

USAID/SRI LANKA

RESULTS REVIEW AND RESOURCE REQUEST (R4)

APRIL 2001

Please Note:

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Related document information can be obtained from:

USAID Development Experience Clearinghouse
1611 N. Kent Street, Suite 200
Arlington, VA 22209-2111
Telephone: 703/351-4006 Ext. 106
Fax: 703/351-4039
Email: docorder@dec.cdie.org
Internet: <http://www.dec.org>

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To: A/AA/ANE, Karen Turner

From: USAID/Sri Lanka/DIR, Vicki L. Moore

Subject: FY 2003 Results Review and Resource Request (R4)—Sri Lanka

The Mission has noted its accomplishments in the attached R4, which covers the final performance report for the Strategy for 1998 – 2000. The USAID/Sri Lanka program, although receiving small amounts of development assistance funding, remains a diverse program with numerous management units, funded in part from sources outside the ANE Bureau's allocation process. The past few years have been difficult ones, both for Sri Lanka, in terms of the conflict and political and economic climate, and for the Mission as it conducted several reductions in force exercises. This culminated in the receipt of instructions in late FY 2000 to plan for the transitioning of the Mission to a new management structure by the end of FY 2002. Currently the Mission lacks the human resources needed to effectively carry out its management responsibilities and to properly plan for the transition to a new management structure. Despite this situation, staff strive to achieve program objectives and to ensure our strategy is geared towards addressing Sri Lanka's development needs in the Mission's areas of emphasis.

This memorandum and the R4 highlight the critical issues and changing circumstances warranting ANE Bureau consideration and modifications to the Management Agreement.

SO1 – Improved Framework for Trade and Investment: The main activities under this SO were completed by the end of September 2000. The Competitiveness Initiative, which began implementation under this SO, continues under the new SO4, but some of its technical assistance for FY2001 is funded from the SO1 pipeline. While it is hoped that all funds under this SO to be used for the Competitiveness Initiative will be expended by December 2001, given the slow pace and difficulties with implementation of the Competitiveness Initiative to date, this will require intensive Mission management. The SO1 pipeline also includes microenterprise funds, which have been notified to Congress and obligated at the project level. Given this fact, the Mission, without deobligating and reobligating the funds, can, and will, switch the microenterprise activity to the ongoing humanitarian assistance SO3 since the activity will assist disadvantaged groups in the war affected areas. The current end date for SO1 is September 30, 2001, but USAID intends to extend it to December 31, 2001, at a minimum, to facilitate orderly closeout. The closeout report for this SO will be submitted with next year's R4.

SO2 - Citizen's Rights Better Protected in Law and Practice: Data for FY1998 – FY2000 showed a considerable increase in the organizations which provide access to legal aid and in the number of citizens taking advantage of these institutions. These activities were approved to continue under the FY2001 – FY2005 strategy. The Mission recently conducted an assessment which led to a determination that this SO should be refined to more directly address the combined effects of protracted ethnic-based conflict and deteriorating democratic rights and institutions. Furthermore, the Sri Lankan Foreign Minister's recent meeting with Secretary of State Powell indicated that the Secretary and U.S. foreign policy favor an increased emphasis on achievement of an end to the 18 year conflict by peaceful means. Accordingly, USAID will now refine its SO to focus support on: (i) the peace process by strengthening constituencies for peace; (ii) rights protection; and (iii) democratic reform. Activities will focus on increasing citizen participation, supporting key government reforms, and supporting local governance. Indications are that the Economic Support Funds (ESF) allocated for the Sri Lanka democracy and governance portfolio will be significantly increased this fiscal year. A new mechanism for implementation of the democracy and governance ESF-funded program will need to be tailored to effectively manage the diverse components of the program, and additional USAID staff capacity is needed to adequately oversee the program.

SO3 - Enhanced Economic and Social Opportunities for Disadvantaged Groups: The Mission proposes to refine the SO statement to more accurately reflect the purpose of our current humanitarian assistance activities. The revised statement would read "Improved integration of targeted disadvantaged groups into the community." While the wording has changed, this does not reflect a fundamental change in the scope or direction of the SO. New and more direct, outcome oriented indicators have been proposed (see Annex

2) to measure progress at the SO level, as those used previously were not direct measures of the SO statement, nor were they outcome measures. Those indicators have been moved down to the activity level so they more accurately measure the outputs of the humanitarian assistance activities. In addition to the ongoing activities, USAID seeks to broaden the impact of its program by: (i) supporting anti-child soldier campaigns; (ii) providing support to internally displaced persons and other war affected populations through a microenterprise loan program; and (iii) supporting the National Child Protection Authority. While continuing to provide support island-wide, USAID will make a concerted effort to focus on the war affected areas of the north and the east. USAID has also offered to assist the U.S. Embassy in Sri Lanka in monitoring activities funded from 416(b) proceeds. The Mission will work to lay a strong foundation for USAID's Office of Transition Initiatives to commence a program in Sri Lanka in the event of a peace agreement. This will be done in part by conducting a conflict assessment that will expand on information received during the democracy and governance assessment.

SO4 – Increased Sri Lankan Competitiveness in the Global Marketplace: This SO was approved after the last R4 submission. The SO was originally designed to be implemented over five years, but the timeframe was reduced to two years as indicated in the strategy approval cable received in January 2001. A change in the SO is necessary to establish realistic and measurable results achievable within the reduced timeframe. Also, the situation in Sri Lanka has resulted in a fragile economy which is not conducive to risk taking and substantial new investments of the type needed to facilitate increased competitiveness in global markets. Most recently Dunn and Bradstreet downgraded Sri Lanka's credit rating to a high-risk category. The risk indicator is a composite of the political, commercial, macro-economic, and external risks present in a given country. Given the current economic and political environment in Sri Lanka and the reduced time span for achievement of the Competitiveness SO, the Mission will carry out a mid-term evaluation to determine what can be achieved within the remaining timeframe. Depending on the outcome of the evaluation, the ANE Bureau may want to re-consider the end date for the Competitiveness SO to ensure that the value of past investments made by USAID in the area of economic growth are not lost due to a premature withdrawal. The evaluation will also review the feasibility of endowing an indigenous legacy institution to continue promoting competitiveness in Sri Lanka.

USAID has determined, given the changed timeframe, it can only seek to: (i) facilitate the development of sound comprehensive strategies for the industry clusters; (ii) support the surpassing of certain barriers identified therein; and (iii) facilitate effective public/private dialogue and consensus on necessary actions to facilitate increased competitiveness for Sri Lankan industries. In the area of human resource development under the Competitiveness SO, USAID will seek to determine the role U.S. institutions of higher education can play in Sri Lanka.

Pending the outcome of the mid-term evaluation, the Mission is considering refining the SO statement to read "Public/Private Consensus on Competitiveness Strategy Actions for Clusters Reached." "Increased Sri Lankan Competitiveness in the Global Marketplace" would rise to the sub-goal level in the framework. The FY 2000 results under the narrative for SO4 relate to outputs during the first year of activities. The Mission developed tentative new IRs for the refined SO during the Mission's Performance Monitoring Workshop in April which may be revised during the upcoming evaluation.

Prior Investment Sustainability Issues: USAID will need to expend considerable energy to facilitate sustainability of prior investments, such as the National Agribusiness Council, the Young Entrepreneurs of Sri Lanka, and the International Executive Service Corps. (TIPS exit strategy), made under the related "Improved Framework for Trade and Investment" SO.

Regional Initiatives: USAID will seek to better link its bilateral programs with activities under regional initiatives such as the South Asia Regional Initiative for Energy and Equity, as well as the Rural and Urban Development Programs, and the United States Asia Environmental Program, to ensure maximum impact in support of Sri Lanka achieving sustainable broad based development and growth.

Changes to Results Framework and Performance Monitoring Plans: As stated before, the evaluation of the Competitiveness Initiative and the results of the assessment of the Democracy and Governance sector are scheduled to be completed during the next three months. These activities will lead to refinement of the related SOs, including changing the scope of the activities, results and indicators. The Mission has not completed a performance monitoring plan for its new strategy so the refinements to SOs 2, 3, and 4 will be reflected in the new PMP. The Strategy will be modified to reflect the changes necessitated by the Strategy approval cable, as well as to reflect information gained during the democracy and governance assessment and the competitiveness mid-term evaluation. Both the PMP and modified Strategy will highlight the linkages between the regional initiatives and the bilateral program. A September 2001 submission date is anticipated for both.

Workforce Changes: The USAID Mission is scheduled to transition to a new management structure effective September 2002. In the meantime, there is a lot of work to be done to ensure that a smooth transition can occur. Although the exact components of the management structure are not yet determined, it has been decided that the two USDH positions will cease to exist after September 2002. The USAID Mission is currently short of staff to effectively manage the existing program, let alone planning for the transition to a new management structure. Additionally, several highly experienced professional foreign national staff will leave USAID at the end of FY2001. To support the Mission's ongoing programs and the transition to the new management structure, Mission management has determined there is a need to hire additional staff as soon as possible. Discussions with the U.S. Embassy Sri Lanka in this regard are proceeding and it is hoped that such actions will be approved. If so, we propose to hire two USPSCs, one to fill the soon to be vacant position of program officer, and one to oversee the democracy and governance portfolio. An additional foreign national professional would be hired to increase activity management and oversight in the areas of democracy and governance and humanitarian assistance. Current and planned program and OE funding levels are expected to be adequate to support these positions.

A sound new management structure must be created as USG-funded democracy and governance and humanitarian assistance programs are expected to continue after September 2002. In FY 2001, USAID will select umbrella organizations to manage and implement these programs, but adequate USG oversight remains a necessity. Regional programs may also continue, and it is currently expected that an indigenous legacy institution will be endowed to support competitiveness in Sri Lanka. Mission management will work with the ANE Bureau and the U.S. Embassy, Sri Lanka to determine how the USG can best oversee its foreign assistance programs once USAID transitions to a new management structure. The Workforce Tables attempt to reflect this transition by showing proposed staffing levels for 2003, comprised of FSNs and USPSCs, however, further discussion is required as the level remains high, due in part to uncertainty regarding program management and oversight responsibility. The issue of staffing for regional programs, should these continue, also needs to be addressed. Finally a determination will need to be made regarding to whom such staff will report.

Positive ANE Bureau actions on the adjustments stated herein will enable the Mission to continue to be an effective and reliable development partner in Sri Lanka. The Mission has prepared a draft transition plan (Annex 4), which identifies the major tasks to be carried out during the transition period. With Bureau support, a well-structured and modestly funded USAID/Sri Lanka program can continue to be an important catalyst for positive change at this critical juncture in Sri Lanka's history.

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GLOSSARY OF ACRONYMS

ACILS	American Center for International Labor Solidarity
CLAP	Community Legal Aid Program
CSD	Child Survival & Disease
DA	Development Assistance
DAI	Development Alternatives Incorporated
DCOF	Displaced Children and Orphans Fund
ESF	Economic Support Fund
FINS	Friends in Need
GSL	Government of Sri Lanka
HRC	Human Rights Commission
IESC	International Executive Service Corps
IPR	Intellectual Property Rights
IR	Intermediate Result
ISTI	International Science and Technology Institute
LAC	Legal Aid Commission
LTTE	Liberation Tigers for Tamil Ealam
MPP	Mission Performance Plan
NGO	Non-Governmental Organization
OE	Operating Expenses
OSU	Oregon State University
SO	Strategic Objective
TAF	The Asia Foundation
TDH	Terre des Hommes
USAID	United States Agency for International Development/Sri Lanka
WVF	War Victims Fund
YESL	Young Entrepreneur Sri Lanka

Part I. Overview and Factors Affecting Program Performance

USAID/Sri Lanka's assistance program is central to U.S. Government efforts to support Sri Lanka in becoming a peaceful, reconciled society, and in achieving broad based sustainable growth. USAID is doing this by: helping to strengthen democracy and governance, citizens' participation, and human rights; providing humanitarian assistance to address needs of those affected by the ongoing conflict; and supporting Sri Lanka's economic growth goals by helping to increase Sri Lankan competitiveness in the global marketplace. USAID's Strategic Objectives (SOs) for Sri Lanka directly link to the U.S. national interests of promoting a peaceful and reconciled society through support for democracy, human rights and the rule of law; and advancing U.S. economic goals by promoting an open competitive economy. USAID SOs support the Mission Performance Plan goals of democracy and human rights, economic development, humanitarian assistance, and protecting American citizens.

Recent occurrences in Sri Lanka necessitated USAID reviewing its program in light of the current situation. A determination was made that there is a need for refinement of the three ongoing SOs in the democracy and governance, economic growth, and humanitarian assistance areas: (i) to more directly address the combined effects of protracted ethnic-based conflict and deteriorating democratic rights and institutions; (ii) to reflect more accurately the purpose of USAID's humanitarian assistance activities and to include indicators which better measure progress at the SO level; and (iii) to better define the results we seek to achieve under our competitiveness economic growth strategic objective, as well as the implementation strategy for achieving such results. A democracy and governance assessment and competitiveness evaluation are being conducted in mid-2001 to determine the refinements warranted for SOs 2 and 4.

Country Factors that have Most Influenced Progress: While Sri Lanka continues to lead South Asia in a number of important positive ways, it is losing ground quickly and the international community remains concerned. The conflict continues to limit Sri Lanka's growth potential and to impact on governance capacity, as focus on the war effort remains a priority for the Government of Sri Lanka (GSL). The costs of the 18-year conflict are staggering: (i) in economic terms, 30% of the annual budget for 2000 was devoted to military purposes; and (ii) in human costs, in a nation of 20 million, in excess of 60,000 have been killed since the war began, and many more have fled the country resulting in a significant brain drain. Approximately 400,000 internally displaced persons remain unable to return to their homes or be re-settled elsewhere, some having remained in a displaced state for up to ten years. The Norwegian Government is attempting to facilitate negotiations between the GSL and the LTTE. The recent end to the four month long LTTE initiated cease fire, coupled with the recent GSL launched military offensive, resulting in the loss of several hundred lives, appear to be major impediments to these efforts.

