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**INDIA**



**FY 2000 Results Review and Resource Request (R4)**

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**April 1998**

## GLOSSARY OF ACRONYMS

ACE	Agricultural Commercialization and Enterprise
ADB	Asian Development Bank
AIC	Agribusiness Information Center
AIDS	Acquired Immune Deficiency Syndrome
AIJ	Activities Implemented Jointly
AIMS	Asian Information Marketing and Social Research
AMC	Ahmedabad Municipal Corporation
ANE/BEO	Asia and Near East/Bureau Environmental Officer
ANE	Asia and Near East
APAC	AIDS Prevention and Control
APSEB	Andhra Pradesh State Electricity Board
ASCI	Administrative Staff College of India
ASG	Asia Consulting Group
BHR/FFP	Bureau for Humanitarian Response/Food for Peace
BHR/PVC	Bureau for Humanitarian Response/Private and Voluntary Cooperation
BIS	Bureau for Indian Standards
BJP	Bhartiya Janta Party
BOT	Build-Own-Transfer
BSES	Bombay Suburban Electric Supply Limited
BSS	Behavioral Sentinel Surveillance
CAE	Common Agenda for the Environment
CARE	Cooperative for Assistance and Relief Everywhere
CCI	Community Consulting International
CDC	Center for Disease Control
CDIE	Center for Development, Information and Exchange
CII	Confederation of Indian Industries
CMC	Christian Medical College
CMIE	Center for Monitoring Indian Economy
CO <sub>2</sub>	Carbon Dioxide
CP	Congressional Presentation
CRS	Catholic Relief Services
CSM	Contraceptive Social Marketing
CTI	Clean Technology Initiative
DAP	Development Activity Proposal
DIET	District Institute for Education and Training
DOE	Department of Energy
DSM	Demand Side Management
EA	Environmental Assessment
ECO	Energy Conservation and Commercialization
EMS	Environmental Management System
EPA	Environmental Protection Agency
ESCO	Energy Service Company
EV	Electric Vehicle

FBO	Foreign Building Office
FCS	Foreign Commercial Service
FICCI	Federation of Indian Chambers of Commerce and Industry
FIRE	Financial Institutions Reform and Expansion
FSN	Foreign Service National
FWWB	Friends of Women's World Banking
FY	Fiscal Year
GCC	Global Climate Change
GDP	Gross Domestic Product
GEP	Greenhouse Gas Pollution Prevention Project
GFS	Global Field Support
GHG	Greenhouse Gas
GOI	Government of India
HG	Housing Guaranty
HIV	Human Immunodeficiency Virus
HUDCO	Housing and Urban Development Corporation
ICASS	International Cooperative Administrative Support Services
ICDS	Integrated Child Development Services
ICICI	Industrial Credit and Investment Corporation of India
ICRW	International Center for Research on Women
IDI	International Development Intern
IEC	Information, Education and Communication
IEE	Initial Environmental Examination
IFA	Iron-folic Acid
IFPS	Innovations in Family Planning Services
ILFS	Infrastructure Leasing and Financial Services
INCLEN	India Clinical Epidemiology Network
INHP	Integrated Nutrition and Health Program
IPP	Independent Power Producer
IR	Intermediate Result
ISO	International Standards Organization
IUD	Intra Uterine Device
KWH	Kilowatt
LOP	Life-of-Project
MMR	Mumps, Measles and Rubella Vaccine
MOP	Ministry of Power
MOU	Memorandum of Understanding
MPP	Mission Performance Plan
MSS	Management Support Service
MW	Megawatt
NAC	National Advisory Committee
NACO	National AIDS Control Organization
NCPU	National Council of Power Utilities
NFHS	National Family Health Survey
NGOs	Non-Governmental Organizations
NHB	National Housing Bank

NIH	National Institute of Health
NIUA	National Institute of Urban Affairs
NOA	New Obligation Authority
NPC	National Productivity Council
NSDL	National Securities Depository Limited
NTPC	National Thermal Power Corporation
NXP	Non-Expendable Property
OE	Operating Expense
OECF	Overseas Economic Cooperation Fund
OPV	Oral Polio Vaccine
ORG	Operations Research Group
ORS	Oral Rehydration Solution
OYB	Operational Year Budget
PACT/CRH	Program for the Advancement of Commercial Technology/Child and Reproductive Health
PHN	Population, Health and Nutrition
PLF	Plant Load Factor
PP&L	Pennsylvania Power and Light
PPP	Public-Private Partnership
PVO	Private Voluntary Organization
QCI	Quality Council of India
R&M	Rehabilitation and Modernization
R4	Results Review and Resource Request
RFP	Request for Proposal
RLA	Regional Legal Advisor
RP	Results Package
RUDO	Regional Urban Development Office
SBP	Strategic Business Planning
SEB	State Electricity Board
SEBI	Securities and Exchange Board of India
SIFPSA	State Innovations in Family Planning Services Agency
SO	Strategic Objective
SPO	Special Objective
SRO	Self-Regulatory Organization
State/OES	State/Oceans and International Environmental and Scientific Affairs
STD	Sexually Transmitted Diseases
TANSACS	Tamil Nadu State AIDS Control Society
TBD	To Be Determined
TEST	Trade in Environmental Services and Technologies
UMASS	University of Massachusetts
UNICEF	United Nations Children's Fund
UP	Uttar Pradesh
USAEP	United States-Asia Environmental Partnership
USAID	United States Agency for International Development
USDA	United States Department of Agriculture
USDH	United States Direct Hire

USG	United States Government
USIS	United States Information Service
VAW	Violence Against Women
VHS	Voluntary Health Services
WACH	Women and Child Health
WHO	World Health Organization
WIN	Women's Initiative

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## **I. OVERVIEW AND FACTORS AFFECTING PROGRAM PERFORMANCE**

### **India--US Interests Abound**

A number of factors, often seemingly contradictory, make India a country that encompasses virtually every US national interest. An undeclared nuclear power, India is key to regional stability and an important player in global discussions on nuclear non-proliferation. Its growing economy and expanding middle class, now estimated at somewhere between 100 and 200 million people, make it a target for U.S. trade and investment, one of the "big emerging markets." At the same time, India's immense population and acute poverty create a continuing need for humanitarian assistance and, together with expanding industrialization and urbanization, heighten concerns about environment and health problems of global dimensions. The world's largest democracy, India continues to contribute to a rapidly expanding Indian-American population, increasing commercial, cultural and political ties between the countries, while raising issues related to immigration and drug control.

The remarkable comprehensiveness of US national interests in India has been reflected in the development this year of a "new strategic dialogue" between the two countries, moved forward by visits from the Secretaries of State, Commerce and Health and Human Services, the Undersecretary of State and the USAID Administrator and an announced Presidential visit still to be finalized. It is also illustrated in this year's Mission Performance Plan prepared by US government agencies in New Delhi. The Plan incorporates 15 of 16 possible goals and advances all seven national interests outlined in the US Strategic Plan for International Affairs. Rather than prioritizing the U.S. national interests in India, the Mission has designated four--Economic Prosperity, National Security, Global Issues, and Democracy--for special emphasis.

Each of USAID's strategic objectives relate directly to one or more of the four national interests selected for special emphasis. Our work with women's rights contributes to democracy. Programs to strengthen India's capital markets, to build urban infrastructure, and to increase US-Indian collaboration on energy and environmental technologies and management support the economic prosperity national interest. But the greatest portion of the program--more than 80 percent of our resources--is dedicated to critical global issues in population, health and the environment.

Recognizing our predominant interest and capabilities, the Ambassador has appointed USAID the lead agency for global issues. USAID is in charge of the Indo-US Common Agenda for the Environment which provides a framework for bilateral dialogue and interagency programming on a number of key environment issues. USAID leads the Mission-wide Global Advocacy Group to coordinate activities across government agencies relating to global issues.

Finally, USAID is the agency at the Mission responsible for the Humanitarian Response national interest, both in terms of disaster prevention and mitigation, and relief programs to address the needs of the very poorest communities in India.

## **Forging Partnerships to Achieve Mission Objectives**

Given India's global significance for climate change, population growth, HIV/AIDS and other emerging diseases, USAID has forged partnerships with a number of USG agencies to achieve Mission objectives. In preparing for the visit of Secretary Shalala we enhanced our existing partnership with NIH and CDC by adding new, joint initiatives in contraceptive research, disease surveillance and emerging diseases. We have worked closely with the Department of Energy and the State Department to implement annual bilateral consultations with the GOI on all aspects of energy policy. USAID serves as the "on-the-ground" liaison for the Environmental Protection Agency and assists with the design and implementation of activities as varied as air quality monitoring and solid waste disposal. As the convener of the Mission's Global Advocacy Group, we have also prepared a Global Climate Change strategy which encompasses USAID, the Economics Section of the Embassy, State/OES, DOE, EPA, FCS, the USAEP, and USIS. Finally, USAID has collaborated closely with USIS in the design of an environmental fellows program which will complement USAID's environment program and facilitate accomplishment of overall Mission environment objectives. India is attracting the attention of an increasing number of US government agencies, opening new opportunities and challenges for channelling US government resources and talent towards common national objectives.

### **Climate change--growing emphasis**

In his September 1997 visit, Administrator Atwood highlighted India's importance as a key climate change country in developing a global approach to combatting greenhouse gas (GHG) emissions. India is the sixth largest and second fastest growing producer of GHGs in the world. USAID/India has been involved in climate change-related work for some time. In 1995, its Greenhouse Gas Pollution Prevention Project (GEP) was one of the first USAID programs qualified under the pilot phase of the Global Environmental Facility. The GEP and other activities contributed to avoidance of 20,000 tons of carbon dioxide emission equivalents in Indian FY 1997 and are planned to avoid nearly three million tons in FY 1998. The GEP technical assistance, training and investment grants aim at reducing carbon dioxide emissions per unit of electricity generated by coal fired power plants and promoting sugar cane waste as an alternative to coal for power cogeneration in selected sugar mills. Recently, in collaboration with the Department of Energy and Global Bureau, we have completed the design of a \$20.0 million amendment to the GEP which will broaden the scope to include promotion of advanced power generation technologies, reduction of urban sources of GHGs and a climate friendly policy initiative. Also, a new \$25 million activity, Energy Conservation and Commercialization (ECO), is under design with Global Bureau assistance. The ECO will extend USAID/India's power sector activities into improving efficiency of transmission, distribution and demand side management through market-based and policy initiatives. The planned target of the much expanded climate change program is 12 million tons of carbon dioxide emission equivalents avoided in FY 2000.

## **Changes in the past year**

The most dramatic change in the past year is India's recent election in which it swapped an unstable coalition government of 14 parties -- including communists and Harvard-educated free marketers -- for another fragile coalition, this time with even more parties and an outlook that is yet to be fully defined. India's democracy is riding a wave of coalition politics and fragile governments which will introduce new factors affecting the shape of our relations. If current trends continue, the Union government at the center will find it difficult to articulate and implement strong national policies; power will continue to devolve to the state and local government levels. With an extremely diverse political base, the national government may find it more difficult to push economic reform aggressively; it may be hesitant to take strong stands visibly favoring US positions in international fora. Annual GDP growth has slipped from 7.5 percent last year to 5.5 this year. Reaching the government's goal of 7-8 percent growth --seen as essential to make a serious impact on poverty alleviation -- may prove an overly ambitious goal.

At the same time, while control at the center is weakening, stronger and more active state governments offer new opportunities for practical support to improved governance, greater accountability, and more effective democratic institutions. The devolving of power from the center may also encourage competition between states for foreign investment, spurring both economic and political reform from the ground up.

## **Our Program**

Our program was not substantially affected by the churning of the political waters in New Delhi. We continued to make real and measurable progress towards most of our objectives:

- In Uttar Pradesh, a state of more than 150 million people and a female literacy rate below 25 percent, NGO's supported by USAID provided family planning and reproductive health services to 20 million people, 30 percent above our target.
- India's largest power company made significant reductions in carbon dioxide emissions and has decided to make a major investment in US technology to make improvements system wide--a potential reduction of 3 million tons of carbon dioxide.
- Partnerships between US and Indian utilities grew and identified opportunities that will cut losses, improve efficiency and reduce pollution.
- India's capital market grew more efficient, increasing both in transparency and accountability.
- The city of Ahmedabad issued South Asia's first municipal bond, and demand for USAID assistance in financing of urban infrastructure exploded.

- USAID formed a National Advisory Council comprised of prominent jurists, human rights activists, researchers and policy makers to oversee our work on violence against women -- a critical achievement given the sensitive nature of the subject.
- Studies in Tamil Nadu show that USAID-assisted NGOs working on HIV/AIDS education and prevention have helped reduce high risk behavior among key groups. Finding ways of reaching high-risk groups is critical; India has 3-5 million people who are HIV positive, more than any other country in the world.

Progress towards objectives is discussed in greater detail in the subsequent narrative sections.

## **The future**

During the past year, we have begun an expansion of our program that will take us beyond 2000, the last year of our approved strategy. Increasingly, our program has come to focus on global issues. The recent, mid-term assessment of the population and reproductive health program in Uttar Pradesh endorsed the current strategy but called for an extension through 2004. The work in Tamil Nadu on HIV/AIDS has been encouraging. With support from the Global Bureau, we are expanding that program to Maharashtra, and initiating activities in disease surveillance, consistent with the new Agency emphasis on this important issue and the national interest to protect health in the U.S.

The Administration's focus on the role of developing countries in the global effort to reduce greenhouse gasses is entirely consistent with work already underway and has led to a deepening and broadening of our environment program. New designs and amendments to existing activities will carry us through FY 2005, focusing largely on improved efficiency in the power sector, but addressing urban, transportation and industrial contributions to greenhouse gas emissions as well.

