburg	Larisa Valerianovna Kochorova	Director	(812) 234-0989/2749		Georgia Baptist Medical Center 303 Parkway Drive, NE Atlanta, GA 30312	Charles Hancock, MD		(404) 265-4214	(404) 265-3903	aihageorgia@igc.a pc.org
	Medical Center of St. Petersburg / University of Louisville School of Medicine {AIHA}	Postgraduate Nursing School, Sokolov Medical Center, Lunacharskiy Av., 41, S-Petersburg, 194291	Jakov Alexandrovich Nakatis, Irina Sergeevna Bakhtina	Head Physician, Director	(812) 558-0508// 559-9893/9685/96 73 (fax)	aihapeter@ glas.apc.org	1220 Missouri Avenue, Jeffersonville, IN 47130	Jane Younger		(812) 283-2147	(812) 283-2688	aihalouisga@ igc.apc.org
	Vladivostok Medical Institute / Medical College of Virginia, Virginia Commonwealth University {AIHA}	City Clinical Hospital #2 and Alexander Pavlovich Partin Director, EMS Training Center, 57, Russkaya St., Vladiviostok, 69015	Sergei Pavlovich Novikov	Chief Physician	(4232) 46-18-91/89-49 32-62-77/ 49-86 (fax)	aihavlad@ glas.apc.org	Virginia Commonwealth University, 1008 East Clay St., Richmond VA 23219	Charles Breindel	Professor	(804) 828-5212	(804) 828-1894	aiharichmond@ igc.apc.org
	Center for Psychological Support / Center for Attudinal Healing {World Learning}	Russia, Moscow 123371 Box 17 for T. Ignashova	Tatiana Ignashova	Executive Director	(095) 311-9600 (t/fax)	cab@ glas.apc.org	33 Buchanan St., Sausalito CA 94965	Carolyn Smith	Project Director	(415) 331-6161	(415) 331-4545	cathel@holonet.net
	The Human Soul Foundation / The Fountain House {World Learning}	Moscow 111394 ul. Martenovskaya, 30	Igor Donenko	President	(095) 301-7204/1810 (fax) 963-13254; 964-3087	humansoul@ glas.apc.org	425 W. 47th St., New York NY 10036	Tom Sweet	Director of Education	(212) 582-0340	(212) 397-1649	
	Novosibirsk Regionall Sports Club"Finist" / Wheeled Mobility Center (SFSUF) {World Learning}	Russia, Novosibirsk 630031 ul. Frunze, 15	Irena Boskar	Wheeled Mobility Coordinator Regional Coordinator	(3832) 24-03-49/55/3801 (fax)	ncil@finist.nsk.su	2233 California St., Berkeley, CA 94704	Marc Krizack	Project Manager	(510) 548-3652	(510) 548-3652	krizack@sfsu.edu
	All Russian Society of the Disabled / World Institute on Disability {World Learning}{IREX}	Moscow 121165 Kutuzovskiy prospekt, 30/32	Tamara Zolotseva, Anatoly Lukin	Deputy Chairperson	(095) 241-2286/1880/7825/6 955/2280/8180 (fax)	mscwid@ glas.apc.org	1616 H St. NW, Washington DC 20006	Robert Huber	Senior Vice President	(510) 763-4100	(510) 763-4109	marioginsky@ delphi.com
	Compassion Center / International Rescue Committee {WorldLearning}	Moscow Komsomolskoi prosp., 9 apt. 45	Aleksey Korotaev, Marina Berkovskaya	Executive Director	(095)245-2209 (t/fax) 923-4778 (fax) 973-2094		122 42nd St. New York NY 10168-1298	Randy Martin	Regional Director of Asia & Europe	(212) 551-3000	(212) 551-3185	
	Agudath Isreal of Moscow / Agudath Isreal {World Learning}	Moscow Pervaya Brestskay ul., 60	Alexander Rabinovich	Chairman	(095)250-9202/16 (t/fax)		84 William St., New York NY 10038	Ursala Lehman	Director	(212) 797-9000 688-1222	(212)269-2843	75404.1323@ compuserve.com
	International Women's Center / Center for Devlopment and Population Activities (CEDPA) {World Learning}	Moscow 125124 Tretaya ul. Yamskogo Polya, 14/16 room 20	Alexsandr Momdjan, Natalie Grigoryeva	Director, Deputy Director	(095) 257-0436 (t/fax)		1717 Massachussets Ave. NW, #200, Washington DC 20036	Adrienne Allison	Vice President	(202) 667-1142	(202) 338-4496	cedpa_lh@cerf.net