Although the economic growth rate last year was reported at approximately 6%, reached from a low base in 1999, it is expected to be lower this year, due in part to the global economic slowdown, and other internal and external factors which will impact on the Sri Lankan economy. The Sri Lankan rupee, which was allowed to float in January, has devalued thus far by 10% and would have devalued further, but for Central Bank intervention. The devaluation resulted in some initial protests by the poor. The main source of income for many families results from having a son in the GSL military and a

daughter working in the Gulf region. Children continue to be attracted to joining the ranks of the LTTE, in part due to the lack of opportunities for youth in the north and east. Recently, clashes between members of the Sinhalese majority and Muslim minority resulted in a one day curfew. Significant election violence and irregularities occurred during the October 2000 national elections, eroding confidence in electoral processes.

Social indicators are declining and available data does not include statistics for the north and the east, the areas most affected by the conflict, and the poorest. After a 20 year hiatus, this year's census is not expected to include comprehensive information on the north and the east, particularly the "uncleared" areas which are under the control of the LTTE. Donors express concern regarding mental health problems, the youth suicide rate, and alcohol and child abuse. Tuberculosis, malaria and other mosquito borne diseases are on the rise. Sex tourism related pedophilia is also a problem. The donors have collectively identified governance, higher education and poverty alleviation as major issues to be addressed by the GSL and have indicated that it is unlikely further substantial development can occur without an end to the war. The U.S. Secretary of State recently met with the Sri Lankan Foreign Minister and urged Sri Lanka to find a peaceful settlement to the conflict.

Results of a USAID funded trial survey indicate that Sri Lanka would have ranked 44th out of 60 countries in terms of overall competitiveness were it ranked in the Global Competitiveness Report for 2000. The same trial survey ranked Sri Lanka 50th in openness to international trade and finance, infrastructure, and management.

Significant Program Achievements: This performance report covers results achieved under the strategy for FY 1998 to FY 2000. Performance exceeded stated expectations under the SOs "Improved Framework for Trade and Investment" and Citizens Rights Better Protected in Law and Practice", while the SOs "Enhanced Economic and Social Opportunities for Disadvantaged Groups, and "Increased Sri Lankan Competitiveness in the Global Marketplace" met stated expectations.

Improved Framework for Trade & Investment – Through partnerships with the GSL and the private sector, USAID supported over 20 policy and regulatory reforms and practices including: adoption of new rules and procedures to strengthen regulation of the capital market; introduction of government and corporate bonds; liberalization in the seed sector, import of agro-technologies and processing materials; introduction of ISO 9000 certification; creation of the National Agribusiness Council; and introduction of the Young Entrepreneur Sri Lanka program in 139 pilot schools.

Increased Sri Lankan Competitiveness in the Global Marketplace - USAID is assisting key Sri Lankan industries in developing and implementing strategies to reposition these industries and achieve greater competitiveness. Though initially funded from the Improved Framework for Trade and Investment SO, this assistance contributes to the new strategic objective, "Increased Sri Lankan Competitiveness in the Global Marketplace."

Citizens' Rights Better Protected in Law and Practice – USAID supported domestic Non Government Organizations (NGOs) in providing legal aid to the poor. New mediation

boards were successfully established in parts of the eastern province but could not be set up in the north due to security problems. The opening of the Human Rights Commission office in Jaffna and establishment of a Human Rights Desk in the eastern province provides the public in the war-torn areas of the north and east with some ability to report human rights violations. Training for local human rights and election monitoring groups has enhanced their capacity. USAID is also supporting empowerment of women in trade unions, and educating women victims of violence to protect and enforce their rights. A USAID funded computerized case tracking system has improved the efficiency of the nine District Courts in Colombo and the Chief Justice recommended that other District Courts adopt the system.

Enhanced Economic & Social Opportunities for Disadvantaged Groups: The number of children entering NGO programs helping to address psychosocial problems of children in the war affected areas increased beyond expectations. The NGOs organize play-groups and pre-schools to help children constructively deal with the trauma they have experienced, and to help them to remain in school. Although these programs aim to build bridges between children of different ethnic groups, the success to date in this regard has been limited due to the reluctance of parents to allow their children to participate in inter-ethnic play activities. USAID also assisted an NGO that provides technical training programs to abused and vulnerable youth to help them seek alternative employment and socially acceptable income generating opportunities. In addition, USAID supported the only NGO in Sri Lanka that serves the needs of civilian amputees on a large scale. This program had difficulty in reaching its targets when security was tightened in Jaffna and travel restrictions prevented patients from leaving the north and east during the strategy period.

Prospects for Progress through Budget Year: The democracy and governance assessment carried out in FY 2001 has provided information based upon which USAID will refine our democracy and governance interventions to focus on supporting: (i) the peace process by strengthening constituencies for peace; (ii) rights protection; (iii) democratic reform; and (iv) local government capacity development. Activities will focus on increasing citizen participation, supporting key government reforms, and supporting local governance.

In the area of humanitarian assistance, USAID will seek to broaden the impact of its program by: supporting anti-child soldier campaigns; providing support to internally displaced persons and other war affected populations through a microenterprise loan program; and supporting the National Child Protection Authority. While continuing to provide support island-wide, USAID will make a concerted effort to focus on the war affected areas of the north and the east. USAID has proposed refining the wording of the humanitarian assistance SO to reflect more accurately the purpose of our humanitarian assistance activities and to include indicators which better measure progress at the SO level. The Mission will also work to lay a strong foundation for USAID's Office of Transition Initiatives to commence a program in Sri Lanka in the event of a peace agreement. This will be done in part by conducting a conflict assessment that will expand on information received during the democracy and governance assessment.

USAID will seek to facilitate sustainability of prior investments, such as the National Agribusiness Council, the Young Entrepreneurs Sri Lanka, and the International Executive Service Corps., made under the "Improved Framework for Trade and Investment" SO. Depending on the outcome of the Competitiveness SO mid-term evaluation, USAID may establish an endowment for an indigenous non-governmental organization and/or establish strategic linkages between local and U.S. organizations to promote competitiveness and support public/private dialogue if the "Competitiveness" SO phases out in September 2002.

SO Text for SO: 383-001 Improved framework for trade and investment

Country/Organization: USAID Sri Lanka

Objective ID: 383-001

Objective Name: Improved framework for trade and investment

Self Assessment: Exceeding Expectations

Primary Links to Agency Strategic Framework: **(Please Assign Percentages, Total Equals 100):**

100% 1.1 Critical private markets expanded and strengthened
0% 1.2 More rapid and enhanced agricultural development and food security encouraged
0% 1.3 Access to economic opportunity for the rural and urban poor expanded and made more equitable
0% 2.1 Rule of law and respect for human rights of women as well as men strengthened
0% 2.2 Credible and competitive political processes encouraged
0% 2.3 The development of politically active civil society promoted
0% 2.4 More transparent and accountable government institutions encouraged
0% 3.1 Access to quality basic education for under-served populations, especially for girls and women, expanded
0% 3.2 The contribution of host-country institutions of higher education to sustainable development increased
0% 4.1 Unintended and mistimed pregnancies reduced
0% 4.2 Infant and child health and nutrition improved and infant and child mortality reduced
0% 4.3 Deaths, nutrition insecurity, and adverse health outcomes to women as a result of pregnancy and childbirth reduced
0% 4.4 HIV transmission and the impact of the HIV/AIDS pandemic in developing countries reduced
0% 4.5 The threat of infectious diseases of major public health importance reduced
0% 5.1 Threat of global climate change reduced
0% 5.2 Biological diversity conserved
0% 5.3 Sustainable urbanization including pollution management promoted
0% 5.4 Use of environmentally sound energy services increased
0% 5.5 Sustainable management of natural resources increased
0% 6.1 Urgent needs in times of crisis met
0% 6.2 Personal security and basic institutions to meet critical intermediate needs and protect human rights re-established

Link to U.S. National Interests: Economic Prosperity

Primary Link to MPP Goals: Open Markets

Secondary Link to MPP Goals (optional):

(Page limitations for narrative begin here):

Summary of the SO:

This strategic objective will be completed in FY 2001 although most of the related activities were completed by September 2000. This SO was the Mission's main contributor to the Agency objective of expanded and strengthened private markets and the earlier Mission Performance Plan goal of broad-based economic growth. The purpose of the objective is to contribute to improved financial market and trade/investment systems, policies, and practices necessary to attract the levels of investment required for sustained growth and competitiveness. Activities focused on: strengthening financial market practices and liberalizing related policies; and liberalizing trade and investment policies. The targeted beneficiaries

were: the private sector, including associations and firms; financial markets institutions; and the Government of Sri Lanka (GSL). USAID has accomplished its objective and met performance targets through the achievement of numerous significant policy and regulatory reforms and best practices related to financial market and trade/investment systems, contributing to an improved framework for trade and investment.

Key Results:

Over the life of this strategic objective numerous significant policy and regulatory reforms and best practices were achieved related to financial market and trade/investment systems policies. These included: establishment of the clearing and settlement guarantee fund; regulation of listed corporate bonds; development of secondary trading in government securities; development of a code of conduct for primary dealers; removal of stamp tax of mortgage backed securities; pension funds allowed to invest in the share market; equal taxation treatment for bonds and shares listed on the Colombo Stock Exchange; improved tax analysis/collection; enactment of the Seed Act; abolishment of import license for maize seed and certain corn seed liberalized; duty on purebred breeding livestock abolished; duty on high-tech agricultural equipment waived; duty on seeds, spores and planting material abolished; duty on canning and food processing machinery reduced or abolished; duty on agriculture netting waived; duty waived on materials used for packaging milk and juices; importation of bumblebees for pollination allowed; Intellectual Property Rights law drafted and a related law course established; establishment of Association of International Standards and introduction of ISO 9000 certification; establishment of an ISO 14000 User Association; establishment of National Agribusiness Council to pursue on-going agriculture policy reform; establishment of the Institute of Directors for good corporate governance; integration of Junior Achievement program into the National Education reform program.

Performance and Prospects:

Performance under the strategic objective since its commencement and during FY 2000 exceeded targets as nine policies were to be adopted and practices implemented by the end of FY 2000. As indicated in the Key Results section above, in excess of twenty significant policy and regulatory reforms and best practices were achieved by the end of FY 2000 related to financial market and trade/investment systems policies. In addition to the policy and regulatory reforms and best practices enumerated above, the following activities were implemented during FY 2000, further contributing to an improved framework for trade and investment.

Strengthening Financial Markets Practices - Financial markets reform activities focused on further development of the debt market. This was accomplished by training the main actors in such areas as corporate debt markets and secondary trading in government securities. Significant resources were contributed to train key Customs, Inland Revenue and Ministry of Finance staff on Tax Policy Analysis to enable the GSL to better evaluate and formulate proposals on taxes and tariffs. This resulted in the taking of initial steps to simplify tax reporting and increase compliance through more efficient auditing and issue of default notices.

Agro-industry Policy Reforms – The final evaluation of USAID’s agribusiness activities contributed to the overall assessment of the performance in this sector. By FY 2000, USAID-funded technical assistance supported 18 agribusiness associations with a total membership of 2,800. In FY 2000 these associations continued to identify constraints to agribusiness trade and investment and advocate for additional reforms. The National Agribusiness Council was founded in FY 2000 with USAID support. Its membership is comprised of the 18 agribusiness associations supported under this strategic objective and it represents approximately 75% of the agribusiness sector. Its mandate is to continue to improve the enabling environment for a viable and profitable agribusiness sector in Sri Lanka. During FY 2000 an Agro-Industry Strategy and Policy Action Plan were also drafted. The Policy Action Plan was a joint effort between the private sector and the government upon which future policy dialogue and policy and regulatory reforms may be based.

Intellectual Property Rights (IPR) – USAID assisted the GSL in drafting a proposal for protecting IPR. When passed, Sri Lanka will be one of the few developing countries to meet the World Trade Organization

obligations on IPR. Considerable time was spent developing awareness of the importance of Intellectual Property legislation and facilitating consensus among the relevant players. In FY 2000, the bill was translated into Sinhala and Tamil. The government delayed introducing the revised IPR law to Parliament due to elections, but it is anticipated that the bill will be passed in 2001. Concurrent with efforts to amend the IPR law, USAID, through Georgetown University, developed a diploma program on Intellectual Property Law, which will develop expertise on the subject within the legal profession.

Junior Achievement Program - USAID, working with the Federation of Chambers of Commerce and Industries of Sri Lanka, was instrumental in initiating Junior Achievement in Sri Lanka in 1998 during which time 1,700 students in eleven schools participated. This program has rapidly expanded and participation reached 5,000 students in 40 schools during FY 2000. The private sector now covers the majority of the costs of the program, far exceeding the original expectations of sustainability. This program is a model of a private-public partnership helping to produce a job-oriented workforce. The Young Entrepreneur Sri Lanka (YESL) program has been identified as a key component of the Ministry of Education's education reform program. The Education Ministry has now requested YESL to introduce its program in the 139 priority schools selected for the pilot education reform effort.

Corporate Governance - In FY 2000, with USAID assistance, the Ceylon Chamber of Commerce formed an Institute of Directors to help Sri Lankan business leaders to strengthen corporate governance capacity and ensure their companies behave as good corporate citizens. In support of this, the Institute revised the Code of Best Practices and has prepared a "Directors Manual".

Assistance in the forms of professional training and skills development, study tours and workshops helped to strengthen the analytical context and contributed to the increased capacity of various institutions and groups of participants to articulate their concerns and work towards resolving outstanding policy issues. This increased capacity of advocacy groups has helped initiate a system to address similar issues in the future and work towards the sustainability of USAID activities.

Possible Adjustments to Plans:

In 1998, USAID began providing technical assistance related to the development of a new Competitiveness Initiative leading to the establishment of a new strategic objective, "Increased Sri Lankan Competitiveness in the Global Marketplace". While this new strategic objective commenced in August 2000, activities for improving competitiveness undertaken in FY 2000 and some of 2001 are being funded under the "Improved Framework for Trade and Investment" strategic objective. Related reporting is being done under the Competitiveness strategic objective.