The work on girls' education and violence against women--related to the national interest in democracy--while still small, is promising. We can see a gradual and judicious expansion in these areas, assuming we continue to get support for what is still an experimental and politically sensitive set of activities.

Work under strategic objective one--Increased Capacity of Financial Markets to Mobilize Resources--is being extended through 2003 to help capital markets reach international standards of efficiency, transparency and accountability. We expect that models, mechanisms and capacity for cities to gain access to the capital market will also be in place by that time, and our work on economic growth can focus elsewhere--on infrastructure, financial markets, fiscal reform or microfinance, for example. With the growing pressure on economic growth funding, however, we are cautious in our planning for future activities in this area and are expecting to phase out our agribusiness program by FY 2000.

Given that our plans for the future are consistent with US national interests, the priorities of the U.S. Mission in India, USAID global priorities, our success to date in achieving results, our

comparative advantage and our existing staffing and resource levels, we request an extension of our current strategy to 2005. This issue is discussed more fully in the Management Contract Section.

## II. PROGRESS TOWARD OBJECTIVES

### SUMMARY TABLE

Objective Name	Rating	Evaluation findings
SO 1: Increased Capacity of Financial Markets to Mobilize Resources	Exceeded	CDIE team concluded SO 1 capital market activities improved efficiency and regulation of the capital market--making India more attractive for foreign/domestic investment--and served as catalyst for new ways to finance municipal infrastructure.
SO 2: Reduced Fertility and Improved Reproductive Health in North India	Met/ Exceeded	IFPS mid-term assessment team documented measurable progress; also, concluded IFPS design is valid and program objective can be achieved by 2004.
SO 3: Improved Child Survival and Nutrition in Selected Areas of India	Exceeded	OECF-USAID follow-up on midterm evaluation recommendations of QCHT activity concluded substantial progress made on wide range of activities to ensure quality and safety of vaccines and blood products.
SO 4: Increased Environmental Protection in Energy, Industry and Cities	Exceeded	EMCAT mid-term assessment concluded that market forces are the major factor in demand side management investments for energy efficiency. TEST mid-term evaluation confirmed Mission's decision to shift from technology focus to supporting voluntary initiatives in industrial environmental management.
SPO 1: Reduced Transmission of HIV Infection	Exceeded	Global Bureau led assessment of HIV/AIDS program concluded interventions were innovative and well targeted. The model should be widely disseminated and replicated.
SPO 2: Increased investment in Agribusiness by Private Firms	Exceeded	Study/report by McKinsey-Confederation of Indian Industries on "Modernizing the India Food Chain" highlights enormous potential to build profitable agribusiness in food.
SPO 3: Expanded Advocacy and Service Delivery Networks for Women	Met	
Percent funding through NGOs and PVOs: FY 98 55 %; FY 99 55%; FY 2000 55%		

## **A. Strategic Objective 1: Increased Capacity of Financial Markets to Mobilize Resources**

Promotion of economic growth in India is a priority for the U.S. Government. As recent experience in East Asia demonstrates, sustained growth requires a sound, well regulated, and diversified financial sector. In fact, USAID's efforts to reform and modernize Indian's financial markets is cited under two Mission goals in the Mission Program Plan (MPP): "U.S. Economic Prosperity" and "Broad-based Growth."

### **1. Performance Analysis**

USAID, working closely with a number of private and public sector partners, has the undisputed lead among donors in providing technical assistance to India's capital market. A recent country study by CDIE concluded that activities financed under SO 1 successfully accelerated the reform and strengthening of India's capital market--thereby "making India more attractive for foreign and domestic investment".

During the past year, work under SO 1 improved investor confidence in India's capital market, increased market transparency and efficiency, and improved access to the capital market by local governments. Specifically, screen based trading of equities increased from 60 percent to over 90 percent of the total volume traded; the securities depository became fully functional and trading of de-materialized shares began in earnest; the Securities Exchange Board of India (SEBI) strengthened market surveillance and enforcement; an Indian municipality began implementation of the first commercially viable Build-Operate-Transfer water supply/sewerage project; a local government accessed for the first time India's capital markets to help finance its infrastructure investments; and India's credit rating agencies added municipal ratings to their investment advisory services. SO 1 activities have mobilized resources to improve urban environments and thus reenforced the mission's efforts under SO 4 to address environmental concerns.

The mission has, with AID/W agreement, revised the wording of SO 1 and several SO and IR-level indicators so that they better reflect what SO 1 is trying to achieve and are more within our manageable interest. All SO and IR level targets within the revised framework for SO 1 were met or exceeded.

### **Economic growth a priority**

The governments of both the United States and India have a strong interest in seeing that India reaches and sustains a higher rate of economic growth. Higher growth will contribute to India's stability, create jobs, increase markets for U.S. products, and forge closer links between the two countries.

Higher economic growth will also generate jobs and improve standards of living. Research indicates that nearly all reductions in poverty rates in India over the last two decades are attributable to economic growth. The newly elected BJP-led government is targeting annual economic growth of 7-8 percent. This rate of growth requires sound macroeconomic

fundamentals, a strong market orientation, openness to foreign trade and investment, adequate physical infrastructure and human resources, an appropriate legal/regulatory system, and reasonable political stability. India's comprehensive economic reform, underway since 1991, has moved India in this direction.

In the MPP U.S. Economic Prosperity has been designated by the India Mission as one of four U.S. national interests of special emphasis. In defining Economic Prosperity, the Department of State emphasizes the link between U.S. economic prosperity and the stability of international financial markets, particularly of the big emerging economies. As discussed below, SO 1 activities contribute directly to stability of India's financial sector.

### **A strong financial sector promotes growth**

Higher growth requires financial markets that are able to efficiently mobilize and allocate domestic and international financial resources efficiently. The broadest possible investor participation, both retail and institutional, is vital to help India raise capital for sustained economic growth--including badly needed new infrastructure (costing at least \$300 billion over the next decade) and expanded social services for a rapidly increasing population. When comprehensive reform began in 1991, archaic capital market infrastructure, lack of transparency and weak regulation, oversight and enforcement eroded investors' confidence in the integrity and predictability of the market. This limited the intermediation of household savings into productive investments.

USAID has a long history of working to support economic growth in India. In the early 1990s, a highly successful multi-year collaboration helped to create and build India's large, dynamic private sector housing finance institutions. As they have since 1994, USAID/India's SO 1 activities continue to focus on providing technical assistance to India's critical capital market institutions. During the past four years, USAID has become India's preeminent partner in capital market development--providing technical assistance, training, and capital support through the Urban Environmental Credit program. This assistance has led directly to: improved transparency and efficiency of the capital-raising and investment process; modernized trading and post-trading infrastructure; adoption of 'best practices' in market regulation, self-regulation and oversight; improved planning and developing of urban infrastructure; and increased mobilization of private capital through innovative models of financing urban infrastructure.

### **Modification of SO 1**

The wording of SO 1 has been revised slightly to better reflect the actual objectives of the mission's work with the financial market, and to focus on results that are within USAID's manageable interest. The revised SO now emphasizes increasing the capacity of the financial markets to mobilize resources, rather than resource mobilization per se. Original SO indicators 1.1 and 1.2, which measured the value of new capital raised in the capital market and foreign

portfolio investment in India respectively, have been dropped.<sup>1</sup> They have been replaced, as described below, by a composite index of capital market development. One of the indicators for IR 1.2 was also modified. The logic behind these changes is that the values for original indicators 1.1 and 1.2 were determined largely by exogenous factors such as India's macroeconomic performance, its political stability, or events in other countries such as the turmoil in East Asia. Since all such factors are clearly outside AID's influence, it makes more sense to focus SO 1 and its indicators on what it can realistically be expected to deliver--stronger financial market institutions.

### **The market is more efficient**

At the IR level, SO 1 seeks to increase financial market efficiency (IR 1.1) and improve instruments for capital mobilization (IR 1.2). Concerning the former, the Indian capital market has become more efficient over the past year--with clearing and settlement time (Indicator 1.1.1) averaging 4-7 days, as opposed to 14-21 days as recently as 1994. Moreover, USAID consultants are supporting the on-going shift to a rolling settlement system that will reduce clearing and settlement to 5 days. Screen-based trading, which was promoted by USAID consultants in previous years, continued to expand and now accounts for 96 percent of total trades (Indicator 1.1.2). Finally, USAID consultants worked with the newly-established National Securities Depository Limited (Indicator 1.1.3) to: improve its operational efficiency; minimize errors and risk to the depository; and develop and deliver a countrywide public education and awareness program aimed at improving acceptance of the depository concept. The end result of these efforts is a more efficient capital market with reduced systemic risk. Transaction costs, which averaged 5 percent of transaction value in 1993, now average only about 2.5 percent.

### **Credit ratings, bond issue and model BOT transactions**

USAID's initiatives under IR 1.2 in support of improved instruments for capital mobilization have achieved outstanding results. Four municipal governments implemented new models of financing urban infrastructure (Indicator 1.2.2). Moreover, there is clear evidence that these models are beginning to be noticed, studied, and replicated in a number of other cities. Multilateral donors have approached USAID wanting to work together in the area of municipal finance. The World Bank sought collaboration with USAID in preparing and implementing its new urban lending program. Tamil Nadu will be the initial focus for this cooperative effort. The Asian Development Bank has also sought to work with USAID--with the result being additional ADB investments in Ahmedabad, Gujarat and Tirupur, Tamil Nadu.

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<sup>1</sup>For FY 1997, Rs. 143,000 million of new capital was raised through the securities markets, as opposed to an Indicator 1.1 target of Rs. 175,000 million. The inflow of foreign portfolio investment was \$2.4 billion, while the Indicator 1.2 target was \$3.5 billion. Political uncertainties, the halting progress of economic reform, and continued high interest rates are some of the factors which constrained the ability of India's capital market to mobilize resources.

In Tirupur, USAID consultants continued their work with financial institutions and local officials to develop India's first commercially viable Build-Operate-Transfer (BOT) water supply/sewerage project. The selection process for a BOT contractor is currently underway. This year, the city of Ahmedabad successfully issued, with USAID support, the first municipal bonds in India--raising approximately \$25 million. Three other cities, Pune, Surat, and Vijaywada, are also developing, with USAID assistance, urban environmental infrastructure projects, including the financial packages and the means of mobilizing resources for these projects.

USAID is also working with nine cities (Agra, Ahmedabad, Cochin, Pune, Surat, Tirupur, Shimla, Varanasi, and Vijayawada) to strengthen their financial management via improved accounting systems, better investment planning, improved pricing of municipal services and revenue collection, and better budgeting processes. This work is designed to enable local governments to enhance their revenue bases, qualify for credit ratings, and eventually be able to access debt financing through the capital market.

USAID's support to the National Housing Bank and housing finance companies concluded in September 1997. During the last year, the volume of shelter-related credit for below median income households increased to Rs. 4.8 billion--which is considerably above the planned target of Rs. 3.5 billion (Indicator 1.2.1).

### **Increased market capacity/more private capital mobilized**

The performance of the two SO-level indicators clearly demonstrates that the capacity of the capital market to mobilize resources has continued to increase. The capital market development index (Indicator 1.1)--as scored by an independent panel of experts--now stands at 5.72. This establishes the baseline against which future progress in strengthening India's capital market institutions will be measured. The value of this index was approximately 4.17 a year ago and was as low as 1.33 in 1994.

These gains are attributable to the gains in market efficiency and transparency described above together with improvements in market regulation, enforcement, and self-regulation. With the support of USAID consultants, the Securities and Exchange Board of India (SEBI), the principal regulator of the market, began to develop a collaborative approach to market oversight, surveillance, and enforcement aimed at reducing market fraud and boosting investor confidence. Also, USAID has funded extensive training of regulators and market surveillance and enforcement personnel at the stock exchanges; and, USAID consultants prepared a manual of investigation techniques for market manipulation violations. This culminated in SEBI taking up, for the first time during 1996-97, 182 cases for investigation and 17 cases for prosecution relating to abusive market practices.

Finally, USAID consultants worked to promote the concept of self-regulation and higher professional standards. Assistance to the Association of Mutual Funds of India focused on improving mutual fund disclosure standards, compliance with those standards, and developing an investor awareness campaign. This effort paid off, with mutual funds mobilizing close to \$2

billion in the nine months ending December 1997 as compared to \$1.5 billion during the same period in 1996.

The amount of private capital used to finance commercially viable urban infrastructure during the last year (Indicator 1.2) grew to about Rs. 3.4 billion--an increase of more than 40 percent over the previous year. This increase was due, in part, to USAID's efforts to develop commercially viable infrastructure programs in a number of municipalities. These programs emphasize improved municipal financial management, better project development, and more careful coordination of construction phases with the availability of needed financial resources.

## **2. Expected Progress through FY 2000 and Management Actions**

The FIRE Project will be extended for an additional five years to September 2003, at which point SO 1 planned results are expected to have been achieved. By that date, India's capital market should have reached levels of efficiency, transparency, and regulatory oversight consistent with international norms and sufficient to instill reasonable investor confidence. Furthermore, the market and its institutions should be sufficiently developed so that further external assistance is not required. Similarly, models for commercial financing of urban infrastructure will be sufficiently developed, tested, and replicated so that municipal finance systems in partner states/municipalities provide effective support to better urban management.

During the extension period for FIRE, work to strengthen capital market institutions and regulations will focus on: (i) helping major stock exchanges move to a rolling settlement mechanism and establish a better interface with the depository; (ii) helping SEBI and the stock exchanges develop a stockwatch system for market surveillance and strengthen their investigative and enforcement capabilities; (iii) helping SEBI design and develop a regulatory framework for futures and options markets; (iv) assisting with the continued development of self-regulatory organizations for market participants; and (v) developing the debt market.