	Russian Care / Counterpart {World Learning}	Moscow 121019 ul. Vozdvizhenka, 9, room 50-51	Andrey Stepanov	Director	(095) 290-0761/03 (fax)	counterpart@ glas.apc.org	910 17th St. NW, Suite 220, Washington DC 20006	Stan Hosle	Exec. Director	(202) 296-9876	(202)296-9879	cpfsp@igc.apc.org
	Sverdlovsk Oblast Charitable Foundation "Healthy Family" / Feed the Children, Larry Jones International Ministries {World Learning}	Russia, Ekaterinburg, 620149 Regional Children's Hospital No. 1 Ul. S. Deruabina, 32	Dr. Alexey Kulikov	President	(3432) 55-1546 (t/fax)	harbour@ olga.e-burg.su	PO Box 38, Oklahoma City OK 73101	Lou Ziskind		(405) 942-0228	(405) 945-4168	
	Salus International Health Institute / Pacific Institute for Research Evaluation(PIRE) {World Learning}	Apt. 8, 2a Pravda Street Moscow, 125124	Olga Petroukhina	Administrative Director	(095) 250-1560	salus@ glas.apc.org	172 Lancaster Road, Walnut Creek, CA 94595	Mary Kay Wright	Project Director	(510) 946-9238 or 938-7754	(510) 946-1522	
	Center for Formation of Sexual Culture / Planned Parenthood of Northern New England {World Learning}	Russia, Yaroslav 150044 ul. Pionerskaya, 19	Aleksandr Shmaglit, Valentina Shelkova	Director, Deputy Director	(0852) 55-5064/6691 (fax)	root@ cfsc.yaroslavl.su	51 Talcott Road, Williston, VT 05495-8116	Ellen Dorsch	Director, International Projects	(802) 878-7232	(802) 878-8001	eppnne@ vbi.champlain
	Association of Obstetricians and Gynecologists / Population Sevices Internationall {World Learning}	Russia, Ekaterinburg ul. Kryiova, 2, 225th room	Svetlana Shumkova, Elizabeth Gardiner	Director, PSI Country Representative	(3432) 44-2770/42-7282 (t/fax)	psieburg@ glas.apc.org	1120 19th Street, NW, Suite 600, Washington DC 20036	Alex Brown	Vice- President	(202) 785-0072	(202) 785-0120	psiwash@ delphi.com
	Chita Nursing Association, Ekaterinburg Public Nursing Association / World Vision Relief & Development (WVRD){World Learning}	1) Russia, Chita Health Administration Directorate ul. Bogomiakova, 23 (2) Oblast Children's Hospital No. 1, Deriabina Street, Building 23, Yekaterinburg	1) Valentina Vishnyakova 2) Nadezhda Gesudinova	1) Chita President 2) Ekaterinburg President	1) (30222) 613-46, 632-50 (fax) (2) (3432) 432-402		220 I Street, NW, Suite 270 Washington DC 20003	Ann Claxton	Regional Director, International Programs (DC)	(202) 547-3743	(202) 547-4834	

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	Russian Red Cross, Visiting Nurse Program / American Red Cross {IREX}	1)Sergei Kulyov Program Assistant Russian Red Cross Society Cheryomushkinski Proyezd, 5, room 404 Moscow 17036 2) Valentina Shishkina Moscow 17036 Head of Visiting Red Cross Society Tcheryomuskinski Proezd, 5	1) Sergei Kulyov 2) Valetina Shishkina	1) Program Assistant 2) Head of Visiting Red Cross	(095) 126-7410 310-7048 (fax) 128-7521 230-6820 (fax)		International Services Dept., 2025 F St. NW, Washington DC 20006	Martin E. Perret	Associate, Global Tech. Transfer	(202) 728-6885	(202) 728-6437	perretm@ usa.redcross.org