Other Donor Programs:

Programs of the World Bank and Asian Development Bank emphasize continued progress on macro-economic reform and improvement in infrastructure. Other bilateral donors providing support for private enterprise development, competitiveness, and agribusiness development include Germany, Norway and Japan. Several donor programs have adopted development initiatives that reinforce and continue to support best practices and policy reform efforts introduced by USAID. These include: The International Fund for Agricultural Development's interest in the introduced vanilla production and processing technology for farm-based livelihood; replication of the drip irrigation technology by United Nations Development Program and the German Technical Corporation and their support to agro-based associations; and replication of the polytunnel technology by the Japan International Cooperation Agency.

Major Contractors and Grantees:

International Executive Service Corps; Oregon State University/Development Alternatives Inc.; International Science and Technology Institute; Nathan Associates/MSI Inc. joint venture with its sub-contractor, J.E. Austin Associates.

Performance Data Table

Fiscal Year: FY2002

Objective Name: Improved framework for trade and investment
 Objective ID: 383-001
 Approved: 1998-04-24 Country/Organization: USAID Sri Lanka
 Result Name: Improved framework for trade and investment
 Indicator: Nine policies adopted or practices implemented by September 2000
 Disaggregated By:

Unit of Measure: Number of policies and practices in the adoption/implementation stage

Year	Planned	Actual
1997 (B)	NA	0
1998	3	2
1999	3	8
2000	3	13

Source:
 Contractors' progress reports

Indicator/Description:
 Adoption stage - All interested stakeholders are identified at this stage. Information is shared and a decision is reached concerning the advisability of entering into dialogue and consensus-building to encourage the adoption of the proposed reform.

Comments:
 The reforms include: 1. Establishment of the clearing and settlement guarantee fund, 2. Regulation of listed corporate bonds, 3. Development of secondary trading in government securities, 4. Development of a code of conduct for Primary Dealers, 5. Removal of stamp tax of mortgage backed securities, 6. Pension funds allowed to invest in the share market, 7. Equal taxation treatment for bonds and shares listed on the Colombo Stock Exchange, 8. Improved tax analysis/collection, 9. Enactment of the Seed Act, 10. Abolishment of import license for maize seed and certain corn seed liberalized, 11. Duty on purebred breeding livestock abolished, 12. Duty on high-tech agricultural equipment waived, 13. Duty on seeds, spores and planting material abolished, 14. Duty on canning and food processing machinery reduced or abolished, 15. Duty on agriculture netting waived, 16. Duty waived on materials used for packaging milk and juices, 17. Importation of bumblebees for pollination allowed, 18. Intellectual Property Law course established, 19. Establishment of Association of International Standards and introduction of ISO 9000 certification, 20. Establishment of an ISO 14000 User Association, 21. Establishment of a National Agribusiness Council, 22. Establishment of the Institute of Directors for good corporate governance, 23. Integration of Junior Achievement program into the National Education reform program.

Performance Data Table

Fiscal Year: FY2002

Objective Name: Improved framework for trade and investment

Objective ID: 383-001

Approved: 1998-04-24

Country/Organization: USAID Sri Lanka

Result Name: IR 1.1 Financial market practices strengthened and policies liberalized

Indicator: Three financial markets policies or improved practices in progress per year

Disaggregated By:

Unit of Measure: Number of policies or practices in evaluation/analysis or dialogue stage

Year	Planned	Actual
1997 (B)	NA	0
1998	3	5
1999	3	1
2000	3	0

Source:

ISTI progress reports

Indicator/Description:

Evaluation/analysis stage - All interested stakeholders are identified at this stage. Information is shared and a decision is reached concerning the advisability of entering into dialogue and consensus-building to encourage the adoption of the proposed reform. Dialogue stage - Stakeholders and policy makers enter into dialogue. Consensus about the problem and the proposed reform measure(s) is the goal. Results of the evaluation and analysis are used to gain such consensus.

Comments:

With the end of this SO, efforts were focused on completing policies in the pipeline rather than beginning work in new areas.

Performance Data Table

Fiscal Year: FY2002

Objective Name: Improved framework for trade and investment

Objective ID: 383-001

Approved: 1998-04-24

Country/Organization: USAID Sri Lanka

Result Name: IR 1.2 Liberalized trade and investment policies

Indicator: Three trade and investment policies or improved practices in progress per year

Disaggregated By:

Unit of Measure: Number of policies or practices in evaluation/analysis or dialogue stage

Year	Planned	Actual
1997 (B)	NA	0
1998	3	7
1999	3	7
2000	3	3

Source:

IESC and OSU/DAI progress reports

Indicator/Description:

Evaluation/analysis stage - All interested stakeholders are identified at this stage. Information is shared and a decision is reached concerning the advisability of entering into dialogue and consensus-building to encourage the adoption of the proposed reform. Dialogue stage - Stakeholders and policy makers enter into dialogue. Consensus about the problem and the proposed reform measure(s) is the goal. Results of the evaluation and analysis are used to gain such consensus.

Comments:

With the end of this SO, efforts were focused on completing policies in the pipeline rather than beginning work in new areas. The four policies still in the pipeline represent those not completed before the end of the SO, but still being pursued by entities originally assisted by USAID. The policies are: 1. Privatization of state owned livestock farms. 2. Agribusiness policy framework. 3. Livestock policy framework.

SO Text for SO: 383-002 Citizens' rights better protected in law and practice

Country/Organization: USAID Sri Lanka

Objective ID: 383-002

Objective Name: Citizens' rights better protected in law and practice

Self Assessment: Exceeding Expectations

Primary Links to Agency Strategic Framework: **(Please Assign Percentages, Total Equals 100):**

0% 1.1 Critical private markets expanded and strengthened
0% 1.2 More rapid and enhanced agricultural development and food security encouraged
0% 1.3 Access to economic opportunity for the rural and urban poor expanded and made more equitable
100% 2.1 Rule of law and respect for human rights of women as well as men strengthened
0% 2.2 Credible and competitive political processes encouraged
0% 2.3 The development of politically active civil society promoted
0% 2.4 More transparent and accountable government institutions encouraged
0% 3.1 Access to quality basic education for under-served populations, especially for girls and women, expanded
0% 3.2 The contribution of host-country institutions of higher education to sustainable development increased
0% 4.1 Unintended and mistimed pregnancies reduced
0% 4.2 Infant and child health and nutrition improved and infant and child mortality reduced
0% 4.3 Deaths, nutrition insecurity, and adverse health outcomes to women as a result of pregnancy and childbirth reduced
0% 4.4 HIV transmission and the impact of the HIV/AIDS pandemic in developing countries reduced
0% 4.5 The threat of infectious diseases of major public health importance reduced
0% 5.1 Threat of global climate change reduced
0% 5.2 Biological diversity conserved
0% 5.3 Sustainable urbanization including pollution management promoted
0% 5.4 Use of environmentally sound energy services increased
0% 5.5 Sustainable management of natural resources increased
0% 6.1 Urgent needs in times of crisis met
0% 6.2 Personal security and basic institutions to meet critical intermediate needs and protect human rights re-established

Link to U.S. National Interests: Democracy

Primary Link to MPP Goals: Democracy and Human Rights

Secondary Link to MPP Goals (optional):

(Page limitations for narrative begin here):

Summary of the SO:

This strategic objective contributes to the Agency objective of strengthening the rule of law and respect for human rights. It is also a contributor to the Mission Performance Plan's goal of strengthened democratic institutions and greater consideration of human rights in Sri Lanka. The purpose of the objective is to improve public confidence in the ability of the government to protect human rights and to increase access to legal and alternative dispute resolution systems. The direct beneficiaries of this objective are the Sri Lankan public, especially minorities and disadvantaged groups. USAID has partially accomplished its objective and met performance targets in increasing legal aid outreach and awareness.

Key Results:

During FY 2000, over 25,000 clients were provided with legal assistance as against a target of 15,000. In addition, 5,441 of human rights violations were reported to the Sri Lanka Human Rights Commission exceeding the target of 3,500. Of these, 41% were complaints against the police and armed forces. This together with previous achievements suggest citizens' increased awareness of legal and human rights, and their knowledge of institutions available to protect human rights. Specific programs have targeted women. A USAID funded computerized case tracking system has improved the efficiency of the nine District Courts of Colombo and the Chief Justice has recommended that other regional District Courts adopt the system.

Performance and Prospects:

USAID, through support to U.S. Private Voluntary Organizations, has been contributing to increasing the capacity of governmental and non-governmental organizations in Sri Lanka to provide legal aid and human rights assistance to the disadvantaged.

Legal Aid - A FY 2000, USAID assessment of legal aid revealed that a variety of mechanisms exist in Sri Lanka to ensure that access to justice is available to all regardless of ethnicity, class, caste or economic condition. The Legal Aid Commission (LAC), the Community Legal Aid Program (CLAP) and NGOs all provide legal aid services using three distinct approaches. Legal aid providers from NGOs, CLAP and LAC participated in a USAID funded study tour to the Philippines and Cambodia to observe advanced legal aid delivery systems in these countries. The study tour helped build professional relationships between government officials and civil society activists. Coordination between these organizations will help them make the most efficient use of scarce resources. USAID sub-grants to NGOs addressed several important areas such as the rights of Tamil detainees, victims of torture, internally displaced persons, and women.

A USAID supported NGO counseled internally displaced persons who were forcibly evicted from the northern province by the LTTE to increase understanding of their rights. USAID also provided support for the "Citizens' Petitions Unit" in the Attorney General's Department, to more effectively respond to grievances received from the public that are primarily directed against public institutions. In 2000, the main complaints were against police officers, public officers, lawyers, and judicial officers.

New Commissioners appointed to the Human Rights Commission (HRC) recognized the 11,000 case backlog as one of their biggest challenges. USAID supported the HRC to establish a classification system and to recruit a number of interns to begin reviewing case files and classifying complaints. The analysis of complaints is expected to reveal systematic patterns of human rights violations and help in proposing appropriate institutional or legal reforms to minimize similar complaints in the future. USAID will also assist the HRC to train a cadre of mediators to resolve these complaints.

Human Rights Advocacy - Another sub-grantee assisted victims of torture and disappearances. The NGO prepared reports on cases of torture of individuals arrested under the Prevention of Terrorism Act. These reports are being used to strengthen efforts on behalf of torture victims by publicizing the plight of these victims both locally and internationally. The goal is to facilitate civil society organizations and government institutions working toward prevention and elimination of torture. Another USAID supported program focused on improving the capacity of civil society organizations to monitor and support the GSL in the implementation of the Convention for the Elimination of Discrimination Against Women.

Women's Rights: The issue of women's rights as human rights is integrated into USAID's activities and women have been well served through legal awareness and rights programs. One NGO commenced an interactive "phone in" weekly radio program to address specific issues on domestic violence, rape, sexual harassment, alcoholism, political participation, employment and legal rights. USAID is also working with women in the plantation and industrial sectors to improve their status by strengthening women's wings of trade unions and establishing a Trade Union Women's Forum. USAID funded programs on sexual harassment have motivated Trade Unions and NGOs to develop in-house policies on sexual harassment, while other programs have focused on improved health and safety conditions for Free Trade Zone women workers.

Electoral Reform - In FY 2000, the environment was marred by election-related violence which constituted an increasingly larger percentage of human rights violations. With USAID support, the Center for Policy Alternatives implemented a media campaign against election related violence prior to the presidential and national elections. USAID, through a U.S. NGO provided technical assistance to three domestic election monitoring organizations. The activities included the dissemination of multi-language daily bulletins on election violence in the provinces and districts, as well as supporting these groups in collecting, aggregating, analyzing and reporting on relevant information, including the fairness of media coverage of the election. Strategies and techniques were introduced to reduce the accusations that monitoring agencies are either pro-opposition or pro-government and to increase voter confidence in the electoral system.

Legal Education - USAID assistance helped strengthen the legal education systems. At the request of the Ministry of Education, the Center for the Study of Human Rights developed a national human rights curriculum for senior high school students and supported teacher training on the use of the new curriculum. A training of trainers curriculum on participatory methods for non-formal human rights education and human rights activists and trainers was developed. USAID assistance also initiated the Human Rights Diploma Course to create an awareness of human rights at the national and regional level. This is now a self-funded course being offered for the fourth time.

Improvements in Judicial Reform - The case-tracking system developed for the District Courts of Colombo is being enhanced to enable direct access to users and to function more effectively in English, Sinhala and Tamil. The Chief Justice visited the computerization site and was impressed with the accomplishments to date. As the Head of the steering committee for the Legal and Judicial Reform Program, he recommended the tracking system be adopted by all other regional District Courts when they are refurbished and renovated with World Bank support.

Possible Adjustments to Plans:

USAID is conducting an assessment of the democracy and governance environment in Sri Lanka which will lead to the identification of activities to be funded under a revised strategic objective. It is expected that interventions will focus on supporting: (i) the peace process by strengthening constituencies for peace; (ii) rights protection; (iii) democratic reform; and (iv) local government capacity development. Based on the findings of this assessment, the Mission will issue a Request for Applications during the latter part of FY 2001.

Other Donor Programs:

The GSL continues in its efforts to resolve the conflict in the North and the East. USAID works closely with other donors including The United Kingdom, Norway, European Union, World Bank, United Nations Development Program, Germany and Australia which support democracy and human rights programs such as conflict prevention, good governance, training for journalists, judicial and legal reforms, human rights and decentralization/devolution. Many donors have, in the past, funded local and foreign election observers and monitors.

Major Contractors and Grantees:

The grantees include The Asia Foundation, the National Democratic Institute, the American Center for International Labor Solidarity, and the Ministry of Justice. The Asia Foundation works with several sub-grantees including: the Legal Aid Commission; the Human Rights Commission; and the Center for Policy Alternatives.

Performance Data Table

Fiscal Year: FY2002

Objective Name: Citizens' rights better protected in law and practice

Objective ID: 383-002

Approved: 1998-04-24

Country/Organization: USAID Sri Lanka

Result Name: IR 2.1 Increased number of violations reported to authorities

Indicator: Violations reported to authorities

Disaggregated By:

Unit of Measure: Number of violations

Year	Planned	Actual
1997 (B)	NA	1,320
1998	2,000	3,615
1999	2,500	4,656
2000	3,500	5441
2001		

Source:

Human Rights Commission

Indicator/Description:

Human rights violations by police and armed forces and other authorities.