Work to improve municipal access to capital markets will focus on developing effective systems of municipal finance--characterized by greater access to capital markets, increased revenue generation, and better financial management. The successes to date have generated tremendous awareness and demand for similar assistance from other cities. SO 1 will work with at least three additional cities during the extension period. It will also extend its partnership on municipal finance to three state-level governments, where decisions are reached affecting municipal infrastructure investments. This work will continue to promote: necessary policy reforms; adoption of improved financial management practices and innovative approaches to revenue enhancement; and increased mobilization of resources through the capital market.

During the next year, the SO 1 team will explore the possibility of broader approaches to resource mobilization in support of economic growth--whether through the capital market, private investment in infrastructure, or improved fiscal policies. Several new activities under the current or revised SO are being explored, and it is likely that one or more of these will start during the

next year. One possible initiative would build more effective linkages between India's capital markets and community-based financial institutions to help address the shelter and infrastructure needs of lower income families. Another possible initiative would support the introduction of "best practice" microfinance techniques into the Indian financial sector. Other initiatives supporting greater private capital mobilization for infrastructure investment and improved fiscal policies at the state level are also possible.

## PERFORMANCE DATA TABLE

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**ORGANIZATION/PROGRAM:** USAID INDIA  
**STRATEGIC OBJECTIVE:** SO 1 INCREASED CAPACITY OF FINANCIAL MARKETS TO MOBILIZE RESOURCES  
**APPROVED:** March 24, 1998

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**INDICATOR:** 1.1 Index of Capital Market Development

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**UNIT OF MEASURE:** Index Number

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**SOURCE DOCUMENT:**  
**SOURCE ORGANIZATION:** Panel of independent capital market experts

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**INDICATOR DESCRIPTION:** The index of Capital Market Development captures systemic development in six critical areas of the capital market. It is the simple arithmetic mean of the scores (on a 12 point scale) in each of these six areas. The higher the score for a particular area, the more developed is that area. The index is attached to this table.

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YEARS	PLANNED LOW	PLANNED HIGH	ACTUAL
1994			1.33
1995			2.17
1996			3.17
1997			4.17
1998	5.00		5.72
1999	6.00		
2000	6.83		

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**COMMENTS:**

1. New indicator replaces last year's SO indicators 1.1 and 1.2.
2. The index reflects the status of capital market development as of March 31 of each year.
3. The six major areas of market development are: (i) market oversight, surveillance and enforcement; (ii) debt market; (iii) information infrastructure; (iv) trade clearance and settlement infrastructure; (v) self-regulation/licencing, testing and certification; and (vi) risk allocation and management infrastructure.
4. For years 1994 - 1997, values for the capital market development index were obtained from scoring done by USAID staff. For 1998, the value of the capital market development index was obtained from scoring done by an independent panel of capital market experts in March 1998.

SO 1.1 INCREASED CAPACITY OF CAPITAL MARKETS TO MOBILIZE RESOURCES FOR ECONOMIC GROWTH						
Objective	Indicator	Stage/(Score)				Score
		1 (1-3)	2 (4-6)	3 (7-9)	4 (10-12)	
<p><b><u>I. Market oversight, surveillance and enforcement:</u></b></p> <p>Enhanced investor confidence through improved oversight, surveillance, and enforcement.</p>	<p>Extent to which a collaborative system for market oversight, surveillance, and enforcement has taken shape, and functioning.</p>	<p>Minimal or no systemic oversight, surveillance, and enforcement for the market in place, and little movement toward reform.</p>	<p>SEBI acknowledges need for integrated, collaborative market oversight, surveillance, and enforcement and enters into dialog with stock exchanges.</p>	<p>'Best practices' in market oversight, surveillance, and enforcement are identified and being implemented in stages.</p>	<p>Effective market oversight, surveillance, and enforcement are in place.</p>	
<p><b><u>II. Debt market:</u></b></p> <p>Deepen the capital market by promoting an active secondary debt market.</p>	<p>Extent to which an effective policy and regulatory regime as well as efficient trading and settlement infrastructure, is in place for the debt market.</p>	<p>The debt market is illiquid and narrow with inefficient market infrastructure.</p>	<p>Need for well regulated, liquid and efficient secondary market for debt is recognized with key constraints identified/analyzed and industry forum for dialog established.</p>	<p>Policy and trading infrastructure issues being addressed.</p>	<p>An effective regulatory and policy regime, and efficient trading and settlement infrastructure support an active secondary debt market.</p>	

<p><b><u>III. Information infrastructure:</u></b></p> <p>Make true and fair market information available to investors on a continuous basis.</p>	<p>Extent to which systemic network for gathering and dissemination of quality market information on real time basis is in place.</p>	<p>There is no legal framework requiring collection and dissemination of company information, with filing and dissemination of information done on an ad-hoc basis.</p>	<p>SEBI recognizes the need for improved data gathering and dissemination system, and issues enhanced disclosure requirements under the existing legal framework.</p>	<p>Legal mandate for centralized collection and dissemination of company information in place, with stock exchanges and other SROs strengthening their 'standalone' systems for gathering and dissemination of information.</p>	<p>Accurate market information available on a continuous basis through an EDGAR type system.</p>	
<p><b><u>IV. Trade clearance and settlement infrastructure:</u></b></p> <p>Reduce systemic risk for investors through enhanced trade clearance and settlement systems.</p>	<p>Extent to which transparent and efficient trading, clearing and settlement systems are in place.</p>	<p>Existing trading, clearing and settlement systems are archaic, inefficient and non-transparent.</p>	<p>Need for transparent and efficient trading, clearing and settlement systems recognized, with key constraints identified, analyzed, and enabling legislation being drafted.</p>	<p>Enabling legislation and regulatory framework in place and depository developed.</p>	<p>Systemic risks reduced due to enhanced clearing and settlement system, rolling settlement system, and functioning and widely used depository.</p>	

<p><b><u>V. Self-regulation/ licensing, testing and certification:</u></b> <b><u>Broker licensing:</u></b></p> <p>Improved investor confidence through higher professional standards and better regulation/self-regulation by market intermediaries.</p>	<p>Degree to which associations of market intermediaries raise their professional standards, and regulate themselves in the public interest.</p>	<p>Associations of market intermediaries not in place. Role of professional standards in investor confidence not recognized.</p>	<p>Market intermediaries such as mutual funds, brokers, debt and derivatives dealers etc recognize need for industry associations to raise professional standards and develop the industry.</p>	<p>Some market intermediaries organize themselves into industry associations to develop 'best practices' in self-regulation, disclosures and professional conduct. Program for certification and testing for some categories of intermediaries under development.</p>	<p>Framework for SRO regulations in place, with improved self-regulation and professional standards of market intermediaries.</p>	
<p><b><u>VI. Risk allocation and management infrastructure:</u></b></p> <p>Market participants have full access to a range of risk management products.</p>	<p>Extent to which a market for standardized, regulated risk management products is established and operating.</p>	<p>No product for risk management exists.</p>	<p>Need for mechanism to hedge risk acknowledged, and key constraints to their availability including legal ones identified and analyzed.</p>	<p>Regulatory framework and trading and settlement infrastructure issues--both operational and training-- for risk management products being addressed and under development.</p>	<p>Risk management products available and being used by market participants.</p>	

<b>Objective</b>	<b>I</b>	<b>II</b>	<b>III</b>	<b>IV</b>	<b>V</b>	<b>VI</b>	<b>Cap mkt. index (target)</b>
Year							
1994	2	1	1	2	1	1	1.33
1995	3	2	1	3	2	2	2.17
1996	4	3	2	4	3	3	3.17
1997	5	4	3	5	4	4	4.17
1998	6	5	4	6	5	5	5.17
1999	7	6	4	7	6	6	6.00
2000	8	6	5	8	7	7	6.83
2001	9	7	6	9	8	8	7.83
2002	10	8	7	10	9	9	8.83
2003	11	9	8	11	10	10	9.83

## PERFORMANCE DATA TABLE

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**ORGANIZATION/PROGRAM:** USAID INDIA  
**STRATEGIC OBJECTIVE:** SO 1 INCREASED CAPACITY OF FINANCIAL MARKETS TO MOBILIZE RESOURCES  
**APPROVED:** July 09, 1997

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**INDICATOR:** 1.2 Increased amount of private capital used to finance commercially viable urban environmental infrastructure

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**UNIT OF MEASURE:** Rupees in millions (cumulative)

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**SOURCE DOCUMENT:** Project reports, sector assessment, annual evaluations  
**SOURCE ORGANIZATION:** USAID, CCI, NIUA, ILFS, HUDCO

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**INDICATOR DESCRIPTION:**

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YEARS	PLANNED LOW	PLANNED HIGH	ACTUAL
1994			0
1995			0
1996	200		200
1997	1,650		2,390
1998	2,650		3,390
1999	3,750		
2000	4,250		

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**COMMENTS:** Data reported for GOI fiscal year: April 1 to March 31.  
 Actual data from April 1997 to January 1998 is reported in 1998.

## PERFORMANCE DATA TABLE

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**ORGANIZATION/PROGRAM:** USAID INDIA  
**STRATEGIC OBJECTIVE:** SO 1 INCREASED CAPACITY OF FINANCIAL MARKETS TO MOBILIZE RESOURCES  
**INTERMEDIATE RESULT:** IR 1.1 INCREASED FINANCIAL MARKET EFFICIENCY THROUGH POLICY AND REGULATORY REFORMS  
**APPROVED:** July 09, 1997

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**INDICATOR:** 1.1.1 Clearing and settling time of traded securities reduced in securities markets

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**UNIT OF MEASURE:** Number of days

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**SOURCE DOCUMENT:** SEBI, Price Waterhouse and stock exchange reports  
**SOURCE ORGANIZATION:** SEBI, Price Waterhouse and stock exchanges

---

**INDICATOR DESCRIPTION:**

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YEARS	PLANNED LOW	PLANNED HIGH	ACTUAL
1994			14-21
1995	10-21		4-21
1996	12-20		4-16
1997	10-18		4-7
1998	4-7		4-7
1999	T+5*		
2000	T+5**		

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**COMMENTS:** \*T+5 rolling settlement system applied to stocks accounting for 5% of market capitalization  
\*\*T+5 rolling settlement system applied to stock accounting for 10% of market capitalization  
Data reported for GOI fiscal year. April 1 to March 31.  
Actual data from April 1997 to March 1998 is reported in 1998

## PERFORMANCE DATA TABLE

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**ORGANIZATION/PROGRAM:** USAID INDIA  
**STRATEGIC OBJECTIVE:** SO 1 INCREASED CAPACITY OF FINANCIAL MARKETS TO MOBILIZE RESOURCES  
**INTERMEDIATE RESULT:** IR 1.1 INCREASED FINANCIAL MARKET EFFICIENCY THROUGH POLICY AND REGULATORY REFORMS  
**APPROVED:** July 09, 1997

---

**INDICATOR:** 1.1.2 Price transparency improved in securities markets

---

**UNIT OF MEASURE:** Percentage

---

**SOURCE DOCUMENT:** SEBI and Price Waterhouse reports

**SOURCE ORGANIZATION:** SEBI and Price Waterhouse

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**INDICATOR DESCRIPTION:** Proportion of screen based trading to total volume traded and number of stock exchanges using screen based trading system.

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YEARS	PLANNED LOW	PLANNED HIGH	ACTUAL
1994			No system
1995	10% (1 exchange)		10% (1 exchange)
1996	20% (2 exchanges)		57% (5 exchanges out of 23)
1997	80% (7 exchanges)		96% (16 exchanges out of 23)
1998	85% (8 exchanges)		
1999	90% (18 exchanges)		
2000	98% (19 exchanges)		

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**COMMENTS:** Data reported for GOI fiscal year: April 1 to March 31.

## PERFORMANCE DATA TABLE

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**ORGANIZATION/PROGRAM:** USAID INDIA  
**STRATEGIC OBJECTIVE:** SO 1 INCREASED CAPACITY OF FINANCIAL MARKETS TO MOBILIZE RESOURCES  
**INTERMEDIATE RESULT:** IR 1.1 INCREASED FINANCIAL MARKET EFFICIENCY THROUGH POLICY AND REGULATORY REFORMS  
**APPROVED:** July 09, 1997

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**INDICATOR:** 1.1.3 Securities depository system established and functioning

---

**SOURCE DOCUMENT:** SEBI, Price Waterhouse and NSDL reports  
**SOURCE ORGANIZATION:** SEBI, Price Waterhouse and NSDL

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YEARS	PLANNED QUALITATIVE	ACTUAL QUALITATIVE
1994		System not available
1996	Legislation enacted and regulation promulgated	Temporary legislation in effect through ordinance
1997	Legislation enacted, Regulation promulgated and Depository functioning	Legislation enacted and Depository functioning
1998	Depository servicing stocks accounting for 30% of market capitalization	
1999	Depository servicing stocks accounting for 50% of market capitalization	
2000	Depository servicing stocks accounting for 60% of market capitalization	

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**COMMENTS:** Data reported for GOI fiscal year: April 1 to March 31.