	Association of University. Programs in Health Adminstration (Russia) / Association of University Programs Administration (AUPHA) {IREX}	1) Moscow 119881 AUPHA/Russia , B. Pirogovskaya,2-6 2) Moscow 103473 Semashko Moscow Medical Stomatological Institute Delegatskaya 3) Khabarovsk, Russia 680002 Khabarovsk State Administration 72, Frunze Street 4) Novosibirsk, 630070 Novosibirsk Academy of Economic and Management 56 Street	1) Igor Nikolaevich Denisov 2) Dr. Pavel L. Salmanov 3) Dr. Anatoliy Ivanovich Vialkov 4) Maria V. Udaltsova	1) Acting Chairman 2) Chief Department of Management 3) Head of Health Department 4) Pro-rector on Science	1) (095) 248-5321/0181 (fax) 2)248-7288/1766 (fax) 3) (4212) 33-2061/8618 (fax) 4) (3832) 24-2710/5910	e-mails: 1) root@ medacad.msk.su 2) mmsi@glas.apc.or g 3) khv1@ healthadmin.khv.ru 4)shem@ seman.nsu.nsk.su	1911 N. Fort Myer Dr. #503, Arlington VA 22209	Bernardo Ramirez	Vice President	(703) 524-5500 ext 114		Beramirez@ aol.com
	St. Petersburg Academy of Post Graduate Medical Studies Department of Family Medicine / University of Iowa Department of Family Practice {IREX}	Rector St. Petersburg 193015 St. Petrsburg Medical Academy of Postgraduate Studies Saltiekova-Schedrina, 41	Nikolai Aleksevich Belyakov	Rector	(812)275-1839 273-0039 (fax)	enver@ maps.spb.su	316 Medicine Administration Building, Iowa City IA 52242-1101	Brad Muller	Project Coordinator	(319) 353-3014	(319) 335-7025	
	Charity Fund International Biomedical Agency (CIPE) / University of Rochester School of Medicine and Dentistry {IREX}	1) Kazan 420012 Kazan State Medical Institute 49, Butlerova St. 2) IBA-Ekaterinburg PO Box 107 Ekaterinburg 620142 (3) Cheliyabinsk 454092 Cheliyabinsk State Medical Acad. 64, Vorovskogo	1) Dr. Nail Amirov 2) Dr. Yuri L. Fomin 3) Dr. Yuri S. Shamourov	1) Rector 2) Project Manager 3) Rector	1) (8432) 36-0652/0411/039 3 (fax) 2) (3432) 23-5552 53-6858 (fax) 3) (3512) 34-0226/0356/033 6 (fax)	1) n/a 2) yf@ibarus.e-burg.ru	601 Elmwood Dr., Box 601, Rochester NY 14642	Michelle Landers	Assoc. Director of Int. Medicine Programs	(716) 275-7203	(716) 273-1016	mlanders@ urms.rocester.edu
STRATEGIC OBJECTIVE 3.3 INCREASE CAPACITY TO DEAL WITH ENVIRONMENTAL POLLUTION AS A THREAT TO PUBLIC HEALTH												
ENVIRONMENT	Institute for Biology of Inland Waters (IBIW), Russian Academy of Sciences / South Carolina University, Research Foundation (SCUREF), Clemson University {IREX}	Institute of Biology and Inland Waters, Russian Academy of Sciences Borok, Yaroslavl, 152742	Alexander Kopylov	Director	(0852) 25-3845 (t/fax)	postmaster@ ibiw.yaroslavl.su	Department of Environmental Toxicology, TIWET, Clemson University, One TIWET Drive, Pendelton, SC 29070	Tom La Point	Associate Professor	(864) 646-2237	(864) 646-2277	tlpnt@hubcap. clemson.edu
	Baikal Center for Ecological Information & Center Initiatives / Earth Island Institute {Save the Children}	7-19, Proletarskaya, Irkutsk, 664003	Irina Birnbaum-Dyatlovskaya	Director	(3952)33-1322/ 43-2322 (fax)	siberia@ igs.apc.org irkutsk@ glas.apc.org	Earth Island Institute, 300 Broadway, Suite 28, San Francisco CA 94133	Gary Cook	Director	(415)788-3666	(415) 788-7324	earthisland@ igc.apc.org
	The Russian Academy of Sciences, Mechanical Engineering Research Institute / American Society of Mechanical Engineers {IREX}	Mechanical Engineering Reseach Institute, 4 Griboedov Street, Moscow 101830	Dr. Nikolai Makhtov, Mikhail Gadenin	Head of Mechanical Engineering Research Institute, Chief Scientific Specialist	(095) 135-7771/3097	makhutov@ iies.msk.su	345 E. 47th St., New York NY 10017	Chor W. Tan	Managing Director, Education	(212) 705-7722	(212) 705-7739	tanc@asme.org