Comments:

Performance Data Table

Fiscal Year: FY2002

Objective Name: Citizens' rights better protected in law and practice

Objective ID: 383-002

Approved: 1998-04-24

Country/Organization: USAID Sri Lanka

Result Name: IR 2.2 Increased number of legal aid cases represented

Indicator: Legal aid cases represented

Disaggregated By:

Unit of Measure: Number of cases

Year	Planned	Actual
1997 (B)	NA	8,828
1998	11,000	9,369
1999	12,000	22,848
2000	15,000	25,373

Source:

TAF progress reports and Ministry of Justice records

Indicator/Description:

Citizens who do not have the ability to access effective mechanisms to protect and enforce rights are provided legal assistance. This includes legal advice provided by phone, hotline, clinic visits as well as cases filed in the courts.

Comments:

The Legal Aid Centers and the legal aid divisions of NGOs maintain records of legal cases represented on behalf of the disadvantaged people. The majority of cases represented through Legal Aid Centers are complaints relating to land law.

SO Text for SO: 383-003 Enhanced economic and social opportunities for disadvantaged groups

Country/Organization: USAID Sri Lanka

Objective ID: 383-003

Objective Name: Enhanced economic and social opportunities for disadvantaged groups

Self Assessment: Meeting Expectations

Primary Links to Agency Strategic Framework: **(Please Assign Percentages, Total Equals 100):**

0% 1.1 Critical private markets expanded and strengthened
0% 1.2 More rapid and enhanced agricultural development and food security encouraged
0% 1.3 Access to economic opportunity for the rural and urban poor expanded and made more equitable
0% 2.1 Rule of law and respect for human rights of women as well as men strengthened
0% 2.2 Credible and competitive political processes encouraged
0% 2.3 The development of politically active civil society promoted
0% 2.4 More transparent and accountable government institutions encouraged
0% 3.1 Access to quality basic education for under-served populations, especially for girls and women, expanded
0% 3.2 The contribution of host-country institutions of higher education to sustainable development increased
0% 4.1 Unintended and mistimed pregnancies reduced
0% 4.2 Infant and child health and nutrition improved and infant and child mortality reduced
0% 4.3 Deaths, nutrition insecurity, and adverse health outcomes to women as a result of pregnancy and childbirth reduced
0% 4.4 HIV transmission and the impact of the HIV/AIDS pandemic in developing countries reduced
0% 4.5 The threat of infectious diseases of major public health importance reduced
0% 5.1 Threat of global climate change reduced
0% 5.2 Biological diversity conserved
0% 5.3 Sustainable urbanization including pollution management promoted
0% 5.4 Use of environmentally sound energy services increased
0% 5.5 Sustainable management of natural resources increased
100% 6.1 Urgent needs in times of crisis met
0% 6.2 Personal security and basic institutions to meet critical intermediate needs and protect human rights re-established

Link to U.S. National Interests: Humanitarian Response

Primary Link to MPP Goals: Humanitarian Assistance

Secondary Link to MPP Goals (optional):

(Page limitations for narrative begin here):

Summary of the SO:

This strategic objective is the main contributor to the Mission Performance Plan humanitarian goal and the Agency's objective for humanitarian assistance. The 18-year ethnic conflict in the north and east has disabled thousands of people and displaced a large population, including children. Another serious threat to the well being of children, particularly boys, on the western and southwestern coasts of Sri Lanka is sexual exploitation and abuse. The purpose of this objective is to help these groups recover from adverse

circumstances and provide an opportunity for returning to a normal life. Beneficiaries include displaced children and families, orphans, youth exploited by the sex trade and amputees. USAID will use funding provided under the Displaced Children and Orphans Fund (DCOF), a component of the Child Survival and Disease Program, to assist children affected by the conflict, including child soldiers and street children subject to abuse, and funding provided under the War Victims Fund (WVF), to provide prosthetics to amputees.

Key Results:

The total number of children participating in community-based psychological and social activities was 17,757 against a target of 14,777. Assistance focused on strengthening family and community capacity to identify and address the physical, social, educational and emotional needs of children in the war affected areas. Other assistance included the provision of vocational training to children to provide skills for future occupations. The prosthetics program assisted a total of 5,443 amputees against a target of 5,800.

Performance and Prospects:

The psycho-social needs of disadvantaged children were addressed using funding from DCOF. In FY 2000, USAID supported local NGOs which provided opportunities for children affected by the conflict to participate in organized educational and play activities. The goal is to help them constructively deal with the trauma they have experienced, and to help them remain in school. Although these programs aim to build bridges between children of different ethnic groups, the success to date in this regard has been limited due to the reluctance of parents to allow their children to participate in inter-ethnic play activities. Reproductive and health programs, and training of volunteer mental health workers were commenced during the year to help address the psycho-social needs of these children. Trained "befrienders" assist NGOs in identifying children requiring more attention. Nutrition programs were carried out by USAID-funded NGOs in areas controlled by the LTTE where there is serious malnutrition and anemia. These NGOs will continue their programs in FY 2001. In addition, the NGOs will carry out a detailed analysis of the effects their programs have had on the children who participated.

Skills training programs were provided to vulnerable youth and children abused by sex tourists to empower them to seek alternative employment and socially acceptable income-generating opportunities. In addition, over 12,000 persons benefited from a series of awareness campaigns on sex tourism and HIV/AIDS which were conducted in four additional areas. The GSL requested a USAID funded NGO to assist them in providing skills training to former child soldiers.

The WVF supports the only NGO in Sri Lanka that serves the needs of amputees on a large scale. In FY 2000, the program provided 1,637 artificial limbs to 1,613 amputees as against a target of 1,500 amputees. As was the case last year, this program provided every eligible client with an appropriate prosthetic device. The NGO providing these devices has operations in four regions in Sri Lanka. The International Committee of the Red Cross has introduced its own prosthetics technology to the branch situated in the conflict zone, offering clients a lower limb based on more modern, lighter materials. Provision of this lighter weight and more mobile limb will offer more varied employment opportunities to clients.

Possible Adjustments to Plans:

The Mission proposes to refine the SO statement to more accurately reflect the purpose of the current humanitarian assistance activities. The revised statement would read "Improved integration of targeted disadvantaged groups into the community." While the wording has changed, this does not reflect a fundamental change in the scope or direction of the SO. New and more direct, outcome oriented indicators have been proposed (see Annex 2) to measure progress at the SO level as those used previously were not direct measures of the SO statement, nor were they outcome measures. Those indicators have been moved down to the activity level so they more accurately measure the outputs of the humanitarian assistance activities. In addition to continuing on-going activities, USAID seeks to broaden the impact of its program by: (i) supporting an anti-child soldier campaign; (ii) providing support to internally displaced persons and other war affected populations through a microenterprise loan program; and (iii) supporting the National Child Protection Authority. While continuing to provide support island-wide, USAID will make a concerted effort to focus on the war affected areas of the north and the east. In FY 2001, USAID will issue a request for applications to provide assistance through an international NGO to work with local NGOs and

community based organizations to carry out its humanitarian assistance program. The Mission will also work to lay a strong foundation for USAID's Office of Transition Initiatives to commence a program in Sri Lanka in the event of a peace agreement. This will be done in part by conducting a conflict assessment that will expand on information received during the democracy and governance assessment.

Other Donor Programs:

The GSL allows NGOs to work in the north and east. USAID activities complement the efforts of CARE which is funded from 416(b) proceeds provided by the USG, the United Nations International Children's Education Fund, the United Nations Development Program, the World Health Organization, the United Nations High Commission for Refugees, and other international voluntary organizations providing health care and shelter to those displaced by the conflict.

Major Contractors and Grantees:

Friends in Need Society, Salesian Brothers, Sarvodaya and Terre des Hommes.

Performance Data Table

Fiscal Year: FY2002

Objective Name: Enhanced economic and social opportunities for disadvantaged groups

Objective ID: 383-003

Approved: 1998-04-24

Country/Organization: USAID Sri Lanka

Result Name: Enhanced economic and social opportunities for disadvantaged groups

Indicator: Cumulative increase in number of children and youth participating in community based and facilitated psychological and social activities

Disaggregated By:

Unit of Measure: Number of children (cumulative)

Year	Planned	Actual
1997 (B)	NA	9,768
1998	13,068	13,477
1999	14,127	14,859
2000	14,777	17,757
2001	24,557	

Source:

Progress reports from grantees

Indicator/Description:

This indicator denotes the number of children participating in community based psychosocial activities.

Comments:

Planned figure of 24,557 for 2001 consist of the actual cumulative figure of 17,757 + planned figures of 6,800 for FY2001.

Performance Data Table

Fiscal Year: FY2002

Objective Name: Enhanced economic and social opportunities for disadvantaged groups

Objective ID: 383-003

Approved: 1998-04-24

Country/Organization: USAID Sri Lanka

Result Name: Enhanced economic and social opportunities for disadvantaged groups

Indicator: Cumulative number of amputees fitted with prosthetic devices

Disaggregated By:

Unit of Measure: Number of amputees (cumulative)

Year	Planned	Actual
1997 (B)	NA	1,300
1998	2,800	2,558
1999	4,300	3,830
2000	5,800	5,443
2001	7,043	

Source:

FINS progress reports

Indicator/Description:

This indicator denotes the number of civilian amputees and other physically disabled persons fitted with prosthetic devices.

Comments:

Despite increased military restrictions on travel in and out of the conflict zones, the FY2000 target of 1,500 amputees served was exceeded by 113. However, this excess was not sufficient to reach the cumulative goal of 5,800 amputees served.

Note: Planned figure of 7,043 for FY2001 consists of actual todate figure of 5,443 + planned figure of 1600 for FY2001.

SO Text for SO: 383-004 Increased Sri Lankan Competitiveness in the Global Marketplace

Country/Organization: USAID Sri Lanka

Objective ID: 383-004

Objective Name: Increased Sri Lankan Competitiveness in the Global Marketplace

Self Assessment: Meeting Expectations

Primary Links to Agency Strategic Framework: **(Please Assign Percentages, Total Equals 100):**

100% 1.1 Critical private markets expanded and strengthened
0% 1.2 More rapid and enhanced agricultural development and food security encouraged
0% 1.3 Access to economic opportunity for the rural and urban poor expanded and made more equitable
0% 2.1 Rule of law and respect for human rights of women as well as men strengthened
0% 2.2 Credible and competitive political processes encouraged
0% 2.3 The development of politically active civil society promoted
0% 2.4 More transparent and accountable government institutions encouraged
0% 3.1 Access to quality basic education for under-served populations, especially for girls and women, expanded
0% 3.2 The contribution of host-country institutions of higher education to sustainable development increased
0% 4.1 Unintended and mistimed pregnancies reduced
0% 4.2 Infant and child health and nutrition improved and infant and child mortality reduced
0% 4.3 Deaths, nutrition insecurity, and adverse health outcomes to women as a result of pregnancy and childbirth reduced
0% 4.4 HIV transmission and the impact of the HIV/AIDS pandemic in developing countries reduced
0% 4.5 The threat of infectious diseases of major public health importance reduced
0% 5.1 Threat of global climate change reduced
0% 5.2 Biological diversity conserved
0% 5.3 Sustainable urbanization including pollution management promoted
0% 5.4 Use of environmentally sound energy services increased
0% 5.5 Sustainable management of natural resources increased
0% 6.1 Urgent needs in times of crisis met
0% 6.2 Personal security and basic institutions to meet critical intermediate needs and protect human rights re-established

Link to U.S. National Interests: Economic Prosperity

Primary Link to MPP Goals: Economic Development

Secondary Link to MPP Goals (optional):

(Page limitations for narrative begin here):

Summary of the SO:

This strategic objective contributes directly to the Agency objective of expanded and strengthened private markets and to the Mission Performance Plan goal of open markets. The high level of unemployment among Sri Lanka's educated youth continues to threaten efforts to promote greater political stability in the country. Increased employment among this group requires accelerated growth of value added industries, allowing Sri Lanka to shift away from its dependence on low cost advantages such as export of basic

commodities and cheap labor. The purpose of this objective is to increase Sri Lanka's competitiveness in global markets. Progress is measured by the number of industry clusters, which develop and implement strategies that recommend innovation and investments in technology to upgrade quality and productivity, as well as policy or regulatory reforms. Beneficiaries include targeted industry clusters and support industries, which are characterized by the vertical and horizontal linkages between firms, suppliers, service providers, and specialized institutions, their members, and both men and woman in the labor force.

Key Results:

1) five clusters established with coordinators hired by the private sector stakeholders; 2) benchmarking on global best practices in the five cluster areas was conducted, but the quality of the benchmarking was too low to be considered satisfactorily completed. 3) industry clusters with competitiveness strategies remain to be completed; and 4) effective dialogue between public and private sectors to implement effective policy and regulatory frameworks for competitiveness should increase with the completion of the strategies.

Performance and Prospects:

In FY2000, activities were funded under the Improved Framework for Trade and Investment Strategic Objective. USAID supported a South Asia Regional Conference and sector-wide meetings in Sri Lanka which raised both public and private sector awareness about key concepts and tools of the competitiveness methodology. By the end of FY2000, five clusters (in tea, tourism, rubber, jewelry, and information and communication technologies) were formed with cluster coordinators hired by the private sector stakeholders. Benchmarking on global best practices in the cluster areas was conducted but will have to be redone as it was of poor quality. Work on cluster strategies had commenced.

USAID supported a trial survey for the World Economic Forum's Global Competitiveness Report to rank Sri Lanka in a global competitiveness index. The results indicated that Sri Lanka would have been ranked 44th of 60 countries if it had been included in the 2000 report. This exercise will help policy makers to prioritize and plan necessary changes in the economy. The analysis is expected to generate interest and dialogue between public and private sectors on competitiveness.

In FY2001, Sri Lanka will be ranked in the 2001 World Economic Forum competitiveness report. USAID will facilitate a conference to review the report and its findings and to discuss implementation of effective policy and regulatory frameworks for competitiveness. The ability to develop and implement good strategy is key in repositioning Sri Lankan industry to achieve its goal of increased competitiveness. Short-term technical assistance will help the clusters to complete their strategies and implement certain key actions identified therein. The greatest challenge in FY 2002 will be to oversee the development of action plans and ensure the clusters are focused on their implementation. USAID may also establish an endowment for an indigenous NGO to promote competitiveness and support public/private dialogue if this program phases out in September 2002.