## PERFORMANCE DATA TABLE

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**ORGANIZATION/PROGRAM:** USAID INDIA  
**STRATEGIC OBJECTIVE:** SO 1 INCREASED CAPACITY OF FINANCIAL MARKETS TO MOBILIZE RESOURCES  
**INTERMEDIATE RESULT:** IR 1.2 IMPROVED INSTRUMENTS FOR CAPITAL MOBILIZATION  
**APPROVED:** July 09, 1997

---

**INDICATOR:** 1.2.1 Increased volume of shelter related credit to below median income households

---

**UNIT OF MEASURE:** Rs. million (cumulative)

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**SOURCE DOCUMENT:** NHB ANNUAL REPORT/SECTOR ASSESSMENT REPORT, MSS CONTRACTOR REPORT

**SOURCE ORGANIZATION:** NHB, MSS CONTRACTOR

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**INDICATOR DESCRIPTION:**

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YEARS	PLANNED LOW	PLANNED HIGH	ACTUAL
1992			2,300
1993	2,550		1,250
1994	2,800		3,110
1995	3,050		3,250
1996	3,300		4,080
1997	3,550		4,830

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**COMMENTS:** Data reported for GOI fiscal year: April 1 to March 31.  
This is the last year of reporting result since this activity ended on September 30, 1997.

## PERFORMANCE DATA TABLE

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**ORGANIZATION/PROGRAM:** USAID INDIA  
**STRATEGIC OBJECTIVE:** SO 1 INCREASED CAPACITY OF FINANCIAL MARKETS TO MOBILIZE RESOURCES  
**INTERMEDIATE RESULT:** IR 1.2 IMPROVED INSTRUMENTS FOR CAPITAL MOBILIZATION  
**APPROVED:** March 24, 1998

---

**INDICATOR:** 1.2.2 Increased number of Municipal/State/Local Governments adopting USAID-supported models of financing urban infrastructure

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**UNIT OF MEASURE:** Number of Municipal/State/Local Governments (cumulative)

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**SOURCE DOCUMENT:** CCI/NIUA and Project Reports  
**SOURCE ORGANIZATION:** CCI/NIUA

---

**INDICATOR DESCRIPTION:**

---

YEARS	PLANNED LOW	PLANNED HIGH	ACTUAL
1994			0
1995	1		1
1996	2		2
1997	3		3
1998	4		4
1999	5		
2000	6		

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**COMMENTS:** Data reported for GOI fiscal year April 1 to March 31.  
 Actual data from April 1997 to January 1998 is reported in 1998.  
 New indicator to replace the existing IR 1.2.2.

## **B. Strategic Objective 2: Reduced Fertility and Improved Reproductive Health in North India**

### **Stable population in India a global issue of special emphasis**

Successful achievement of USAID/India's SO 2 will be the most significant potential contribution to the Agency's global objective of population stabilization and improved reproductive health. North India is perhaps the largest population pool (400 million) in the world which has yet to make significant progress toward stabilizing its growth. The Agency will be at pains to achieve its global objectives in population stabilization and improved reproductive health without a successful program to reduce fertility and improve reproductive health in northern India.

Activities financed under SO 2 are featured in the MPP goal of "Stable Population" and also noted in the MPP are the critical linkages between the goals (and USAID's role via SO 2) of "Stable Population", "Regional Stability", "Broad-based Economic Growth" and "Sustainable Environment".

#### **1. Performance Analysis**

In 1997, planned targets were met or exceeded for each IR despite three changes of government in Uttar Pradesh. Overcoming an initial decline in service availability following the removal of incentives for sterilization targets, USAID's program doubled the cumulative population covered by reproductive health services through the private sector to almost 20 million. The availability of family planning spacing methods of condoms and pills through local chemists and other outlets grew markedly. Twenty million condoms and 300,000 cycles of oral contraceptives were sold through USAID-supported programs. The quality of services improved through the training of 30,000 health care providers.

#### **SO 2 results can be reached by FY 2004**

In July/August 1997, a comprehensive assessment of the Innovations in Family Planning Services Project was conducted. The assessment methodology included ten independent studies (customer surveys with over 3000 female respondents), multiple field visits, and interviews and meetings with key stakeholders, partners, beneficiaries and senior technical experts in India and Washington. The findings provide a compelling picture of the progress being made in increasing quality, access, and demand for family planning and other reproductive health services. The conclusion drawn by the evaluators, the senior technical experts and other reviewers is that the program has demonstrated the potential to achieve SO 2 targets for improved reproductive health and reduced fertility in Northern India in a time frame that extends to FY 2004.

Based on the findings of the assessment, USAID/India submitted a revised SO and data tables detailing intermediate results and performance indicators to USAID/Washington. They were approved in December 1997. The revised SO 2 reaffirms the original objective of fertility reduction in northern India, but reflects the emphasis on broader reproductive health concerns, client-centered care and quality of services. The SO 2

submission this year reports on the indicators in place from last year and provides baseline data for the "interim" indicators agreed to during the last R4 review. Notably, these interim indicators all fall within the new set of approved indicators for the revised SO 2 which will be reported on next year. Indicators reported on for this year, both previous existing indicators and those under the revised and expanded strategy, do not include results from Madhya Pradesh for the Women and Child Health (WACH) activity. Development on WACH was discontinued when USAID and the GOI were unable to reach agreement on implementing arrangements, but select reproductive health components of the WACH design have been incorporated into the Uttar Pradesh program.

The SO 2 program is beginning to reach a critical mass of people with new and improved quality services. The program has successfully channeled funds through the Uttar Pradesh-based State Innovation in Family Planning Services Agency (SIFPSA) to directly strengthen public sector institutions involved in reproductive health. It has also supported new private sector partners. The last year has seen tremendous growth in the size, focus and impact of the program, and the impact has been measurable. New key counterparts in the Uttar Pradesh Government and a dynamic new executive director of SIFPSA have brought strong leadership to the program. Technical assistance from several USAID-funded cooperating agencies has facilitated program expansion, achievement of benchmarks and promotion and integration of quality standards. USAID has been able to strengthen its partnerships with the implementing agency, the state and central governments and with our cooperating agencies to increase communication and create a shared vision. Last and certainly not least, a comprehensive social marketing strategy has been approved by the GOI, SIFPSA and USAID, thereby overcoming what had been a serious potential constraint to achieving the desired results for this strategic objective.

### **Access expanded and quality much improved**

There have been substantial gains in achieving key intermediate results (IR in the past year, equaling or exceeding targets in five of six indicators.

- An innovative partnership with a commercial firm, Hindustan Latex, Ltd., began in March 1997 to extend the reach of commercial spacing family planning methods--condoms and pills--into rural areas and towns with less than 20,000 population. This effort, as well as the on-going marketing/distribution program with Population Services International, resulted in sales of 20 million condoms and 300,000 cycles of oral pills, an increase of 33 percent and 10 percent respectively, over 1996 levels. The condom sales equal the planned IR target of 20 million, while for pills, sales of 300,000 exceeded the IR target of 290,000 cycles by three percent. (Indicator 2.1.2)
- The cumulative population covered by private service providers in Uttar Pradesh doubled from last year's level to 19.7 million persons, about 30 percent over the IR targeted level. (Indicator 2.1.3)
- The number of providers trained increased dramatically to 30,400--almost doubling the planned IR target level in aggregate (Indicator 2.1.4). This was due to the unexpectedly large number of government service providers trained under the government's new target free, reproductive health initiative. In responding to the GOI

request for USAID to support this high priority training to operationalize the new target free approach, other public sector training planned under SO 2 was deferred, and the planned level of 3,000 government providers to be trained was not quite met. Private sector provider training IR targets were exceeded by 16 percent.

In addition to the progress in achieving the intermediate results, there have been substantial gains in access and quality, as indicated from the rapid assessments and a variety of household surveys at the district level. These include:

- More women--about 50 percent of eligible women of reproductive age--are routinely being contacted and counseled on family planning methods by community-based workers in areas served by the activity. An independent assessment of trained dairy cooperative community based workers (Cads) in two districts confirmed that 96 percent are providing accurate counseling.
- Contraceptive prevalence in private sector activities (based on five rapid assessments of NGO activities) is increasing; it varies among districts between a low of 13 percent to a high of 36 percent. While sterilization is still the dominant method, the percentage increase of spacing methods has been significant.
- In the six focus districts, an independent survey validated that supply points for oral pills and condoms increased over six-fold from 269 in 1995 to 1,879 in 1997, with rural women reporting more than a 70 percent increase in use of modern temporary methods.
- In two districts served by dairy cooperative workers at the community level, an independent survey confirmed that 95 percent of workers were providing some family planning service, and of those, 90 percent had oral pill and condom supplies on hand.
- An independent survey of sterilization acceptors indicated 85 percent received follow-up visits and medicine packets to prevent post-operative infection--representing a six-fold increase in the last two years.
- Operations research in Agra district, using a pregnancy-based approach to identify and serve pregnant women with antenatal care and with other post partum/reproductive health services (i.e., family planning after childbirth), found that women receiving iron and folic acid tablets and tetanus toxoid had increased from by 34 to 41 percent, an increase of over 20 percent; and contraceptive prevalence increased from 31 to 34 percent, an increase of 10 percent, with greatly expanded use of spacing methods, within a span of two years.

Significant progress has also been made in communication and demand generation programs:

- The \$2 million information, education and communication (IEC) campaign is underway. The IEC concept was designed and validated through field testing using the slogan "let's talk about it." This theme, which is heavily focussed on younger couples, has been carried into counseling materials now in production for 10,000

workers, with similar efforts planned for mass media television, radio messages and local folk media.

- A contract has been signed to initiate a major communications campaign promoting the use of low dose pills in urban areas covering 95 million people in four northern States of India including Uttar Pradesh. The resources for the campaign succeeded in leveraging support from the market leader in oral contraceptives in India for increasing their market share and distribution in this area.

Significant USAID support has also gone to expanding commercial sector production, distribution and marketing of contraceptives with the following results.

- Two condom producers received loans for expanding the marketing and distribution nationwide in 1997. Of their total distribution, (15.7 million condoms were sold in Uttar Pradesh, adding to the 20 million subsidized condoms sales supported by USAID's program there).
- Two IUD manufacturers sold over 212,000 IUDs in a nascent commercial market for IUDs in India, though sales in Uttar Pradesh were limited.

There has been a significant breakthrough in contraceptive marketing. USAID, SIFPSA and the GOI, following an in-depth contraceptive market segmentation study, have developed and approved a comprehensive marketing strategy and plan which includes an analysis of the program, suggested interventions and acceptable feasible mechanisms for implementation, to cover the whole state of Uttar Pradesh over the next five years. This includes both the supply and distribution for oral contraceptives and condoms in rural and urban areas. The expansion of the contraceptive marketing component will amplify public-private-commercial partnerships to expand quality, access and choice to reproductive health services for the people of Uttar Pradesh.

Agreement also has been reached on the design and implementation of a second National Family Health Survey which will serve the following two purposes: (1) essential data will be provided on the national child and reproductive health program's progress which can be used for monitoring, evaluation, and validation; and (2) new questions will be added to provide more comprehensive information on maternal and child health, micronutrient status, program effort and quality, reproductive health, and costs and sources of supply for key preventive services.

In conjunction with the Public Health Services and NIH, USAID/India has initiated a major new program of Indo-US collaboration to develop and test new contraceptive technologies.

## **2. Expected Progress through FY 2000 and Management Actions**

SO 2 progress, as validated by the Midterm Assessment, provides a strong basis for confidence that the program can achieve its objectives by FY 2004. The revised SO supports important additional intermediate results for quality of services and reproductive health. To bring about this expansion and broadening of efforts through other select

reproductive health interventions in up to 28 districts of Uttar Pradesh, the Mission expects that:

- Our partner implementing agency, SIFPSA, in Uttar Pradesh will be strengthened through hiring of additional staff for both programming and financial management, and the fully functioning management information system--which has made considerable progress in 1997--will be in place.
- Major program approaches validated by field research, namely strengthening of public sector service delivery and broad private sector participation including cooperatives, private practitioners, and community based non-government organizations, will be built upon.
- A new district-level programming approach that promotes an integrated public-private programming will be implemented in six districts of Uttar Pradesh through participatory, decentralized district planning and delegation of authority to the district level.
- Community participation will continue to be broadened through linkages with women's groups and local self government.
- Increased provision of other select reproductive health interventions through improved antenatal care and attended deliveries will be built into the program to strengthen care during pregnancy and improved birth outcomes for mothers and newborns.
- Based on the breakthrough agreement on a major contraceptive marketing program, expanded program activities will be initiated to broaden access to oral contraceptives and condoms to consumers in urban and rural areas of Uttar Pradesh

The anticipated results of these major activities under the revised SO 2 are reflected in the proposed new set of Performance Data Tables included in this R4 which establishes current baselines and planned targets. This new set of tables also incorporates those interim indicators agreed to in last year's R4 review. The revised SO 2 plan to expand SO 2 activities into 28 districts in Uttar Pradesh, simultaneously to support statewide marketing, communication, and logistics strengthening activities and extend the program to FY 2004 provides a strong, comprehensive basis for the achievement of the revised SO 2 objectives.

### **USAID performance based disbursement system fully operational**

The unique funding mechanism of the program's performance-based disbursement system, in which funds are disbursed against the achievement of agreed-upon performance benchmarks, will continue. This system requires that sufficient funding is on hand to fulfill the necessary commitments required for each set of performance benchmarks and also allow the Mission to continuously negotiate new benchmarks with the Government of India and SIFPSA to maintain implementation momentum. USAID and SIFPSA project that another 27 benchmarks with a value of \$10 million will be met by April 1998. Given the additional activities under SO 2, the Mission projects over \$36 million

expenditures in the next two fiscal years. With these projected expenditures, the Mission expects the SO 2 pipeline to be about \$38 million by September 30, 2000, of which only \$5 million would be uncommitted. The Mission considers the size of the pipeline to be reasonable for the reasons mentioned above.