Possible Adjustments to Plans:

The recently approved strategy reduced the implementation period of this objective from FY2005 to FY2002. This, together with the country's weakened financial position, will affect the potential results and expected impact. A mid-term evaluation scheduled for FY2001 will assess progress to date and suggest a programmatic approach and related results for the revised timeframe.

Notwithstanding the upcoming evaluation, a recent activity management review modified the indicators for this SO. The number of clusters formed in the first year was reduced to five. Given the delay in completing a quality benchmarking exercise, and subsequent delay in finalizing the strategies, the number of clusters to be formed in the second year has been reduced to three. The indicators relating to increase in value added exports and increase in investment are eliminated, given the revised estimated completion date of FY 2002.

Other Donor Programs:

The World Bank and the Asian Development Bank focus on activities that contribute to the enabling environment for private sector competitiveness such as improvement of the Colombo port, private power generation, rural electrification and loan guarantee programs for small and medium enterprises. The Japanese private sector program in Sri Lanka uses a government-led rather than private-sector-led approach to improving competitiveness, but works primarily in sectors not covered by USAID's program. The German Technical Cooperation provides private enterprise development and competitiveness based on development initiatives of USAID.

Major Contractors and Grantees:

The prime contractor for this project is the Nathan Associates/MSI Inc. joint venture with significant implementation by its sub-contractor J.E. Austin Associates.

Performance Data Table

Fiscal Year: FY2002

Objective Name: Increased Sri Lankan competitiveness in the global marketplace

Objective ID: 383-004

Approved: 0000-00-00

Country/Organization: USAID Sri Lanka

Result Name: Clusters organized

Indicator: number of clusters meeting cluster criteria

Disaggregated By:

Unit of Measure: number

Year	Planned	Actual
1999		0
2000		5

Source:

Nathan Associates reports

Indicator/Description:

Comments:

This is an output level indicator

R4 Part III: PART III: RESOURCE REQUEST

Budget Resources: USAID requests the following funding levels to effectively carry out its activities for FY 2001 – 2003. The bilateral program includes three SOs, in democracy and human rights, humanitarian assistance and economic growth. Experience in recent years indicates that USAID can make a difference in Sri Lanka with relatively modest levels of program funding.

in \$000)		FY 2001	FY 2002	FY 2003
SO2: Citizen's Rights Better Protected in Law & Practice	(ESF)	950	1,000	1,000
SO3: Enhanced Economic & Social Opportunities for Disadvantaged Groups	(CSD) (WVF)	300 200	300 200	300 200
SO4: Increased Sri Lankan Competitiveness in the Global Marketplace	(DA)	<u>3,000</u>	<u>3,000</u>	<u>-</u>
Total Bilateral Funding:		<u>4,450</u>	<u>4,500</u>	<u>1,500</u>
Operating Expenses (including ICASS)		<u>950</u>	<u>960</u>	<u>700</u>

Program Funds Request: SO2: Economic Support Funds are requested to carry out the democracy program. New activities have been identified as a result of the democracy assessment. The funding will support costs related to: 1) the peace process by strengthening constituencies for peace; 2) rights protection; 3) democratic reform; and 4) program management. The expenditure rate is expected to increase once the new activities commence.

SO3: HUMANITARIAN ASSISTANCE ACTIVITIES WILL, AS IN PREVIOUS YEARS, BE FUNDED FROM TWO SOURCES. USAID EXPECTS TO BE ALLOCATED ON AN ANNUAL BASIS: (I) \$300,000 FROM THE DISPLACED CHILDREN AND ORPHANS FUND TO PROVIDE PSYCHOSOCIAL SERVICES TO CHILDREN AFFECTED BY THE ETHNIC CONFLICT; AND (II) \$200,000 FROM THE WAR VICTIMS FUND THROUGH THE GLOBAL BUREAU TO PROVIDE PROSTHETICS TO THE DISABLED. DURING FY 2001, USAID WILL ISSUE A REQUEST FOR

APPLICATIONS TO PROVIDE ASSISTANCE THROUGH AN INTERNATIONAL NGO TO WORK WITH LOCAL NGOs AND COMMUNITY BASED ORGANIZATIONS TO BROADEN THE IMPACT OF THE HUMANITARIAN ASSISTANCE PROGRAM.

SO4: USAID will fund activities to support and strengthen competitiveness of Sri Lankan industries. As instructed in the FY 2001 - 2005 Strategy review cable, USAID will begin implementation of its transition plan and work towards terminating its DA funded SO4 by the end of FY 2002. Given the reduced timeframe for the life of this SO, technical assistance and training for business associations and industry cluster development must be accelerated. Funds are expected to be utilized to set up an endowment to continue to provide support to facilitate increased competitiveness by Sri Lankan industries.

As of September 30, 2000, USAID's active pipeline was \$9.3 million. Total expenditures for FY 2001 are expected to be around \$ 5.0 million, and the resulting pipeline after obligating FY 2001 funds will be around \$ 8.7 million (10 months of forward funding). The slow disbursement rate for The Competitiveness Initiative in previous years, the reduction in the timeframe for implementing SO4, and the current changes in the political and economic climate in Sri Lanka have led to USAID reviewing its activities under all its SOs. It is expected that once USAID commences implementation of the activities recommended in the competitiveness mid-term evaluation and the democracy and governance assessment, expenditure rates will accelerate.

Total expenditures for FY 2002 are expected to be around \$ 10.0 million. This increase will mainly be due to the expenditure of DA funds for the establishment of the competitiveness endowment. By September 2002, the total pipeline is expected to reduce to around \$ 3.2 million (18 months of forward funding). Given the delays in receiving funds in a fiscal year, and the political environment in Sri Lanka, USAID needs to have flexibility to take optimum advantage of the critical opportunities that may arise under SO2 and SO3. Additional resources will be requested if significant progress is made in reaching a negotiated settlement of the war. USAID will also request funding from the Office of Transition Initiatives to commence a program in Sri Lanka in the event of a peace agreement.

As of March 31, 2001 US\$ 2.44 million (Rupees 214 million) of local currency restricted special account funds (from previous PL 480 Title III programs) were committed to support program costs. In addition, around \$4.0 million (Rupees 342 million) of the restricted special account funds are available for programming. However, the total available may actually be less in dollar equivalent due to depreciation in the rupee. As indicated previously, these funds are expected to be utilized to set up the competitiveness endowment.

Operating Expense Request: The Operating Expense (OE) budget level in FY 2001 is \$950,000. Our OE request for FY 2002 is \$960,000. With the departure of the two USDH in FY 2003, the budget level will reduce to \$700,000.

Staff Resources: USAID is scheduled to transition to a new management structure effective September 2002. Additionally, several experienced professional foreign national staff will leave USAID at the end of FY2001. To support ongoing programs and the transition to the new structure, Mission management plans to hire additional staff. These will include two USPSCs and an additional foreign national. USAID will continue to require the financial management and accounting services of USAID/New Delhi during the plan period. In addition, USAID will require periodic support from the USAID/New Delhi Regional Contracting Officer and Executive Officer, as well as legal services from the RLA assigned to USAID/Jakarta.

FY 2001 Budget Request by Program/Country

Fiscal Year: 2001 Program/Country: USAID/Sri Lanka
 Approp: DA/CSD
 Scenario: Base

FY 2001 Request															
S.O. # , Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2001
SO 1: Improved Framework for Trade and Investment															
Bilateral	3,801,467	0						0						3,105,000	696,467
Field Spt		0												0	0
	3,801,467	0	0	0	0	0	0	0	0	0	0	0	0	3,105,000	696,467
SO 2: Citizens' Rights Better Protected in Law and Practice															
Bilateral	121,000	0												121,000	0
Field Spt		0												0	0
	121,000	0	0	0	0	0	0	0	0	0	0	0	0	121,000	0
SO 3: Enhanced Economic and Social Opportunities for Disadvantaged Groups															
Bilateral	2,338,634	300,000									300,000			200,000	2,438,634
Field Spt		0												0	0
	2,338,634	300,000	0	0	0	0	0	0	0	0	300,000	0	0	200,000	2,438,634
SO 4: Increased Sri Lankan Competitiveness in the Global Marketplace															
Bilateral	2,000,000	3,000,000		3,000,000										600,000	4,400,000
Field Spt		0												0	0
	2,000,000	3,000,000	0	3,000,000	0	0	0	0	0	0	0	0	0	600,000	4,400,000
SO 5:															
Bilateral		0													0
Field Spt		0												0	0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6:															
Bilateral		0													0
Field Spt		0												0	0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7:															
Bilateral		0													0
Field Spt		0												0	0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 8:															
Bilateral		0													0
Field Spt		0												0	0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral	8,261,101	3,300,000	0	3,000,000	0	0	0	0	0	0	300,000	0	0	4,026,000	7,535,101
Total Field Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM	8,261,101	3,300,000	0	3,000,000	0	0	0	0	0	0	300,000	0	0	4,026,000	7,535,101

FY 2001 Request Agency Goal Totals	
Econ Growth	3,000,000
Democracy	0
HCD	0
PHN	300,000
Environment	0
GCC (from all Goals)	0

FY 2001 Account Distribution (DA only)	
DA Program Total	3,000,000
CSD Program Total	300,000
TOTAL	3,300,000

Prepare one set of tables for each Fiscal Year (FY2001, FY2002, FY2003)
 Prepare one set of tables for each appropriation Account
 Tables for DA and CSD may be combined on one table.
 For the DA/CSD Table, columns marked with (*) will be funded from the CSD Account

FY 2002 Budget Request by Program/Country

Fiscal Year: 2002 Program/Country: USAID/Sri Lanka
 Approp: DA/CSD
 Scenario: Base

FY 2002 Request															
S.O. #, Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2002
SO 1: Improved Framework for Trade and Investment															
Bilateral	696,467	0						0						696,467	0
Field Spt		0												0	0
	696,467	0	0	0	0	0	0	0	0	0	0	0	0	696,467	0
SO 2: Citizens' Rights Better Protected in Law and Practice															
Bilateral		0													0
Field Spt		0												0	0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 3: Enhanced Economic and Social Opportunities for Disadvantaged Groups															
Bilateral	2,438,634	300,000									300,000			738,634	2,000,000
Field Spt		0												0	0
	2,438,634	300,000	0	0	0	0	0	0	0	0	300,000	0	0	738,634	2,000,000
SO 4: Increased Sri Lankan Competitiveness in the Global Marketplace															
Bilateral	4,400,000	3,000,000		3,000,000										7,400,000	0
Field Spt		0												0	0
	4,400,000	3,000,000	0	3,000,000	0	0	0	0	0	0	0	0	0	7,400,000	0
SO 5:															
Bilateral		0													0
Field Spt		0												0	0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6:															
Bilateral		0													0
Field Spt		0												0	0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7:															
Bilateral		0													0
Field Spt		0												0	0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 8:															
Bilateral		0													0
Field Spt		0												0	0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral	7,535,101	3,300,000	0	3,000,000	0	0	0	0	0	0	300,000	0	0	8,835,101	2,000,000
Total Field Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM	7,535,101	3,300,000	0	3,000,000	0	0	0	0	0	0	300,000	0	0	8,835,101	2,000,000

FY 2002 Request Agency Goal Totals	
Econ Growth	3,000,000
Democracy	0
HCD	0
PHN	300,000
Environment	0
GCC (from all Goals)	0

FY 2002 Account Distribution (DA only)	
DA Program Total	3,000,000
CSD Program Total	300,000
TOTAL	3,300,000

Prepare one set of tables for each Fiscal Year (FY2001, FY2002, FY2003)
 Prepare one set of tables for each appropriation Account
 Tables for DA and CSD may be combined on one table.
 For the DA/CSD Table, columns marked with (*) will be funded from the CSD Account.

FY 2003 Budget Request by Program/Country

Fiscal Year: 2003 Program/Country: Sri Lanka
 Approp: DA/CSD
 Scenario: Base

FY 2003 Request															
S.O. #, Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2003
SO 1: Improved Framework for Trade and Investment															
Bilateral	0	0						0							0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 2: Citizens' Rights Better Protected in Law and Practice															
Bilateral		0													0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 3: Enhanced Economic and Social Opportunities for Disadvantaged Groups															
Bilateral	2,000,000	300,000									300,000			700,000	1,600,000
Field Spt		0												0	0
	2,000,000	300,000	0	0	0	0	0	0	0	0	300,000	0	0	700,000	1,600,000
SO 4: Increased Sri Lankan Competitiveness in the Global Marketplace															
Bilateral		0													0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 5:															
Bilateral		0													0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6:															
Bilateral		0													0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7:															
Bilateral		0													0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 8:															
Bilateral		0													0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral	2,000,000	300,000	0	0	0	0	0	0	0	0	300,000	0	0	700,000	1,600,000
Total Field Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM	2,000,000	300,000	0	0	0	0	0	0	0	0	300,000	0	0	700,000	1,600,000

FY 2003 Request Agency Goal Totals	
Econ Growth	0
Democracy	0
HCD	0
PHN	300,000
Environment	0
GCC (from all Goals)	0

FY 2003 Account Distribution (DA only)	
DA Program Total	0
CSD Program Total	300,000
TOTAL	300,000

Prepare one set of tables for each Fiscal Year (FY2001, FY2002, FY2003)
 Prepare one set of tables for each appropriation Account
 Tables for DA and CSD may be combined on one table.
 For the DA/CSD Table, columns marked with (*) will be funded from the CSD Account.

FY 2001 Budget Request by Program/Country

Fiscal Year: 2001 Program/Country: USAID/Sri Lanka
 Approp: ESF
 Scenario: Base

FY 2001 Request															
S.O. # , Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2001
SO 1:															
Bilateral		0						0							0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 2: Citizens' Rights Better Protected in Law and Practice															
Bilateral	1,048,363	950,000											950,000	1,016,000	982,363
Field Spt		0													0
	1,048,363	950,000	0	0	0	0	0	0	0	0	0	0	950,000	1,016,000	982,363
SO 3:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 4:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 5:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 8:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral	1,048,363	950,000	0	0	0	0	0	0	0	0	0	0	950,000	1,016,000	982,363
Total Field Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM	1,048,363	950,000	0	0	0	0	0	0	0	0	0	0	950,000	1,016,000	982,363

FY 2001 Request Agency Goal Totals	
Econ Growth	0
Democracy	950,000
HCD	0
PHN	0
Environment	0
GCC (from all Goals)	0

FY 2001 Account Distribution (DA only)	
DA Program Total	0
CSD Program Total	0
TOTAL	0

Prepare one set of tables for each Fiscal Year (FY2001, FY2002, FY2003)
 Prepare one set of tables for each appropriation Account
 Tables for DA and CSD may be combined on one table.
 For the DA/CSD Table, columns marked with (*) will be funded from the CSD Account

FY 2002 Budget Request by Program/Country

Fiscal Year: 2002 Program/Country: USAID/Sri Lanka
 Approp: ESF
 Scenario: Base

FY 2002 Request															
S.O. #, Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2002
SO 1:															
Bilateral		0						0							0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 2: Citizens' Rights Better Protected in Law and Practice															
Bilateral	982,363	1,000,000											1,000,000	1,200,000	782,363
Field Spt		0													0
	982,363	1,000,000	0	0	0	0	0	0	0	0	0	0	1,000,000	1,200,000	782,363
SO 3:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 4:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 5:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 8:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral	982,363	1,000,000	0	0	0	0	0	0	0	0	0	0	1,000,000	1,200,000	782,363
Total Field Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM	982,363	1,000,000	0	0	0	0	0	0	0	0	0	0	1,000,000	1,200,000	782,363

FY 2002 Request Agency Goal Totals	
Econ Growth	0
Democracy	1,000,000
HCD	0
PHN	0
Environment	0
GCC (from all Goals)	0

FY 2002 Account Distribution (DA only)	
DA Program Total	0
CSD Program Total	0
TOTAL	0

Prepare one set of tables for each Fiscal Year (FY2001, FY2002, FY2003)
 Prepare one set of tables for each appropriation Account
 Tables for DA and CSD may be combined on one table.
 For the DA/CSD Table, columns marked with (*) will be funded from the CSD Account.

FY 2003 Budget Request by Program/Country

Fiscal Year: 2003 Program/Country: USAID/Sri Lanka
 Approp: ESF
 Scenario: Base

FY 2003 Request															
S.O. #, Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2003
SO 1:															
Bilateral		0						0							0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 2: Citizens' Rights Better Protected in Law and Practice															
Bilateral	782,363	1,000,000											1,000,000	1,200,000	582,363
Field Spt		0													0
	782,363	1,000,000	0	0	0	0	0	0	0	0	0	0	1,000,000	1,200,000	582,363
SO 3:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 4:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 5:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 8:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral	782,363	1,000,000	0	0	0	0	0	0	0	0	0	0	1,000,000	1,200,000	582,363
Total Field Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM	782,363	1,000,000	0	0	0	0	0	0	0	0	0	0	1,000,000	1,200,000	582,363

FY 2003 Request Agency Goal Totals	
Econ Growth	0
Democracy	1,000,000
HCD	0
PHN	0
Environment	0
GCC (from all Goals)	0

FY 2003 Account Distribution (DA only)	
DA Program Total	0
CSD Program Total	0
TOTAL	0

Prepare one set of tables for each Fiscal Year (FY2001, FY2002, FY2003)
 Prepare one set of tables for each appropriation Account
 Tables for DA and CSD may be combined on one table.
 For the DA/CSD Table, columns marked with (*) will be funded from the CSD Account.

Washington and Overseas Workforce Tables

Org_USAID/Sri Lanka End of year On-Board								Total	Org.	Fin.	Admin.	Con-	All	Total	Total		
FY 2001 Estimate	SO 1	SO 2	SO 3	SO 4	SO 5	SpO1	SpO2	SO/SpO	Mgmt.	Mgmt	Mgmt	tract	Legal	Other	Mgmt.	Staff	
OE Funded: 1/																	
U.S. Direct Hire				1				1	1						1	2	
Other U.S. Citizens								0	1						1	1	
FSN/TCN Direct Hire								0			1				1	1	
Other FSN/TCN		0.5	0.5	1				2	3	3	7	1			14	16	
Subtotal	0	0.5	0.5	2	0	0	0	3	5	3	8	1	0	0	17	20	
Program Funded 1/																	
U.S. Citizens		0.5	0.5					1							0	1	
FSNs/TCNs		1	1	5				7							0	7	
Subtotal	0	1.5	1.5	5	0	0	0	8	0	0	0	0	0	0	0	8	
Total Direct Workforce	0	2	2	7	0	0	0	11	5	3	8	1	0	0	17	28	
TAACS								0							0	0	
Fellows								0							0	0	
NEPs								0							0	0	
Subtotal	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
TOTAL WORKFORCE	0	2	2	7	0	0	0	11	5	3	8	1	0	0	17	28	

1/ Excludes TAACS, Fellows, and NEPs

Washington and Overseas Workforce Tables

Org_ USAID/Sri Lanka End of year On-Board								Total	Org.	Fin.	Admin.	Con-		All	Total	Total	
FY 2002 Target	SO 1	SO 2	SO 3	SO 4	SO 5	SpO1	SpO2	SO/SpO	Mgmt.	Mgmt	Mgmt	tract	Legal	Other	Mgmt.	Staff	
OE Funded: 1/																	
U.S. Direct Hire				1				1	1						1	2	
Other U.S. Citizens								0	1						1	1	
FSN/TCN Direct Hire								0							0	0	
Other FSN/TCN		0.5	0.5	1				2	2	3	7	1			13	15	
Subtotal	0	0.5	0.5	2	0	0	0	3	4	3	7	1	0	0	15	18	
Program Funded 1/																	
U.S. Citizens		0.5	0.5					1							0	1	
FSNs/TCNs		1	1	5				7							0	7	
Subtotal	0	1.5	1.5	5	0	0	0	8	0	0	0	0	0	0	0	8	
Total Direct Workforce	0	2	2	7	0	0	0	11	4	3	7	1	0	0	15	26	
TAACS								0							0	0	
Fellows								0							0	0	
IDIs								0							0	0	
Subtotal	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
TOTAL WORKFORCE	0	2	2	7	0	0	0	11	4	3	7	1	0	0	15	26	

1/ Excludes TAACS, Fellows, and NEPs

Washington and Overseas Workforce Tables

Org _____ End of year On-Board								Total SO/SpO Staff	Org. Mgmt.	Fin. Mgmt	Admin. Mgmt	Con- tract	Legal	All Other	Total Mgmt.	Total Staff	
FY 2003 Target	SO 1	SO 2	SO 3	SO 4	SO 5	SpO1	SpO2										
OE Funded: 1/																	
U.S. Direct Hire								0							0	0	
Other U.S. Citizens								0	1						1	1	
FSN/TCN Direct Hire								0							0	0	
Other FSN/TCN		0.5	0.5	1				2	1	2	4	1		8	10		
Subtotal	0	0.5	0.5	1	0	0	0	2	2	2	4	1	0	9	11		
Program Funded 1/																	
U.S. Citizens		0.5	0.5					1						0	1		
FSNs/TCNs		1	1	2				4						0	4		
Subtotal	0	1.5	1.5	2	0	0	0	5	0	0	0	0	0	0	5		
Total Direct Workforce	0	2	2	3	0	0	0	7	2	2	4	1	0	9	16		
TAACS								0							0	0	
Fellows								0							0	0	
IDIs								0							0	0	
Subtotal	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		
TOTAL WORKFORCE	0	2	2	3	0	0	0	7	2	2	4	1	0	9	16		

1/ Excludes TAACS, Fellows, and NEPs

Washington and Overseas Workforce Tables

Org End of year On-Board FY 2003 Request	SO 1	SO 2	SO 3	SO 4	SO 5	SpO1	SpO2	Total SO/SpO Staff	Org. Mgmt.	Fin. Mgmt	Admin. Mgmt	Con- tract	Legal	All Other	Total Mgmt.	Total Staff
OE Funded: 1/																
U.S. Direct Hire								0							0	0
Other U.S. Citizens								0	1						1	1
FSN/TCN Direct Hire								0							0	0
Other FSN/TCN		0.5	0.5	1				2	1	2	4	1			8	10
Subtotal	0	0.5	0.5	1	0	0	0	2	2	2	4	1	0	0	9	11
Program Funded 1/																
U.S. Citizens		0.5	0.5					1							0	1
FSNs/TCNs		1	1	2				4							0	4
Subtotal	0	1.5	1.5	2	0	0	0	5	0	0	0	0	0	0	0	5
Total Direct Workforce	0	2	2	3	0	0	0	7	2	2	4	1	0	0	9	16
TAACS								0							0	0
Fellows								0							0	0
IDIs								0							0	0
Subtotal	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL WORKFORCE	0	2	2	3	0	0	0	7	2	2	4	1	0	0	9	16

1/ Excludes TAACS, Fellows, and NEPs

Mission: USAID/Sri Lanka

Occupational Backstop (BS)	Number of USDH Employees in Backstop in:			
	FY 2001	FY 2002	FY 2003	FY 2004

Senior Management				
SMG - 01	1	1		
Program Management				
Program Mgt - 02				
Project Dvpm Officer - 94				
Support Management				
EXO - 03				
Controller - 04				
Legal - 85				
Commodity Mgt. - 92				
Contract Mgt. - 93				
Sector Management				
Agriculture - 10 & 14				
Economics - 11				
Democracy - 12				
Food for Peace - 15				
Private Enterprise - 21	1	1		
Engineering - 25				
Environment - 40 & 75				
Health/Pop. - 50				
Education - 60				

Total	2	2	0	0
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OPERATING EXPENSES

Org. Title: USAID/SRI LANKA Org. No: 23383 OC		FY 2001 Estimate			FY 2002 Target			FY 2003 Target			FY 2003 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
11.1	Personnel compensation, full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.1	Base Pay & pymt. for annual leave balances - FNDH	11.3		11.3		0.0		0.0		0.0		0.0	
	Subtotal OC 11.1	11.3	0.0	11.3	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	
11.3	Personnel comp. - other than full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.3	Base Pay & pymt. for annual leave balances - FNDH			0.0		0.0		0.0		0.0		0.0	
	Subtotal OC 11.3	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	
11.5	Other personnel compensation	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.5	USDH			0.0		0.0		0.0		0.0		0.0	
11.5	FNDH	10.7		10.7		0.0		0.0		0.0		0.0	
	Subtotal OC 11.5	10.7	0.0	10.7	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	
11.8	Special personal services payments	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.8	USPSC Salaries	138.0		138.0	200.0		200.0	150.0		150.0	150.0	150.0	
11.8	FN PSC Salaries	127.5		127.5	118.1		118.1	135.1		135.1	135.1	135.1	
11.8	IPA/Details-In/PASAs/RSSAs Salaries			0.0		0.0		0.0		0.0		0.0	
	Subtotal OC 11.8	265.5	0.0	265.5	318.1	0.0	318.1	285.1	0.0	285.1	285.1	0.0	
12.1	Personnel benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	USDH benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	Educational Allowances	29.4		29.4	27.2		27.2			0.0		0.0	
12.1	Cost of Living Allowances			0.0		0.0		0.0		0.0		0.0	
12.1	Home Service Transfer Allowances			0.0		0.0		0.0		0.0		0.0	
12.1	Quarters Allowances	4.1		4.1	5.0		5.0	5.0		5.0	5.0	5.0	
12.1	Other Misc. USDH Benefits	6.8		6.8	6.8		6.8			0.0		0.0	
12.1	FNDH Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	* Payments to FSN Voluntary Separation Fund - FNDH	1.0		1.0		0.0		0.0		0.0		0.0	
12.1	Other FNDH Benefits	2.7		2.7		0.0		0.0		0.0		0.0	
12.1	US PSC Benefits			0.0		0.0		0.0		0.0		0.0	
12.1	FN PSC Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	* Payments to FSN Voluntary Separation Fund - FN PSC	3.0		3.0		0.0		0.0		0.0		0.0	
12.1	Other FN PSC Benefits	11.0		11.0	11.0		11.0	11.0		11.0	11.0	11.0	
12.1	IPA/Detail-In/PASA/RSSA Benefits			0.0		0.0		0.0		0.0		0.0	
	Subtotal OC 12.1	58.0	0.0	58.0	50.0	0.0	50.0	16.0	0.0	16.0	16.0	0.0	
13.0	Benefits for former personnel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	FNDH	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FNDH			0.0		0.0		0.0		0.0		0.0	
13.0	Other Benefits for Former Personnel - FNDH			0.0		0.0		0.0		0.0		0.0	
13.0	FN PSCs	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FN PSCs	4.0		4.0	40.0		40.0	4.0		4.0	4.0	4.0	
13.0	Other Benefits for Former Personnel - FN PSCs			0.0		0.0		0.0		0.0		0.0	
	Subtotal OC 13.0	4.0	0.0	4.0	40.0	0.0	40.0	4.0	0.0	4.0	4.0	0.0	
21.0	Travel and transportation of persons	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		