### **OYB in \$20 million range required for results**

USAID, SIFPSA and the GOI recently agreed to the third set, and are negotiating the fourth set, of performance benchmarks to support SO 2's revised strategy. It is anticipated that the benchmark negotiations for the fourth set will be completed by May 1998; the value of these two sets of benchmarks will be approximately \$25 million. To help reduce the pipeline and assure that the program is sufficiently capitalized on a timely basis, USAID and SIFPSA have agreed on a significant design change for the new benchmarks which permits smaller, more frequent payments that more accurately reflect program progress and accruals, assures timely resource flow to SIFPSA to fund critical activities for expansion and helps reduce the SO 2 pipeline. Given the planned FY 98 obligation level of \$9.474 million, virtually all obligated funds will be committed after agreement is reached on the new benchmarks. The Mission proposed obligation levels for SO 2 of \$23.4 million in FY 99, and of \$19.0 million in FY 2000 are the minimum level to fund the next set of benchmarks planned for FY 2000 and support other program activities and essential technical assistance that will permit expansion to 28 districts and the additional activities under the revised SO 2--reproductive health, contraceptive marketing, and integrated district planning. Since SO 2 funding at these projected levels already necessitates a funding cut for global field support of about nine percent per year, any further reduction will jeopardize USAID/India and Agency efforts to meet this important strategic objective.

## PERFORMANCE DATA TABLE

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**ORGANIZATION/PROGRAM:** USAID INDIA  
**STRATEGIC OBJECTIVE:** SO 2 REDUCED FERTILITY AND IMPROVED REPRODUCTIVE HEALTH IN NORTH INDIA  
**INTERMEDIATE RESULT:** I.R. 2.1/2.1a REDUCED UNINTENDED PREGNANCIES IN UP/INCREASED BIRTH SPACING IN UP  
**APPROVED:** July 09, 1997

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**INDICATOR:** 2.1.2 Commercial and CSM sales of Pills/Condoms in U.P

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**UNIT OF MEASURE:** Condoms (C) in millions, Oral Pills (OP) in thousand cycles

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**SOURCE DOCUMENT:** Project Reports  
**SOURCE ORGANIZATION:**

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**INDICATOR DESCRIPTION:**

YEAR	PLANNED LOW	PLANNED HIGH	ACTUAL
1994			C-17 OP-180
1995	C-21 OP-230		C-21 OP-230
1996	C-26 OP-750		C-15 OP-272
1997	C-20 OP-290		C-20 OP-300
1998	C-20 OP-300		
1999	C-20 OP-310		
2000	C-20 OP-340		

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**COMMENTS:** Data reported for US fiscal year: October 1 to September 30.  
 1. Interim indicator, will be dropped in the FY 2001 R4.

## PERFORMANCE DATA TABLE

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**ORGANIZATION/PROGRAM:** USAID INDIA  
**STRATEGIC OBJECTIVE:** SO 2 REDUCED FERTILITY AND IMPROVED REPRODUCTIVE HEALTH IN NORTH INDIA  
**INTERMEDIATE RESULT:** I.R. 2.1/2.1a REDUCED UNINTENDED PREGNANCIES IN UP/INCREASED BIRTH SPACING IN UP  
**APPROVED:** July 09, 1997

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**INDICATOR:** 2.1.3 Cumulative population service coverage for private family planning services in UP

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**UNIT OF MEASURE:** Number expressed in millions

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**SOURCE DOCUMENT:** SIFPSA Management Information System - IFPS Project  
**SOURCE ORGANIZATION:** SIFPSA

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**INDICATOR DESCRIPTION:** Population reached by private service providers.

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YEAR	PLANNED LOW	PLANNED HIGH	ACTUAL
1994			0.2
1995	5		5
1996	11		10
1997	15		19.7
1998	18		
1999	19		
2002	25		

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**COMMENTS:** Data reported for US fiscal year: October 1 to September 30.  
 1. Population coverage includes all projects sanctioned up to the end of this reporting.  
 2. Interim indicator, will be dropped in the FY 2001 R4.

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA
<b>STRATEGIC OBJECTIVE:</b>	SO 2 REDUCED FERTILITY AND IMPROVED REPRODUCTIVE HEALTH IN NORTH INDIA
<b>INTERMEDIATE RESULT:</b>	I.R. 2.1/2.1a REDUCED UNINTENDED PREGNANCIES IN UP/INCREASED BIRTH SPACING IN UP
<b>APPROVED:</b>	July 09, 1997
<b>INDICATOR:</b>	2.1.4 Number of providers given technical/behavioral service delivery training in UP
<b>UNIT OF MEASURE:</b>	Number
<b>SOURCE DOCUMENT:</b>	SIFPSA Management Information System - IFPS Project
<b>SOURCE ORGANIZATION:</b>	SIFPSA
<b>INDICATOR DESCRIPTION:</b>	Number of people trained in competency based training including (i) public sector; (ii) private sector; and (iii) others (adolescents and community members).

YEAR	PLANNED LOW	PLANNED HIGH	ACTUAL
1995			i. 500 ii. 1,300 iii. 0
1996			i. 1,000 ii. 1,500 iii. 4,800
1997	i. 3,000 ii. 3,000 iii. 10,000		i. 2,600 ii. 3,500 iii. 24,300
1998	i. 4,000 ii. 2,000 iii. 10,000		
1999	i. 4,000 ii. 2,000 iii. 10,000		
2000	i. 4,000 ii. 2,000 iii. 10,000		

COMMENTS: Data reported for US fiscal year: October 1 to September 30.  
 1. Data reported for UP only.  
 2. Interim indicator, will be dropped in the FY 2001 R4.

## **SO 2 INDICATORS FOR R4 REPORTING EFFECTIVE FY 2001**

The following eleven tables are the set of SO 2 indicators with baselines that USAID/India will report on beginning in the R4 FY 2001.

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>STRATEGIC OBJECTIVE:</b>	SO2 REDUCED FERTILITY AND IMPROVED REPRODUCTIVE HEALTH IN NORTH INDIA		
<b>APPROVED:</b>	December 19, 1997		
<b>INDICATOR:</b>	2.1 Percent of pregnant women receiving antenatal care		
<b>UNIT OF MEASURE:</b>	Percentages for 28 perform districts		
<b>SOURCE DOCUMENT:</b>	NFHS Surveys 1992/93, PERFORM Surveys 2001/2, 2003/4		
<b>SOURCE ORGANIZATION:</b>	NFHS, PERFORM		
<b>INDICATOR DESCRIPTION:</b>	Percent of pregnant women receiving at least two doses of tetanus toxoid and 100 iron and folate tablets in 28 PERFORM districts.		
<b>YEAR</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1993			30
2002	36		
2004	40		
<b>COMMENTS:</b>	NFHS survey was conducted in 1992-93 and PERFORM survey will be conducted during 2001/2, and 2003/4.		

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>STRATEGIC OBJECTIVE:</b>	SO2 REDUCED FERTILITY AND IMPROVED REPRODUCTIVE HEALTH IN NORTH INDIA		
<b>APPROVED:</b>	December 19, 1997		
<b>INDICATOR:</b>	2.2 Percent of recent births attended by a trained provider		
<b>UNIT OF MEASURE:</b>	Percentages for 28 PERFORM districts		
<b>SOURCE DOCUMENT:</b>	PERFORMS Surveys; 1995, 2001/2, 2003/4.		
<b>SOURCE ORGANIZATION:</b>	PERFORM		
<b>INDICATOR DESCRIPTION:</b>	Percent of recent births attended by trained provider, includes trained birth attendant in 28 PERFORM districts.		
<b>YEAR</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1995			17
2002	24		
2004	30		
<b>COMMENTS:</b>	PERFORM baseline survey was conducted in 1995 and will be conducted during 2001/2, and 2003/4 years.		

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>STRATEGIC OBJECTIVE:</b>	SO2 REDUCED FERTILITY AND IMPROVED REPRODUCTIVE HEALTH IN NORTH INDIA		
<b>APPROVED:</b>	December 19, 1997		
<b>INDICATOR:</b>	2.3 Contraceptive Prevalence Rate for modern methods		
<b>UNIT OF MEASURE:</b>	Percentage for state of Uttar Pradesh		
<b>SOURCE DOCUMENT:</b>	NFHS surveys 1992/93,1998; PERFORM surveys 2001/2, 2003/4		
<b>SOURCE ORGANIZATION:</b>	NFHS, PERFORM		
<b>INDICATOR DESCRIPTION:</b>	Proportion of married couples with wife aged 15-49 using modern contraceptive methods in Uttar Pradesh.		
<b>YEAR</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1993			18.5
1998	23		
2002	29		
2004	35		
<b>COMMENTS:</b>			

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>STRATEGIC OBJECTIVE:</b>	SO2 REDUCED FERTILITY AND IMPROVED REPRODUCTIVE HEALTH IN NORTH INDIA		
<b>APPROVED:</b>	December 19, 1997		
<b>INDICATOR:</b>	2.4 Total fertility rate		
<b>UNIT OF MEASURE:</b>	Rate for state of Uttar Pradesh		
<b>SOURCE DOCUMENT:</b>	NFHS surveys 1992/93, 1998; PERFORM surveys 2001/2, 2003/4		
<b>SOURCE ORGANIZATION:</b>	NFHS, PERFORM		
<b>INDICATOR DESCRIPTION:</b>	Number of children a women would bear during her reproductive years if she were to experience the current fertility schedule.		
<b>YEAR</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1993			4.8
1998	4.3		
2002	4.1		
2004	3.9		
<b>COMMENTS:</b>			

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>STRATEGIC OBJECTIVE:</b>	SO2 REDUCED FERTILITY AND IMPROVED REPRODUCTIVE HEALTH IN NORTH INDIA		
<b>INTERMEDIATE RESULT:</b>	I.R. 2.1 INCREASED QUALITY OF FAMILY PLANNING SERVICES		
<b>APPROVED:</b>	December 19, 1997		
<b>INDICATOR:</b>	2.1.1 Number of IFPS-trained public sector providers performing to standards		
<b>UNIT OF MEASURE:</b>	Cumulative numbers in 28 PERFORM districts		
<b>SOURCE DOCUMENT:</b>	Spot-check follow-up on training and special provider surveys, as necessary, in 28 PERFORM districts of U.P.		
<b>SOURCE ORGANIZATION:</b>	PERFORM		
<b>INDICATOR DESCRIPTION:</b>	<p>1a Cumulative number of providers (medical officers) trained in providing sterilization services in 28 PERFORM districts.</p> <p>1b Cumulative number of providers (medical officers) trained, and who meet quality standards in providing sterilization services in 28 PERFORM districts.</p> <p>2a Cumulative number of providers (female medical officers and ANMs) trained in providing IUD services in 28 PERFORM districts</p> <p>2b Cumulative number of providers (female medical officers and ANMs) trained and who meet quality standards in providing IUD services in 28 PERFORM districts</p>		
<b>YEAR</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1997			1a 24 1b 13 2a 263 2b 67
1998	1a 200 1b 125 2a 1,623 2b 600		
1999	1a 432 1b 270 2a 6,184 2b 2,413		
2000	1a 676 1b 424 2a 1,079 2b 4,627		

2001	1a 856
	1b 535
	2a 2,742
	2b 5,468
2002	1a 1,048
	1b 656
	2a TBD
	2b TBD
2003	1a 1,252
	1b 788
	2a TBD
	2b TBD
2004	1a 1,468
	1b 932
	2a TBD
	2b TBD

---

**COMMENTS:** Annual data cumulated; quality standards as defined by the IFPS training program.  
TBD -- Training of ANMs in IUD skills to be completed by 2001. Need for additional training in IUD insertion/removal to be assessed in 2000.

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>STRATEGIC OBJECTIVE:</b>	SO2 REDUCED FERTILITY AND IMPROVED REPRODUCTIVE HEALTH IN NORTH INDIA		
<b>INTERMEDIATE RESULT:</b>	I.R. 2.1 INCREASED QUALITY OF FAMILY PLANNING SERVICES		
<b>APPROVED:</b>	December 19, 1997		
<b>INDICATOR:</b>	2.1.2 Number of public sector clinics with satisfactory quality ratings		
<b>UNIT OF MEASURE:</b>	Cumulative numbers in 28 PERFORM districts		
<b>SOURCE DOCUMENT:</b>	Special clinic study in 28 PERFORM districts		
<b>SOURCE ORGANIZATION:</b>	PERFORM		
<b>INDICATOR DESCRIPTION:</b>	Cumulative number of public sector sites upgraded under IFPS project and performing to standards in 28 PERFORM districts.		
<b>YEAR</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1997			4
1998	58		
1999	172		
2000	272		
2001	300		
2002	325		
2003	350		
2004	361		
<b>COMMENTS:</b>	Quality ratings as defined under the IFPS project. It is planned that 526 public sector clinics will be upgraded by 2004 and that 361 or 69% will receive satisfactory quality ratings.		

## PERFORMANCE DATA TABLE

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**ORGANIZATION/PROGRAM:** USAID INDIA  
**STRATEGIC OBJECTIVE:** SO2 REDUCED FERTILITY AND IMPROVED REPRODUCTIVE HEALTH IN NORTH INDIA  
**INTERMEDIATE RESULT:** I.R. 2.2 INCREASED USE OF FAMILY PLANNING SERVICES  
**APPROVED:** December 19, 1997

---

**INDICATOR:** 2.2.1 Number of Public sector FP clients by methods

---

**UNIT OF MEASURE:** Annual acceptors in thousands in 28 PERFORM districts

---

**SOURCE DOCUMENT:** Government of UP Family Welfare statistics

**SOURCE ORGANIZATION:** Government of UP

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**INDICATOR DESCRIPTION:** ST....Annual acceptors of Sterilization in thousands in 28 PERFORM districts.  
 IUD....Annual acceptors in thousands in 28 PERFORM districts.  
 OP....Annual acceptors of Oral pills in thousands in 28 PERFORM districts.  
 C....Annual acceptors of Condoms in thousands in 28 PERFORM districts.