OPERATING EXPENSES

Org. Title: USAID/SRI LANKA		FY 2001 Estimate			FY 2002 Target			FY 2003 Target			FY 2003 Request		
Org. No: 23383		Dollars	TF	Total									
OC													
21.0	Training Travel	52.0		52.0	42.0		42.0	20.0		20.0	20.0		20.0
21.0	Mandatory/Statutory Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Post Assignment Travel - to field	9.2		9.2			0.0			0.0			0.0
21.0	Assignment to Washington Travel			0.0	20.0		20.0			0.0			0.0
21.0	Home Leave Travel	20.0		20.0			0.0	5.0		5.0	5.0		5.0
21.0	R & R Travel			0.0			0.0			0.0			0.0
21.0	Education Travel			0.0			0.0			0.0			0.0
21.0	Evacuation Travel	5.0		5.0	5.0		5.0	3.0		3.0	3.0		3.0
21.0	Retirement Travel			0.0			0.0			0.0			0.0
21.0	Pre-Employment Invitational Travel			0.0			0.0			0.0			0.0
21.0	Other Mandatory/Statutory Travel			0.0			0.0			0.0			0.0
21.0	Operational Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Site Visits - Headquarters Personnel	25.1		25.1	25.1		25.1	25.1		25.1	25.1		25.1
21.0	Site Visits - Mission Personnel	7.4		7.4	7.4		7.4	7.4		7.4	7.4		7.4
21.0	Conferences/Seminars/Meetings/Retreats	29.0		29.0	30.0		30.0	10.0		10.0	10.0		10.0
21.0	Assessment Travel			0.0			0.0			0.0			0.0
21.0	Impact Evaluation Travel			0.0			0.0			0.0			0.0
21.0	Disaster Travel (to respond to specific disasters)			0.0			0.0			0.0			0.0
21.0	Recruitment Travel			0.0			0.0			0.0			0.0
21.0	Other Operational Travel	3.2		3.2	10.0		10.0	10.0		10.0	10.0		10.0
	Subtotal OC 21.0	150.9	0.0	150.9	139.5	0.0	139.5	80.5	0.0	80.5	80.5	0.0	80.5
22.0	Transportation of things	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
22.0	Post assignment freight	17.0		17.0	27.0		27.0			0.0			0.0
22.0	Home Leave Freight	10.0		10.0	54.0		54.0	27.0		27.0	27.0		27.0
22.0	Retirement Freight			0.0			0.0			0.0			0.0
22.0	Transportation/Freight for Office Furniture/Equip.	2.0		2.0			0.0			0.0			0.0
22.0	Transportation/Freight for Res. Furniture/Equip.	2.0		2.0			0.0			0.0			0.0
	Subtotal OC 22.0	31.0	0.0	31.0	81.0	0.0	81.0	27.0	0.0	27.0	27.0	0.0	27.0
23.2	Rental payments to others	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.2	Rental Payments to Others - Office Space			0.0			0.0			0.0			0.0
23.2	Rental Payments to Others - Warehouse Space			0.0			0.0			0.0			0.0
23.2	Rental Payments to Others - Residences	20.7		20.7	20.5		20.5	11.0		11.0	11.0		11.0
	Subtotal OC 23.2	20.7	0.0	20.7	20.5	0.0	20.5	11.0	0.0	11.0	11.0	0.0	11.0
23.3	Communications, utilities, and miscellaneous charges	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.3	Office Utilities			0.0			0.0			0.0			0.0
23.3	Residential Utilities	9.0		9.0	9.9		9.9	4.0		4.0	4.0		4.0
23.3	Telephone Costs	20.0		20.0	22.0		22.0	20.0		20.0	20.0		20.0
23.3	IT Software Leases			0.0			0.0			0.0			0.0
23.3	IT Hardware Lease			0.0			0.0			0.0			0.0
23.3	Commercial Time Sharing			0.0			0.0			0.0			0.0
23.3	Postal Fees (Other than APO Mail)			0.0			0.0			0.0			0.0
23.3	Other Mail Service Costs			0.0			0.0			0.0			0.0
23.3	Courier Services	3.0		3.0	3.5		3.5	3.5		3.5	3.5		3.5

OPERATING EXPENSES

Org. Title: USAID/SRI LANKA		FY 2001 Estimate			FY 2002 Target			FY 2003 Target			FY 2003 Request		
Org. No: 23383		Dollars	TF	Total									
OC													
	Subtotal OC 23.3	32.0	0.0	32.0	35.4	0.0	35.4	27.5	0.0	27.5	27.5	0.0	27.5
24.0	Printing and Reproduction			0.0			0.0			0.0			0.0
	Subtotal OC 24.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.1	Advisory and assistance services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.1	Studies, Analyses, & Evaluations			0.0			0.0			0.0			0.0
25.1	Management & Professional Support Services	25.4		25.4	20.0		20.0	20.0		20.0	20.0		20.0
25.1	Engineering & Technical Services			0.0			0.0			0.0			0.0
	Subtotal OC 25.1	25.4	0.0	25.4	20.0	0.0	20.0	20.0	0.0	20.0	20.0	0.0	20.0
25.2	Other services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.2	Office Security Guards			0.0			0.0			0.0			0.0
25.2	Residential Security Guard Services	3.0		3.0	3.0		3.0	3.0		3.0	3.0		3.0
25.2	Official Residential Expenses			0.0			0.0			0.0			0.0
25.2	Representation Allowances	0.7		0.7	0.7		0.7	0.7		0.7	0.7		0.7
25.2	Non-Federal Audits			0.0			0.0			0.0			0.0
25.2	Grievances/Investigations			0.0			0.0			0.0			0.0
25.2	Insurance and Vehicle Registration Fees			0.0			0.0			0.0			0.0
25.2	Vehicle Rental	2.0		2.0	1.0		1.0	1.0		1.0	1.0		1.0
25.2	Manpower Contracts			0.0			0.0			0.0			0.0
25.2	Records Declassification & Other Records Services			0.0			0.0			0.0			0.0
25.2	Recruiting activities			0.0			0.0			0.0			0.0
25.2	Penalty Interest Payments			0.0			0.0			0.0			0.0
25.2	Other Miscellaneous Services	7.5		7.5	5.0		5.0	7.5		7.5	7.5		7.5
25.2	Staff training contracts	11.7		11.7	10.0		10.0	10.0		10.0	10.0		10.0
25.2	IT related contracts			0.0			0.0			0.0			0.0
	Subtotal OC 25.2	24.9	0.0	24.9	19.7	0.0	19.7	22.2	0.0	22.2	22.2	0.0	22.2
25.3	Purchase of goods and services from Government accounts	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.3	ICASS	172.0		172.0	175.0		175.0	175.0		175.0	175.0		175.0
25.3	All Other Services from Other Gov't. accounts			0.0			0.0			0.0			0.0
	Subtotal OC 25.3	172.0	0.0	172.0	175.0	0.0	175.0	175.0	0.0	175.0	175.0	0.0	175.0
25.4	Operation and maintenance of facilities	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.4	Office building Maintenance	3.0		3.0	3.0		3.0	3.0		3.0	3.0		3.0
25.4	Residential Building Maintenance	10.0		10.0	10.0		10.0	5.0		5.0	5.0		5.0
	Subtotal OC 25.4	13.0	0.0	13.0	13.0	0.0	13.0	8.0	0.0	8.0	8.0	0.0	8.0
25.6	Medical Care	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
	Subtotal OC 25.6	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.7	Operation/maintenance of equipment & storage of goods	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.7	IT and telephone operation and maintenance costs	5.5		5.5	5.5		5.5	5.5		5.5	5.5		5.5
25.7	Storage Services			0.0			0.0			0.0			0.0
25.7	Office Furniture/Equip. Repair and Maintenance	1.0		1.0	1.0		1.0	1.0		1.0	1.0		1.0

OPERATING EXPENSES

Org. Title: USAID/SRI LANKA Org. No: 23383 OC		FY 2001 Estimate			FY 2002 Target			FY 2003 Target			FY 2003 Request		
		Dollars	TF	Total									
25.7	Vehicle Repair and Maintenance	5.0		5.0	5.0		5.0	5.0	5.0	5.0		5.0	
25.7	Residential Furniture/Equip. Repair and Maintenance	1.0		1.0	5.0		5.0	2.0		2.0	2.0	2.0	
	Subtotal OC 25.7	12.5	0.0	12.5	16.5	0.0	16.5	13.5	0.0	13.5	13.5	0.0	13.5
25.8	Subsistence & spt. of persons (by contract or Gov't.)			0.0			0.0			0.0			0.0
	Subtotal OC 25.8	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
26.0	Supplies and materials	82.0		82.0	13.2		13.2	10.2		10.2	10.2		10.2
	Subtotal OC 26.0	82.0	0.0	82.0	13.2	0.0	13.2	10.2	0.0	10.2	10.2	0.0	10.2
31.0	Equipment	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
31.0	Purchase of Residential Furniture/Equip.	5.1		5.1	5.1		5.1			0.0			0.0
31.0	Purchase of Office Furniture/Equip.	3.0		3.0	3.0		3.0			0.0			0.0
31.0	Purchase of Vehicles			0.0			0.0			0.0			0.0
31.0	Armoring of Vehicles			0.0			0.0			0.0			0.0
31.0	Purchase of Printing/Graphics Equipment			0.0			0.0			0.0			0.0
31.0	IT Hardware purchases	22.5		22.5	5.0		5.0			0.0			0.0
31.0	IT Software purchases	5.5		5.5	5.0		5.0			0.0			0.0
	Subtotal OC 31.0	36.1	0.0	36.1	18.1	0.0	18.1	0.0	0.0	0.0	0.0	0.0	0.0
32.0	Lands and structures	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
32.0	Purchase of Land & Buildings (& bldg. construction)			0.0			0.0			0.0			0.0
32.0	Purchase of fixed equipment for buildings			0.0			0.0			0.0			0.0
32.0	Purchase of fixed security equipment for buildings			0.0			0.0			0.0			0.0
32.0	Building Renovations/Alterations - Office			0.0			0.0			0.0			0.0
32.0	Building Renovations/Alterations - Residential			0.0			0.0			0.0			0.0
	Subtotal OC 32.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
42.0	Claims and indemnities			0.0			0.0			0.0			0.0
	Subtotal OC 42.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
TOTAL BUDGET		950.0	0.0	950.0	960.0	0.0	960.0	700.0	0.0	700.0	700.0	0.0	700.0

Additional Mandatory Information

Dollars Used for Local Currency Purchases	<u>272.0</u>	<u>271.0</u>	<u>229.0</u>
Exchange Rate Used in Computations	<u>80.0</u>	<u>80.0</u>	<u>80.0</u>

* If data is shown on either of these lines, you MUST submit the form showing deposits to and withdrawals from the FSN Voluntary Separation Fund.
On that form, OE funded deposits must equal: 4.0 0.0 0.0

Organization: USAID/SRI LANKA

Foreign National Voluntary Separation Account									
Action	FY 2001			FY 2002			FY 2003		
	OE	Program	Total	OE	Program	Total	OE	Program	Total
Deposits	4.0		4.0			0.0			0.0
Withdrawals	21.7		21.7	9.0	5.2	14.2	7.0		7.0

Local Currency Trust Funds - Regular				
	FY 2001 Estimate	FY 2002 Target	FY 2003 Target	FY 2003 Request
Balance Start of Year				
Obligations				
Deposits				
Balance End of Year	0.0	0.0	0.0	0.0

Exchange Rate _____

Local Currency Trust Funds - Real Property				
	FY 2001 Estimate	FY 2002 Target	FY 2003 Target	FY 2003 Request
Balance Start of Year				
Obligations				
Deposits				
Balance End of Year	0.0	0.0	0.0	0.0

Exchange Rate _____

Cost of Controller Operations

Org. Title: Org. No: OC		FY 2001 Estimate			FY 2002 Target			FY 2003 Target			FY 2003 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
11.1	Personnel compensation, full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.1	Base Pay & pymt. for annual leave balances - FNDH	4.4		4.4		0.0		0.0		0.0		0.0	
	Subtotal OC 11.1	4.4	0.0	4.4	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	
11.3	Personnel comp. - other than full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.3	Base Pay & pymt. for annual leave balances - FNDH			0.0		0.0		0.0		0.0		0.0	
	Subtotal OC 11.3	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	
11.5	Other personnel compensation	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.5	USDH			0.0		0.0		0.0		0.0		0.0	
11.5	FNDH	2.9		2.9		0.0		0.0		0.0		0.0	
	Subtotal OC 11.5	2.9	0.0	2.9	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	
11.8	Special personal services payments	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.8	USPSC Salaries	38.0		38.0		0.0		0.0		0.0		0.0	
11.8	FN PSC Salaries	33.9		33.9	39.7	39.7	46.4	46.4	46.4	46.4	0.0	46.4	
11.8	IPA/Details-In/PASAs/RSSAs Salaries			0.0		0.0		0.0		0.0		0.0	
	Subtotal OC 11.8	71.9	0.0	71.9	39.7	0.0	39.7	46.4	0.0	46.4	0.0	46.4	
12.1	Personnel benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	USDH benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	Educational Allowances			0.0		0.0		0.0		0.0		0.0	
12.1	Cost of Living Allowances			0.0		0.0		0.0		0.0		0.0	
12.1	Home Service Transfer Allowances			0.0		0.0		0.0		0.0		0.0	
12.1	Quarters Allowances			0.0		0.0		0.0		0.0		0.0	
12.1	Other Misc. USDH Benefits			0.0		0.0		0.0		0.0		0.0	
12.1	FNDH Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	* Payments to FSN Voluntary Separation Fund - FNDH	0.5		0.5		0.0		0.0		0.0		0.0	
12.1	Other FNDH Benefits	1.3		1.3		0.0		0.0		0.0		0.0	
12.1	US PSC Benefits			0.0		0.0		0.0		0.0		0.0	
12.1	FN PSC Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	* Payments to FSN Voluntary Separation Fund - FN PSC	0.6		0.6		0.0		0.0		0.0		0.0	
12.1	Other FN PSC Benefits	0.7		0.7	0.7	0.7	0.7	0.7	0.7	0.7	0.0	0.7	
12.1	IPA/Detail-In/PASA/RSSA Benefits			0.0		0.0		0.0		0.0		0.0	
	Subtotal OC 12.1	3.1	0.0	3.1	0.7	0.0	0.7	0.7	0.0	0.7	0.0	0.7	
13.0	Benefits for former personnel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	FNDH	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FNDH			0.0		0.0		0.0		0.0		0.0	
13.0	Other Benefits for Former Personnel - FNDH			0.0		0.0		0.0		0.0		0.0	
13.0	FN PSCs	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FN PSCs			0.0		0.0		0.0		0.0		0.0	
13.0	Other Benefits for Former Personnel - FN PSCs	0.9		0.9	10.0	10.0		0.0		0.0		0.0	
	Subtotal OC 13.0	0.9	0.0	0.9	10.0	0.0	10.0	0.0	0.0	0.0	0.0	0.0	
21.0	Travel and transportation of persons	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Training Travel	10.4		10.4	10.4	10.4	3.0	3.0		3.0		3.0	
21.0	Mandatory/Statutory Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Post Assignment Travel - to field			0.0		0.0		0.0		0.0		0.0	
21.0	Assignment to Washington Travel			0.0		0.0		0.0		0.0		0.0	
21.0	Home Leave Travel			0.0		0.0		0.0		0.0		0.0	
21.0	R & R Travel			0.0		0.0		0.0		0.0		0.0	
21.0	Education Travel			0.0		0.0		0.0		0.0		0.0	
21.0	Evacuation Travel			0.0		0.0		0.0		0.0		0.0	
21.0	Retirement Travel			0.0		0.0		0.0		0.0		0.0	
21.0	Pre-Employment Invitational Travel			0.0		0.0		0.0		0.0		0.0	

Cost of Controller Operations

Org. Title: Org. No: OC	FY 2001 Estimate			FY 2002 Target			FY 2003 Target			FY 2003 Request		
	Dollars	TF	Total									
21.0 Other Mandatory/Statutory Travel			0.0			0.0			0.0			0.0
21.0 Operational Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0 Site Visits - Headquarters Personnel	4.9		4.9	4.9		4.9	4.9		4.9	4.9		4.9
21.0 Site Visits - Mission Personnel	1.5		1.5	1.5		1.5	1.5		1.5	1.5		1.5
21.0 Conferences/Seminars/Meetings/Retreats	5.8		5.8	5.8		5.8	2.0		2.0	2.0		2.0
21.0 Assessment Travel			0.0			0.0			0.0			0.0
21.0 Impact Evaluation Travel			0.0			0.0			0.0			0.0
21.0 Disaster Travel (to respond to specific disasters)			0.0			0.0			0.0			0.0
21.0 Recruitment Travel			0.0			0.0			0.0			0.0
21.0 Other Operational Travel			0.0	5.0		5.0	5.0		5.0	5.0		5.0
Subtotal OC 21.0	22.6	0.0	22.6	27.6	0.0	27.6	16.4	0.0	16.4	16.4	0.0	16.4
22.0 Transportation of things	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
22.0 Post assignment freight			0.0			0.0			0.0			0.0
22.0 Home Leave Freight			0.0			0.0			0.0			0.0
22.0 Retirement Freight			0.0			0.0			0.0			0.0
22.0 Transportation/Freight for Office Furniture/Equip.			0.0			0.0			0.0			0.0
22.0 Transportation/Freight for Res. Furniture/Equip.			0.0			0.0			0.0			0.0
Subtotal OC 22.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
23.2 Rental payments to others	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.2 Rental Payments to Others - Office Space			0.0			0.0			0.0			0.0
23.2 Rental Payments to Others - Warehouse Space			0.0			0.0			0.0			0.0
23.2 Rental Payments to Others - Residences			0.0			0.0			0.0			0.0
Subtotal OC 23.2	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
23.3 Communications, utilities, and miscellaneous charges	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.3 Office Utilities			0.0			0.0			0.0			0.0
23.3 Residential Utilities			0.0			0.0			0.0			0.0
23.3 Telephone Costs	4.0		4.0	4.4		4.4	4.4		4.4	4.4		4.4
23.3 IT Software Leases			0.0			0.0			0.0			0.0
23.3 IT Hardware Lease			0.0			0.0			0.0			0.0
23.3 Commercial Time Sharing			0.0			0.0			0.0			0.0
23.3 Postal Fees (Other than APO Mail)			0.0			0.0			0.0			0.0
23.3 Other Mail Service Costs			0.0			0.0			0.0			0.0
23.3 Courier Services	2.0		2.0	2.6		2.6	2.8		2.8	2.8		2.8
Subtotal OC 23.3	6.0	0.0	6.0	7.0	0.0	7.0	7.2	0.0	7.2	7.2	0.0	7.2
24.0 Printing and Reproduction			0.0			0.0			0.0			0.0
Subtotal OC 24.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.1 Advisory and assistance services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.1 Studies, Analyses, & Evaluations			0.0			0.0			0.0			0.0
25.1 Management & Professional Support Services	5.0		5.0	5.0		5.0	5.0		5.0	5.0		5.0
25.1 Engineering & Technical Services			0.0			0.0			0.0			0.0
Subtotal OC 25.1	5.0	0.0	5.0	5.0	0.0	5.0	5.0	0.0	5.0	5.0	0.0	5.0
25.2 Other services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.2 Office Security Guards			0.0			0.0			0.0			0.0
25.2 Residential Security Guard Services			0.0			0.0			0.0			0.0
25.2 Official Residential Expenses			0.0			0.0			0.0			0.0
25.2 Representation Allowances			0.0			0.0			0.0			0.0
25.2 Non-Federal Audits			0.0			0.0			0.0			0.0
25.2 Grievances/Investigations			0.0			0.0			0.0			0.0
25.2 Insurance and Vehicle Registration Fees			0.0			0.0			0.0			0.0
25.2 Vehicle Rental	0.4		0.4	0.4		0.4	0.4		0.4	0.4		0.4

Cost of Controller Operations

Org. Title: Org. No: OC		FY 2001 Estimate			FY 2002 Target			FY 2003 Target			FY 2003 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
25.2	Manpower Contracts			0.0		0.0			0.0			0.0	
25.2	Records Declassification & Other Records Services			0.0		0.0			0.0			0.0	
25.2	Recruiting activities			0.0		0.0			0.0			0.0	
25.2	Penalty Interest Payments			0.0		0.0			0.0			0.0	
25.2	Other Miscellaneous Services	1.5		1.5	1.5	1.5	1.5		1.5	1.5		1.5	
25.2	Staff training contracts	2.7		2.7	2.0	2.0	2.0		2.0	2.0		2.0	
25.2	IT related contracts			0.0		0.0			0.0			0.0	
	Subtotal OC 25.2	4.6	0.0	4.6	3.9	0.0	3.9	3.9	0.0	3.9	0.0	3.9	
25.3	Purchase of goods and services from Government accounts	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.3	ICASS	34.4		34.4	35.0	35.0	35.0		35.0	35.0		35.0	
25.3	All Other Services from Other Gov't. accounts			0.0		0.0			0.0			0.0	
	Subtotal OC 25.3	34.4	0.0	34.4	35.0	0.0	35.0	35.0	0.0	35.0	0.0	35.0	
25.4	Operation and maintenance of facilities	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.4	Office building Maintenance	0.6		0.6	0.6	0.6	0.6		0.6	0.6		0.6	
25.4	Residential Building Maintenance			0.0		0.0			0.0			0.0	
	Subtotal OC 25.4	0.6	0.0	0.6	0.6	0.0	0.6	0.6	0.0	0.6	0.0	0.6	
25.6	Medical Care			0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	
	Subtotal OC 25.6	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	
25.7	Operation/maintenance of equipment & storage of goods	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.7	IT and telephone operation and maintenance costs	1.1		1.1	1.1	1.1	1.1		1.1	1.1		1.1	
25.7	Storage Services			0.0		0.0			0.0			0.0	
25.7	Office Furniture/Equip. Repair and Maintenance	0.2		0.2	0.2	0.2	0.2		0.2	0.2		0.2	
25.7	Vehicle Repair and Maintenance	1.0		1.0	1.0	1.0	1.0		1.0	1.0		1.0	
25.7	Residential Furniture/Equip. Repair and Maintenance			0.0		0.0			0.0			0.0	
	Subtotal OC 25.7	2.3	0.0	2.3	2.3	0.0	2.3	2.3	0.0	2.3	0.0	2.3	
25.8	Subsistence & spt. of persons (by contract or Gov't.)			0.0		0.0			0.0			0.0	
	Subtotal OC 25.8	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	
26.0	Supplies and materials	16.4		16.4	2.6	2.6	2.0		2.0	2.0		2.0	
	Subtotal OC 26.0	16.4	0.0	16.4	2.6	0.0	2.6	2.0	0.0	2.0	0.0	2.0	
31.0	Equipment	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
31.0	Purchase of Residential Furniture/Equip.			0.0		0.0			0.0			0.0	
31.0	Purchase of Office Furniture/Equip.			0.0		0.0			0.0			0.0	
31.0	Purchase of Vehicles			0.0		0.0			0.0			0.0	
31.0	Armoring of Vehicles			0.0		0.0			0.0			0.0	
31.0	Purchase of Printing/Graphics Equipment			0.0		0.0			0.0			0.0	
31.0	IT Hardware purchases			0.0		0.0			0.0			0.0	
31.0	IT Software purchases			0.0		0.0			0.0			0.0	
	Subtotal OC 31.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	
32.0	Lands and structures	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
32.0	Purchase of Land & Buildings (& bldg. construction)			0.0		0.0			0.0			0.0	
32.0	Purchase of fixed equipment for buildings			0.0		0.0			0.0			0.0	
32.0	Purchase of fixed security equipment for buildings			0.0		0.0			0.0			0.0	
32.0	Building Renovations/Alterations - Office			0.0		0.0			0.0			0.0	
32.0	Building Renovations/Alterations - Residential			0.0		0.0			0.0			0.0	
	Subtotal OC 32.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	
42.0	Claims and indemnities			0.0		0.0			0.0			0.0	

Cost of Controller Operations

Org. Title: USAID/SRI LANKA Org. No: 23383 OC	FY 2001 Estimate			FY 2002 Target			FY 2003 Target			FY 2003 Request		
	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
Subtotal OC 42.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
TOTAL BUDGET	175.1	0.0	175.1	134.4	0.0	134.4	119.5	0.0	119.5	119.5	0.0	119.5

Additional Mandatory Information

Dollars Used for Local Currency Purchases

62.0

68.0

66.0

Exchange Rate Used in Computations

80.0

80.0

80.0

* If data is shown on either of these lines, you MUST submit the form showing deposits to and withdrawals from the FSN Voluntary Separation Fund.
 On that form, OE funded deposits must equal:

1.1

0.0

0.0

Information Annex Topic: **Environmental Compliance**

USAID/Sri Lanka does not have any environmental issues.

SO1: Improved framework for trade and investment: The SO activities relate to policy and regulatory improvements which do not have an adverse effect on the natural or physical environment.

SO2: Citizens rights better protected in law and practice: The SO activities have no effect on the natural or physical environment.

SO3: Enhanced economic and social opportunities of displaced groups: The SO activities have no significant effect at this time on the natural or physical environment.

SO4: Increased Sri Lankan competitiveness in the global marketplace: The SO activities have no effects on natural or physical environment at present.

Information Annex Topic: E&E R4 Detailed Budget Information

Information Annex Topic: Global Climate Change

Information Annex Topic: Greater Horn of Africa Initiative

Information Annex Topic: Non-presence Countries (npcs)

Information Annex Topic: Success Stories

Information Annex Topic: Updated Results Framework Annex

Part A. Results Framework. Provide a listing of the Operating Unit’s Current Results Framework [Example]

SO _____

IR1 _____
 Sub IR1 _____

IR2 _____
 Sub IR2 _____

- SO 1: A More Competitive and Market Responsive Private Amusement Park
 - IR 1.1: A Sound, Regulated and Consumer Responsive Amusement Park Sector Established
 - IR 1.1.1: Improved and Expanded Variety Shows Offered
 - IR 1.1.2: Park Maintenance, Supervision and Enforcement Capacity Strengthened
 - IR 1.1.3: Effective Park Training Developed and Institutionalized
 - IR 1.1.4: Park Advertising and Marketing Improved
 - IR 1.2: Surrounding Infrastructure Developed
 - IR 1.2.1: Access/Egress Improved
 - IR 1.2.2: Private Sector Services Industry Encouraged
 - IR 1.3: Increased Public Participation at Amusement Parks

Part B. New Indicator Reporting. Provide a report of indicators from the Operating Unit’s Performance Monitoring Plan that the Operating unit proposes to report on in next year’s R4 submission which are different from the indicators currently being reported.

**This applies to on-going strategies only. Indicators that will be used next year as part of a newly approved strategy need not be listed here.

SO Name

Indicator Level: Strategic Objective

Current Indicator Name

Proposed Indicator Name

	Actual	Planned
Baseline Year		
Target 2002		
Target 2003		

Information Annex Topic: Institutional and organizational development

What the information annex will be used for: prepare the cross-cutting theme chapter of the FY 2000 Performance Overview. The 2000 revision of the Agency Strategic Plan includes five cross-cutting themes in addition to the six Agency goals and the management goal. It also includes a commitment to report on one of the themes in depth in the Performance Overview each year. Institutional and organizational development has been chosen as the theme to be reported on in the 2000 Performance Overview.

The Performance Overview chapter aims to document the following points, based on the information requested:

- * support for institutional and organizational development is systematically programmed in results frameworks for the majority of Agency OUs;
- * support for institutional and organizational development systematically cross-cuts Agency goal areas in OU programs;
- * institutional and organizational development support is provided to public sector, private for-profit and private non-profit organizations consistent with program objectives;
- * a variety of types of capacity-building (e.g., financial accountability and sustainability, management and

Guidelines for Identifying Institutional Capacity Development. An institutional development IR should contain two elements: (1) the name of the overarching institution concerned and (2) the change taking place. IRs Institutions are defined as the "rules of the game" and the measures for enforcing those rules. In other words, for our purposes, institutions refer to the broad political and economic context within which development processes take place. These include policies, laws, regulations, and judicial practices. They also refer to less tangible practices like corruption, presence or lack of transparency and accountability. The rules and norms we are concerned with are political and economic, not social. Not every IR about policy is to be called institutional development. If the IR is about adopting/implementing a specific policy, it is not institutional development-- it falls under the goal area for the sector it addresses. Include only IRs about changing the

Guideline for Identifying Organizational Capacity Development IRs. The IR should have these elements: (1) It must name or allude to a specific organization or type of organization (an organization is a group of individuals bound by some common purpose to achieve objectives) and (2) it has to how or what action is being done to develop the organization.

Instructions							
Using the definitions of institutional and organizational development stated on the Definitions tab on this Excel workbook, OUs are required to: verify that the IRs and indicators identified for their programs fall within the definition of institutional and/or organizational development provided, correct the list as necessary to add or delete IRs and indicators that match the definition, and identify the recipients of institutional and organizational development support as public sector, private for-profit, private non-profit, marking all that apply in each case. Correct the IR list as necessary to add IRs that match the definition or to delete IRs that do not or that are no longer part of your results framework.							
Verification							
Codes: Y - IR falls within the definition N - IR does not fall with the defintion X - This IR has been changed, modified, or dropped.							
Public sector, private for profit, and private non-profit							
Codes: Y - Yes N - No							