---

YEAR	PLANNED LOW	PLANNED HIGH	ACTUAL	
1997			ST	157
			IUD	46
			OP	46
			C	54
1998	ST 192			
	IUD 52			
	OP 52			
	C 57			
1999	ST 227			
	IUD 58			
	OP 59			
	C 60			
2000	ST 262			
	IUD 64			
	OP 65			
	C 63			
2001	ST 297			
	IUD 69			
	OP 72			
	C 67			

2002	ST	332
	IUD	75
	OP	78
	C	70
2003	ST	367
	IUD	81
	OP	85
	C	72
2004	ST	407
	IUD	87
	OP	91
	C	76

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**COMMENTS:** Annual data; Non-cumulative; Adjusted during PERFORM survey data for reliability of reporting of government statistics.

## PERFORMANCE DATA TABLE

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**ORGANIZATION/PROGRAM:** USAID INDIA  
**STRATEGIC OBJECTIVE:** SO2 REDUCED FERTILITY AND IMPROVED REPRODUCTIVE HEALTH IN NORTH INDIA  
**INTERMEDIATE RESULT:** I.R. 2.2 INCREASED USE OF FAMILY PLANNING SERVICES  
**APPROVED:** December 19, 1997

---

**INDICATOR:** 2.2.2 Number of private sector FP clients of spacing methods

---

**UNIT OF MEASURE:** Annual acceptors in thousands in 28 PERFORM districts

---

**SOURCE DOCUMENT:** SIFPSA NGO MIS statistics

**SOURCE ORGANIZATION:** SIFPSA

---

**INDICATOR DESCRIPTION:** OP...Annual acceptors of Oral pills in thousands in 28 PERFORM districts.  
 C... Annual acceptors of condoms in thousands in 28 PERFORM districts.

---

YEAR	PLANNED LOW	PLANNED HIGH	ACTUAL
1997			OP8 C 3
1998	OP 10 C 5		
1999	OP 13 C 7		
2000	OP 15 C 9		
2001	OP 17 C 11		
2002	OP 19 C 13		
2003	OP 22 C 14		
2004	OP 24 C 17		

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**COMMENTS:** Annual data; non-cumulative.

## PERFORMANCE DATA TABLE

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**ORGANIZATION/PROGRAM:** USAID INDIA  
**STRATEGIC OBJECTIVE:** SO2 REDUCED FERTILITY AND IMPROVED REPRODUCTIVE HEALTH IN NORTH INDIA  
**INTERMEDIATE RESULT:** I.R. 2.2 INCREASED USE OF FAMILY PLANNING SERVICES  
**APPROVED:** December 19, 1997

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**INDICATOR:** 2.2.3/2.2.4 Contraceptive Social Marketing (CSM) and Commercial sales of oral pills/condoms

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**UNIT OF MEASURE:** Annual sales in Uttar Pradesh

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**SOURCE DOCUMENT:** Operations Research Group retail audit  
**SOURCE ORGANIZATION:** ORG

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**INDICATOR DESCRIPTION:** OP ... Annual sales of Oral pills in million cycles in Uttar Pradesh  
 C ... Annual sales of Condoms in millions in Uttar Pradesh

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YEAR	PLANNED LOW	PLANNED HIGH	ACTUAL
1997			OP-4.2 C-104
1998	OP-4.5 C-110		
1999	OP-5.5 C-112		
2000	OP-6.3 C-127		
2001	OP-7.2 C-143		
2002	OP-8.2 C-161		
2003	OP-9.1 C-180		
2004	OP-10.4 C-205		

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**COMMENTS:** Annual data; non-cumulative.  
 After the development of Market Plan in March 1998, projections for commercial and CSM sales of condoms and oral pills may be provided separately.

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>STRATEGIC OBJECTIVE:</b>	SO2 REDUCED FERTILITY AND IMPROVED REPRODUCTIVE HEALTH IN NORTH INDIA		
<b>INTERMEDIATE RESULT:</b>	I.R. 2.3 INCREASED USE OF REPRODUCTIVE HEALTH SERVICES		
<b>APPROVED:</b>	December 19, 1997		
<b>INDICATOR:</b>	2.3.1 Number/percentage of pregnant women receiving Ante Natal Care (ANC) services.		
<b>UNIT OF MEASURE:</b>	Annual numbers and percentages in 28 PERFORM districts		
<b>SOURCE DOCUMENT:</b>	Government of UP service statistics		
<b>SOURCE ORGANIZATION:</b>	Government of UP		
<b>INDICATOR DESCRIPTION:</b>	Annual number of pregnant women in 28 PERFORM Districts receiving two doses of Tetanus Toxoid (TT) in thousands. Percent of pregnant women in 28 PERFORM Districts receiving two doses of Tetanus Toxoid (TT). Annual number of pregnant women in 28 PERFORM Districts receiving 100 Iron and folic acid tablets (IFA) in thousands. Percent of pregnant women in 28 PERFORM Districts receiving 100 Iron and folic acid tablets (IFA).		
<b>YEAR</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1997			TT-1396 TT-43% IFA-1036 IFA-32%
1998	TT-1452 TT-44% IFA-1089 IFA-33%		
1999	TT-1508 TT-45% IFA-1139 IFA-34%		
2000	TT-1564 TT-46% IFA-1190 IFA-35%		
2001	TT-1617 TT-47% IFA-1239 IFA-36%		

2002	TT-1675 TT-48% IFA-1291 IFA-37%
2003	TT-1734 TT-49% IFA-1345 IFA-38%
2004	TT-1795 TT-50% IFA-1436 IFA-40%

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**COMMENTS:** Annual data; non-cumulative; adjusted using NFHS data for reliability of reporting of government statistics.

## PERFORMANCE DATA TABLE

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**ORGANIZATION/PROGRAM:** USAID INDIA  
**STRATEGIC OBJECTIVE:** SO2 REDUCED FERTILITY AND IMPROVED REPRODUCTIVE HEALTH IN NORTH INDIA  
**INTERMEDIATE RESULT:** I.R. 2.3 INCREASED USE OF REPRODUCTIVE HEALTH SERVICES  
**APPROVED:** December 19, 1997

---

**INDICATOR:** 2.3.2 Number and percentage of deliveries attended by trained provider

---

**UNIT OF MEASURE:** Annual numbers/percentages in 28 PERFORM districts

---

**SOURCE DOCUMENT:** Government of UP family welfare statistics  
**SOURCE ORGANIZATION:** Government of UP

---

**INDICATOR DESCRIPTION:** Annual number (in thousands) of deliveries attended by a trained provider including traditional birth attendants (TBA), in 28 PERFORM districts.  
Percent of deliveries attended by a trained provider, including trained birth attendants (TBA), in 28 PERFORM districts.

---

YEAR	PLANNED LOW	PLANNED HIGH	ACTUAL
1997			496 17%
1998	535 18%		
1999	603 20%		
2000	673 22%		
2001	743 24%		
2002	816 26%		
2003	892 28%		
2004	969 30%		

---

**COMMENTS:** Annual data; non-cumulative; adjusted using PERFORM data for reliability of reporting of government statistics.

### **C. Strategic Objective 3: Improved Child Survival and Nutrition in Selected Areas of India**

Strategic Objective 3 supports the MPP Goal to "Protect Health," especially children's, health. This is accomplished by integrating Title II food and development assistance resources into programs that provide supplementary feeding and basic health services to mothers and children. Food assistance also enables the Mission to respond rapidly to disasters, contributing to the U.S. Humanitarian Response national interest by enabling the Mission to "minimize the human costs of...natural disasters". For example, through the Title II logistics infrastructure and networks that extend into the most remote areas of India, USAID/India was able to respond rapidly last year to provide water, food and temporary shelter to 50,000 people dislocated by two severe cyclones and related flooding in Andhra Pradesh; 33,000 people made homeless by the earthquake in Madhya Pradesh; and 300,000 people suffering as a result of drought in Orissa.

#### **1. Performance Analysis**

##### **All targets exceeded**

Considerable success has been achieved during the year in integrating Title II and other resources to improve child survival and nutrition. Intermediate results for FY 1997 under the "Improved Child Survival and Nutrition" strategic objective reflect trends that largely surpassed expected results.

- Immunization coverage rates in program areas improved from 28 percent to 61 percent of eligible children against the planned level of 35 percent;
- Percentage of children under two years (the age group most vulnerable to malnutrition) receiving nutritious supplements increased from 40 percent to about 60 percent compared to the planned level of 43 percent;
- Receipt of iron-folate supplements went up from 13 percent to 28 percent of pregnant women against the planned level of 20 percent; and
- Rates of timely complementary feeding improved from 46 percent to over 60 percent compared to the planned level of 50 percent for infants 6-9 months.

These initial results from CARE's Integrated Nutrition and Health Program (INHP), the largest activity contributing to the SO, are encouraging. The strategy to link supplementary food distribution more explicitly to basic health services for vulnerable groups and to nutrition education appears to be sound. The positive trend indicated by CARE program data is further confirmed by UN data which show a decline in under-five child mortality from 115 per thousand in 1995 to 111 in 1996.

CARE's data comes from a new monitoring system that it is further refining and strengthening. Given the complexity of CARE's program which involves a huge number

of personnel, many regional languages, and vast distances, reporting methodology needs to be further standardized. This year the focus is on overall trends and progression, and less emphasis is placed on exact coverage rates. The CRS health program completed a baseline survey comparable to CARE's which provides comprehensive baseline data on SO and IR indicators. Thus, next year USAID/India will be able to provide consolidated CARE-CRS performance tables.

### **Increased use of key child survival interventions**

In program areas supported by CARE and CRS, basic health services focussed on reducing deaths due to vaccine-preventable diseases, diarrheas, pneumonias and malnutrition of pregnant women and children under two. Women and children living in CARE's "high impact" villages systematically received nutrition supplements, ante-natal care, and immunization. A significant increase in immunization coverage rates in program areas from 28 percent at baseline (1996) to about 60 percent of eligible children has been reported (see Table 3.1.1a).

In addition to the food aid program, USAID provided \$3.9 million through WHO, UNICEF and Rotary International to support the effort to eradicate polio in India. As a result of this large scale campaign which reached about 125 million children under five years on a single day, reported polio cases have dropped by 75 percent in the past year. Largely due to the success of the first two annual National Pulse-Polio Immunization Days, India's contribution to the worldwide burden of polio cases has been reduced from 47 percent to 27 percent. USAID has also supported an epidemiology network (INCLEN) to conduct an evaluation of India's Polio Initiative, and the results are expected in May 1998.

USAID also continued to support the development of National Institute of Biologicals (NIB), co-sponsored by the Overseas Economic Cooperation Fund (OECF) of Japan and the Ministry of Health and Family Welfare. The institute will strengthen India's ability to ensure that biological products produced or imported for use in India are safe and potent. With USAID-financed technical assistance, NIB has finalized the design for its sophisticated laboratory including animal facilities. Construction is scheduled to begin in the summer of 1998. USAID/India has also provided technical assistance, training and equipment to help NIB develop the capacity at interim facilities to test children's vaccines such as Oral Polio Vaccine (OPV) and other biologicals.

Finally, through its program promoting the commercial marketing of health technologies, USAID is assisting commercial producers of oral rehydration salts (ORS) obtain formulas to prevent and treat dehydration and a local manufacturer to develop a low-cost electronic scale--to help health workers monitor children's weight and growth.

### **Maternal and child nutrition improved**

Indicators of maternal and child nutrition show considerable progress in the past year.

- Distribution of iron-folate supplements has improved significantly despite a serious

two-year disruption in central government procurement. Twice as many pregnant women received iron-folate tablets as last year (see Table 3.2.1a). CARE's organization of a high level meeting involving national level officials and state counterparts highlighted the supply problems and this year, for the first time in two years, iron folate tablets were available at village centers in Bihar, a state with a very weak service delivery system.

- Communities are adopting improved infant nutrition practices as the result of increased counseling. Timely complementary feeding rates for infants have also grown, increasing from 46 percent at baseline (1996) to more than 60 percent during the year (see Table 3.2.2a).

CARE worked with both the Department of Women and Child Development (under the Ministry of Human Resource Development) and Ministry of Health at various levels to encourage joint training and improved coordination between nurse-midwives and village nutrition workers, but strong unified leadership for nutrition in India still does not exist. The involvement of CARE and CRS in micronutrient supplementation has opened a dialogue between USAID and its partners on a coordinated strategy to improve access to micronutrients through supplementation, fortification, or other nutrition interventions. The national elections temporarily forced postponement of USAID's micronutrient assessment to test the feasibility of further work in this area.

### **Improved targeting of at-risk populations**

During FY 97, the food program reached a total of 6.5 million women and children (95 percent of the planned level) with a supplementary meal about 25 days a month. The program is on track to meet its coverage targets. The coverage of the group most vulnerable to malnutrition improved from 40 percent to 63 percent of children under two years of age (see Table 3.3.1a). Both CARE and CRS provided valuable technical assistance and training to over 46,000 public and private partners and to community members on how to expand coverage of at-risk mothers and children and on how to improve program quality. CARE's strategy to link 'take-home' food distribution to Nutrition/Health Days was critical to reaching pregnant women and mothers with infants, since many do not live close to the village nutrition center and work on farms during the hours the centers are in operation. One of the most significant management changes was the participation of CARE staff in district government inter-sectoral meetings which has improved coverage and quality and linked local organizations and the government health and nutrition workers at the community level.

### **Partnerships expanded and strengthened**

CARE initiated high impact activities in at least one block (100,000 people) in each of the seven states in which it operates. The high impact program encourages community involvement and ownership, particularly by women's groups and panchayats (local village councils). Grain banks to improve food security of the extremely poor and group-savings and loans for health-related expenditures are two examples of activities initiated by women's groups. These groups are already distributing take-home rations in connection

with health days and managing feeding sub-centers. CARE trained some 36,400 counterparts, including community members, through a Title II strengthening grant, as part of its strategy to use motivated and charismatic local leaders rather than government functionaries.

CRS has well-developed partnerships and MOUs with 53 counterparts; about 2,400 operating partners are involved in implementing the program which reaches out to unserved, lower caste and untouchable communities. Last year, 70 percent of resources were programmed for the most disadvantaged scheduled tribes and castes. In villages taken up in FY-97, this grew to 84 percent. CRS trained a total of 9,426 counterpart and operating partner staff using Title II strengthening grant funds.

### **Complementary activities enhance impact**

Complementary activities using Farm Bill dollar assistance and local currency generations through monetization of oil are enhancing the quality of child survival services. A child survival grant from BHR/PVC is strengthening CRS' program in Bihar. Technical assistance from Global Bureau projects is improving infant feeding and strengthening micronutrient activities under the strategic objective by building PVO technical capacity and improving health and nutrition policies.

USAID is partnering with UNICEF to promote "Integrated Management of Childhood Illnesses" and to streamline supply lines of drugs, vaccines, micronutrients and contraceptives through the public sector. CARE, which has collaborated extensively with NGOs and community-based organizations, is increasingly entering into formal sub-contractual agreements with these organizations in order to build local capacity to cover traditionally hard-to-reach populations. Both CRS and CARE programs are supported by a large host country contribution for administrative costs and logistics. Indian government contributions to the CARE program are perhaps the largest contribution to any Title II program worldwide.

## **2. Expected Progress through FY 2000 and Management Actions**

The approved levels of PL 480 Title II assistance for the Development Activity Proposal (DAP) period 1996-2001 are critical to the achieve SO 3's objectives. Assuming approved levels of resources are maintained, we expect improvement in immunization coverage, nutrition practices and coverage of at-risk populations as planned. We also expect that the mid-term evaluations of the CARE and CRS programs, planned for next year, as well as the findings of the second National Family Health Survey, will show improved under-five mortality and nutritional status. Through the Title II program resources, qualitative improvements are expected due to strengthening and capacity building of CARE and CRS staff and their local counterparts. CARE's INHP will expand high impact activities from the current seven blocks to 26 blocks in 1998 and to 75 blocks by FY 2000. A revised capacity building strategy, based on this year's lessons, will be implemented in 100 blocks in 1998 and in 267 blocks by FY 2000. Targeted supplemental feeding will be operational in 219 blocks during 1998 and in 365 blocks by FY 2000.

The CRS health program will focus on improving impact through implementation of its performance monitoring system and capacity building, development and a health education curriculum prepared under a USAID child survival grant. USAID will present combined indicator tables for CARE and CRS in the next R4. In compliance with Regulation 216, both CARE and CRS programs will submit either an "Initial Environmental Examination" plan or a request for "Categorical Exclusion."

As part of the re-engineering process, during FY 98 delegation of certain authorities from BHR/FFP to USAID/India are planned such as review and approval of the annual Previously Approved Activity proposals and the management of Farm Bill funds. A draft MOU for this purpose was discussed at the recently held CARE-CRS-USAID retreat. This will be revised in consultation with the RLA and BHR/FFP.

In the second NFHS, additional nutrition indicators, such as blood hemoglobin levels (indicator of anemia) and maternal night blindness (indicator of Vitamin A deficiency) will be included to help policy makers understand the extent and magnitude of micronutrient deficiencies in the country. In order to identify possible micronutrient/child survival activities that could be developed and determine feasibility and demand for USAID/India support, we plan, with G/PHN assistance and international expertise, to conduct an assessment of India's micronutrient strategies, policies and programs during FY 98. Increased GOI attention to the supply of micronutrient supplements to vulnerable groups as well as improvement in supplementation policies would increase impact of CARE's programs.

Under USAID's support to commercial marketing of health technologies, a major generic communication campaign promoting the use of ORS will be undertaken. The campaign will be launched at the beginning of the next diarrhoea season (April 1999). Also, we expect to reach an agreement soon with the premier vaccine manufacturer in India, the Serum Institute, for production and marketing of the Mumps, Measles and Rubella Vaccine (MMR) through commercial channels. Finally, USAID/India is pursuing transactions for commercial marketing and distribution of other high priority health products such as Hepatitis-B vaccine.

USAID will continue to play a key role in India's polio eradication initiative. Along with other partner agencies, USAID will help strengthen India's overall immunization and surveillance systems and increase immunization coverage. Despite India's extraordinary progress in drastically reducing the number of reported polio cases through immunization of children under five, a substantial number of polio cases still go unreported. USAID will continue support to establish a more effective surveillance system that will not only help identify unreported cases, but will be the critical factor in enabling India to be certified as polio-free by WHO.

## PERFORMANCE DATA TABLE

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**ORGANIZATION/PROGRAM:** USAID INDIA  
**STRATEGIC OBJECTIVE:** SO 3 IMPROVED CHILD SURVIVAL AND NUTRITION IN SELECTED AREAS OF INDIA  
**APPROVED:** July 09, 1997

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**INDICATOR:** 3.1 Reduced under five mortality

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**UNIT OF MEASURE:** Deaths in children under five years

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**SOURCE DOCUMENT:** NFHS Reports

**SOURCE ORGANIZATION:** NFHS

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**INDICATOR DESCRIPTION:** The probability of dying before the 5th birthday.

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YEAR	PLANNED LOW	PLANNED HIGH	ACTUAL
1993			119
1998	107		
2002	95		

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**COMMENTS:**

1. NFHS, 1993 (rural data) has been used as baseline.
2. NFHS data is country wide data and not specific to program areas; thus may not capture actual progress in program areas but indicate trends.
3. Progress will be reported every 3-5 years per NFHS cycle.

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA
<b>STRATEGIC OBJECTIVE:</b>	SO 3 - IMPROVED CHILD SURVIVAL AND NUTRITION IN SELECTED AREAS OF INDIA
<b>APPROVED:</b>	July 09, 1997
<b>INDICATOR:</b>	3.2a Improved nutritional status of young children (NFHS data)
<b>UNIT OF MEASURE:</b>	Percentage of underweight children under four years
<b>SOURCE DOCUMENT:</b>	NFHS Reports
<b>SOURCE ORGANIZATION:</b>	NFHS
<b>INDICATOR DESCRIPTION:</b>	Percent of children under four years who are more than two standard deviations below the median on the weight for age index for the international reference population (WHO). Separate tables created for CARE (3.2b) & CRS (3.2c) data.

YEAR	PLANNED LOW	PLANNED HIGH	ACTUAL
1993			56
1998	53		
2002	50		

**COMMENTS:**

1. NFHS, 1993 (rural data) has been used as baseline. Progress will be reported every 3-5 years per NFHS cycle.
2. NFHS data is country wide data and not specific to program areas; thus may not capture actual progress in program areas but indicate trends.
3. Efforts will be made to disaggregate the data by age for children under 2 in order to draw comparisons with PVO survey data.

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>STRATEGIC OBJECTIVE:</b>	SO 3 - IMPROVED CHILD SURVIVAL AND NUTRITION IN SELECTED AREAS OF INDIA		
<b>APPROVED:</b>	July 09, 1997		
<b>INDICATOR:</b>	3.2b Improved nutritional status of young children (CARE data)		
<b>UNIT OF MEASURE:</b>	Percentage of underweight children under two years		
<b>SOURCE DOCUMENT:</b>	CARE Results Report; CARE baseline and evaluation survey reports		
<b>SOURCE ORGANIZATION:</b>	CARE		
<b>INDICATOR DESCRIPTION:</b>	Percent of children under two years who are more than two standard deviations below the median on the weight for age index for the international reference population (WHO). Separate tables created for NFHS ( 3.2a) and CRS ( 3.2c) data.		
<b>YEAR</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1996			51*
1999	50		
2001	48		
<b>COMMENTS:</b>	<ol style="list-style-type: none"> <li>1. Results will be reported at baseline, midterm and final evaluation.</li> <li>2. With improved coverage of unreached populations, an initial rise in rates of malnutrition in program areas is expected; thus during this five-year window, significant change in overall nutritional status may not occur. However, reduction in severe malnutrition is expected which will be reported along with overall rates.</li> <li>3. CARE Results Report data from October through September.</li> </ol> <p>* The revised baseline value has been arrived at using the standard international reference population as against the earlier values where the Indian Academy of Paediatrics (IAP) standards were used as the reference. Planned results have been revised accordingly.</p>		

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA
<b>STRATEGIC OBJECTIVE:</b>	SO 3 - IMPROVED CHILD SURVIVAL AND NUTRITION IN SELECTED AREAS OF INDIA
<b>APPROVED:</b>	July 09, 1997
<b>INDICATOR:</b>	3.2c Improved nutritional status of young children (CRS data)
<b>UNIT OF MEASURE:</b>	Percentage of underweight children under two years
<b>SOURCE DOCUMENT:</b>	CRS Results Report, CRS baseline and evaluation survey reports
<b>SOURCE ORGANIZATION:</b>	CRS
<b>INDICATOR DESCRIPTION:</b>	Percentage of children under two years who are more than two standard deviations below the median on the weight for age index for the international reference population (WHO). Separate tables created for NFHS (3.2a) and CARE (3.2b) data.

YEAR	PLANNED LOW	PLANNED HIGH	ACTUAL
1997			40
1999	39		
2001	37		

- COMMENTS:**
1. Only preliminary baseline results are available as of this reporting. The baseline and planned results may be revised when final baseline survey report is available.
  2. Results will be reported at baseline, mid term and final evaluation.
  3. With improved coverage of unreached populations, an initial rise in rates of malnutrition in program areas is expected; thus, during this five-year window, significant change in overall malnutritional status may not occur. However, reduction in severe malnutrition is expected which will be reported along with overall rates.
  4. CRS results report data from October through September.

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA
<b>STRATEGIC OBJECTIVE:</b>	SO 3 - IMPROVED CHILD SURVIVAL AND NUTRITION IN SELECTED AREAS OF INDIA
<b>INTERMEDIATE RESULT:</b>	IR 3.1 INCREASED USE OF KEY CHILD SURVIVAL INTERVENTIONS
<b>APPROVED:</b>	
<b>INDICATOR:</b>	3.1.1a % of children, 12-23 months old, fully immunized by age one (CARE data)
<b>UNIT OF MEASURE:</b>	Percentage of children 12-23 months old
<b>SOURCE DOCUMENT:</b>	CARE Results Report, CARE baseline & evaluation survey reports
<b>SOURCE ORGANIZATION:</b>	CARE
<b>INDICATOR DESCRIPTION:</b>	Percentage of children 12-23 months old in program catchment area who are fully immunized by age one. Separate table created for CRS data (3.1.1.b).

YEAR	PLANNED LOW	PLANNED HIGH	ACTUAL
1996			28
1997	31		61*
1998	34		
1999	37		
2000	40		
2001	44		

**COMMENTS:**

1. The baseline and planned results have been revised based on the final report of the baseline survey. (As of previous R4 reporting only preliminary baseline results from 5 states out of 7 were available).
2. The out year targets will be revised, if necessary, after mid-term evaluation.
3. CARE results report data from October through September.

\* The 1997 actual result represents children immunized by age two; CARE is revising the monitoring questionnaire and FY 1998 onwards, data will be collected for children immunized by age one.

## PERFORMANCE DATA TABLE

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**ORGANIZATION/PROGRAM:** USAID INDIA  
**STRATEGIC OBJECTIVE:** SO 3 - IMPROVED CHILD SURVIVAL AND NUTRITION IN SELECTED AREAS OF INDIA  
**INTERMEDIATE RESULT:** IR 3.1 INCREASED USE OF KEY CHILD SURVIVAL INTERVENTIONS  
**APPROVED:**

---

**INDICATOR:** 3.1.1b % of children 12-23 months old fully immunized by age one (CRS data)

---

**UNIT OF MEASURE:** Percentage of children 12-23 months old

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**SOURCE DOCUMENT:** CRS Results Report, CRS baseline and evaluation reports  
**SOURCE ORGANIZATION:** CRS

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**INDICATOR DESCRIPTION:** Percentage of children 12-23 months old in program catchment area who are fully immunized by age one. Separate table created for CARE data (3.1.1.a)

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YEAR	PLANNED LOW	PLANNED HIGH	ACTUAL
1997			28
1998	33		
1999	38		
2000	43		
2001	48		

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**COMMENTS:** 1. Only preliminary baseline results are available as of this reporting. The baseline and planned results may be revised when final baseline survey report is available.  
2. CRS results report data from October through September.

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>STRATEGIC OBJECTIVE:</b>	SO 3 - IMPROVED CHILD SURVIVAL AND NUTRITION IN SELECTED AREAS OF INDIA		
<b>INTERMEDIATE RESULT:</b>	IR 3.1 INCREASED USE OF KEY CHILD SURVIVAL INTERVENTIONS		
<b>APPROVED:</b>			
<b>INDICATOR:</b>	3.1.2 Increased commercial sales of ORS		
<b>UNIT OF MEASURE:</b>	Annual number of units sold in millions in India		
<b>SOURCE DOCUMENT:</b>	Operations Research Group Retail Audit		
<b>SOURCE ORGANIZATION:</b>	ORG		
<b>INDICATOR DESCRIPTION:</b>	Annual Number of ORS units sold by commercial outlets in millions in India.		
<b>YEAR</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1997			TBD
1998	TBD		
1999	TBD		
2000	TBD		
<b>COMMENTS:</b>	1. The baseline data will be presented in 1998 and progress reported 1999 onwards. 2. ORG data to be purchased.		

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA
<b>STRATEGIC OBJECTIVE:</b>	SO 3 - IMPROVED CHILD SURVIVAL AND NUTRITION IN SELECTED AREAS OF INDIA
<b>INTERMEDIATE RESULT: APPROVED:</b>	IR 3.2 IMPROVED MATERNAL AND CHILD NUTRITION
<b>INDICATOR:</b>	3.2.1a % of pregnant women, delivered in the past year, who received 90-100 iron-folic acid tablets (CARE data)
<b>UNIT OF MEASURE:</b>	Percentage of pregnant women
<b>SOURCE DOCUMENT:</b>	CARE Results Report; CARE baseline and evaluation survey reports
<b>SOURCE ORGANIZATION:</b>	CARE
<b>INDICATOR DESCRIPTION:</b>	Percentage of pregnant women in program catchment area who received 90-100 IFA tablets. Separate table created for CRS data (3.1.1b).

YEAR	PLANNED LOW	PLANNED HIGH	ACTUAL
1996			13
1997	20		26
1998	24		
1999	27		
2000	30		
2001	35		

- COMMENTS:**
1. The baseline and planned values have been revised based on reanalysis of data for receipt of 90-100 IFA tablets. (Data presented in previous R4 reflected receipt of 50 or more IFA tablets).
  2. The out year targets will be revised, if necessary, after mid-term evaluation in 1999.
  3. Receipt of IFA tablets is a proxy indicator for improved hemoglobin status during pregnancy and also a proxy for ante-natal care. (IFA is distributed by the Health Department).
  4. CARE results report data from October through September.

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>STRATEGIC OBJECTIVE:</b>	SO 3 - IMPROVED CHILD SURVIVAL AND NUTRITION IN SELECTED AREAS OF INDIA		
<b>INTERMEDIATE RESULT: APPROVED:</b>	IR 3.2 IMPROVED MATERNAL AND CHILD NUTRITION		
<b>INDICATOR:</b>	3.2.1b % of pregnant women, delivered in the past year, who received 90-100 iron-folic acid tablets (CRS data)		
<b>UNIT OF MEASURE:</b>	Percentage of pregnant women		
<b>SOURCE DOCUMENT:</b>	CRS Results Report; CRS baseline and evaluation survey reports		
<b>SOURCE ORGANIZATION:</b>	CRS		
<b>INDICATOR DESCRIPTION:</b>	Percentage of pregnant women in program catchment area who received 90-100 IFA tablets. Separate table created for CARE data (3.2.1a).		
<b>YEAR</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1997			13
1998	18		
1999	23		
2000	28		
2001	33		
<b>COMMENTS:</b>	<ol style="list-style-type: none"> <li>1. Only preliminary baseline results are available as of this reporting. The baseline and planned results may be revised when final report is available.</li> <li>2. Receipt of IFA tablets is a proxy indicator for improved hemoglobin status during pregnancy and also a proxy for ante-natal care. (IFA is distributed by the Health Department).</li> <li>3. CRS results report data from October through September.</li> </ol>		

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA
<b>STRATEGIC OBJECTIVE:</b>	SO 3 - IMPROVED CHILD SURVIVAL AND NUTRITION IN SELECTED AREAS OF INDIA
<b>INTERMEDIATE RESULT: APPROVED:</b>	IR 3.2 IMPROVED MATERNAL AND CHILD NUTRITION
<b>INDICATOR:</b>	3.2.2a % infants who received breast-milk and solid/mushy foods at 6-9 months of age (CARE data)
<b>UNIT OF MEASURE:</b>	% of infants
<b>SOURCE DOCUMENT:</b>	CARE Results Report; CARE baseline and evaluation survey reports
<b>SOURCE ORGANIZATION:</b>	CARE
<b>INDICATOR DESCRIPTION:</b>	% of infants in program catchment area who received breast-milk and solid/mushy foods at 6-9 months. Separate table created for CRS data (3.2.2b).

YEAR	PLANNED LOW	PLANNED HIGH	ACTUAL
1996			46
1997	50		65
1998	53		
1999	58		
2000	62		
2001	65		

- COMMENTS:**
1. The baseline and planned results have been revised based on the final report of the baseline survey. (As of previous R4 reporting only preliminary baseline results were available).
  2. The out year targets will be revised, if necessary, after mid-term evaluation in 1999.
  3. CARE results report data from October through September.

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>STRATEGIC OBJECTIVE:</b>	SO 3 - IMPROVED CHILD SURVIVAL AND NUTRITION IN SELECTED AREAS OF INDIA		
<b>INTERMEDIATE RESULT: APPROVED:</b>	IR 3.2 IMPROVED MATERNAL AND CHILD NUTRITION		
<b>INDICATOR:</b>	3.2.2b % infants who received breast-milk & solid/mushy foods at 6-9 months of age (CRS data)		
<b>UNIT OF MEASURE:</b>	% of infants		
<b>SOURCE DOCUMENT:</b>	CRS Results Report; CRS baseline and evaluation survey reports		
<b>SOURCE ORGANIZATION:</b>	CRS		
<b>INDICATOR DESCRIPTION:</b>	% of infants in program catchment area who received breast milk and solid mushy foods at 6-9 months of age. Separate table created for CARE data (3.2.2.a).		
<b>YEAR</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1997			64
1999	71		
2000	78		
<b>COMMENTS:</b>	<ol style="list-style-type: none"> <li>1. Only preliminary baseline results are available as of this reporting. The baseline and planned results may be revised when final baseline survey report is available.</li> <li>2. Periodicity of reporting will be at baseline, midterm and final evaluations.</li> <li>3. CRS Results Report from October through September.</li> </ol>		

## PERFORMANCE DATA TABLE

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**ORGANIZATION/PROGRAM:** USAID INDIA  
**STRATEGIC OBJECTIVE:** SO 3 - IMPROVED CHILD SURVIVAL AND NUTRITION IN SELECTED AREAS OF INDIA  
**INTERMEDIATE RESULT:** IR 3.3 IMPROVED TARGETING OF AT-RISK POPULATIONS  
**APPROVED:**

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**INDICATOR:** 3.3.1a % children under 2 reached with supplemental food (CARE data)

---

**UNIT OF MEASURE:** % children 6-24 months

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**SOURCE DOCUMENT:** CARE Results Report; CARE baseline and evaluation survey reports

**SOURCE ORGANIZATION:** CARE

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**INDICATOR DESCRIPTION:** Percentage of children under two years in program catchment area reached with supplemental food. Separate table created for CRS data (3.3.1b).

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YEAR	PLANNED LOW	PLANNED HIGH	ACTUAL
1996			40
1997	43		63
1998	47		
1999	52		
2000	56		
2001	60		

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**COMMENTS:**

1. Planned results have been revised based on CARE's revised targets.
2. Supplemental food is an entry point for child survival services such as growth promotion, immunization, referrals etc.
3. The out year targets will be revised, if necessary, after mid-term evaluation in 1999.
4. CARE Results Report data from October through September.

## PERFORMANCE DATA TABLE

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**ORGANIZATION/PROGRAM:** USAID INDIA  
**STRATEGIC OBJECTIVE:** SO 3 - IMPROVED CHILD SURVIVAL AND NUTRITION IN SELECTED AREAS OF INDIA  
**INTERMEDIATE RESULT:** IR 3.3 IMPROVED TARGETING OF AT-RISK POPULATIONS  
**APPROVED:**

---

**INDICATOR:** 3.3.1b % children under 2 reached with supplemental food (CRS data)

---

**UNIT OF MEASURE:** % children 6-24 months

---

**SOURCE DOCUMENT:** CRS Results Report; CRS baseline and evaluation survey reports  
**SOURCE ORGANIZATION:** CRS

---

**INDICATOR DESCRIPTION:** Percentage of children under two years in program catchment area reached with supplemental food. Separate table created for CARE data (3.3.1a).

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YEAR	PLANNED LOW	PLANNED HIGH	ACTUAL
1997			82
1998	87		
1999	92		
2000	97		

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**COMMENTS:**

1. Only preliminary baseline results are available as of this reporting. The baseline and planned results may be revised when final baseline survey report is available.
2. Supplemental food is an entry point for child survival services such as growth promotion, immunization, referrals etc.
3. CRS results report data from October through September.

## **D. Strategic Objective 4: Increased Environmental Protection in Energy, Industry and Cities**

In the past year USAID/India has successfully merged the energy, urban and environment SOs into the new SO 4. This consolidation has strengthened the leadership role USAID/India plays within the larger USG community in achieving the MPP Goal of "Supporting a Sustainable Environment". USAID leadership under the Indo-U.S. Common Agenda for the Environment (CAE), a framework established in 1995 to guide bilateral environmental cooperation, is also encouraging a more constructive role by the Government of India and private sector counterparts in tackling global environmental issues, especially the issue of global climate change (GCC). Activities that address both global and local environmental issues such as the impact of urban pollution on GCC and energy efficiency are emerging as mutually acceptable ways of addressing U.S. and Indian climate change concerns.

The USAID/India environment program also contributes to the MPP goal of "Open Markets and Increased U.S. Exports". Activities under SO 4 increase the market for U.S. environmental goods and services in India. A unifying theme for the USAID/India environmental program is sustainability through unleashing market forces and fostering private sector commercialization of eco-friendly technologies and promotion of best practices.

### **1. Performance Analysis**

SO 4 results have exceeded expectations in the past year by meeting or surpassing planned targets for the five indicators where data was available. A new set of indicators, targets and baseline data were established over the past year with assistance from the Global Bureau and ANE to reflect programmatic changes. We request approval by USAID/Washington of these changes. It should be noted that as a result of the initiation of several new activities, reporting data for half of our indicators will be available after a year or more of project implementation. The following analysis highlights only a few examples of success achieved by the SO 4 Team and is not meant to provide an exhaustive accounting of all SO 4 accomplishments.

#### **Energy efficiency to reduce global warming threat**

In the past year, USAID technical assistance and training resulted in significant reductions in carbon dioxide emissions and increased power plant efficiency from coal fired power plants in the National Thermal Power Corporation (NTPC) system. NTPC provides 25 percent of India's electric power and is considered to be the ninth largest and the third most efficient power producer in the world. Implementing techniques learned through USAID-financed technical assistance and training at all the units of their Dadri power plant, NTPC has realized a 2.5 percent heat rate efficiency improvement since March 1997. This action has helped avoid 18,000 tons of carbon dioxide emissions annually (SO Indicator 4.1). Encouraged by this success, NTPC has taken an executive decision recently to expand the use of the techniques introduced at Dadri to all NTPC power plants and to invest \$2.5 million dollars this year alone in new, mostly U.S. technology (IR Indicator

4.1.2). On another policy front, USAID influenced the formulation of a new law requiring washing (beneficiation) of all Indian coal prior to use in power plants by 2001 (IR Indicator 4.1.3).

### **Commercialization of alternative technologies to reduce GHG emissions**

USAID successfully promoted commercial scale investments in five energy efficient sugar mills powered by bagasse (the remnants of crushed sugar cane left behind during sugar production) instead of fossil fuels (SO 4.1 and IR 4.1.2). Other forms of biomass such as wood chip remnants from wood processing or rice hulls are used during the off-season when bagasse is not available. Much of the energy is being sold to State Electricity Board (SEB) grids to augment and displace power generated from fossil fuels.

USAID support for a joint venture between the U.S. electric vehicle (EV) firm Amerigon and India's Maini Group of Industries resulted in the fielding of two prototype EVs for use in India. USAID/India is now using one of the new EVs in place of the old, heavily polluting three-wheel vehicle used for mail delivery and other errands. The other EV is being used by Winrock International's Renewable Energy Project Support Office in Delhi. To date, twelve REVA electric vehicles have been built and tested by Amerigon and the Maini Group. Commercial vehicle production in India is expected to begin this year.

### **"Commercial viability" means "environmental sustainability" to Indian cities**

The key to increased environmental protection in India's urban areas lies in increased management capability of cities and towns. In the past year, USAID's achievements in improvement of urban environmental infrastructure in India have achieved wide recognition, with coverage in the Wall Street Journal of progress in Ahmedabad and a New Yorker magazine article highlighting USAID collaboration with the city of Varanasi.

Responding to both the needs of city governments and NGOs working on community-based environment management initiatives, USAID has helped to develop a "tool kit" of improved environmental management approaches like environmental workbooks, risk assessments, and environment management action plans (IR Indicator 4.3.2). A recent addition to this tool kit are initiatives to help Indian cities develop practical, commercially viable, inner city revitalization plans. By making better use of the extraordinary endowments of historic "heritage zones," more Indian cities will be able to improve urban environmental protection.

The single most important element of the USAID/India approach to urban management has been the introduction of the concept of "commercial viability" as a desirable feature of urban environmental initiatives. With USAID/India's assistance, the Ahmedabad Municipal Corporation (AMC) qualified for an investment grade credit rating and successfully issued a \$25 million Municipal Bond, the first in South Asia, to help finance the city's environmental infrastructure projects (an achievement also noted under SO 1). With USAID assistance, the AMC prepared a comprehensive package of infrastructure projects including improved water and sewage treatment (IR Indicator 4.3.1). USAID participation with a HG loan of up to \$25 million has been an important "confidence

builder" for this innovative package of activities. USAID assistance to the AMC has also been essential in helping the city privatize a number of critical environmental protection functions. This is the first time an Indian city has obtained professional supervision and monitoring services for water supply and sewage. The contract is being awarded to an Indo-U.S. consortium.

### **Partnerships bear fruit for global environment, U.S and Indian utilities**

The USAID/India-funded utility partnership program implemented by the U.S. Energy Association has achieved significant results in the past year, reflected in new Indo-U.S. partnerships and new investments in clean power technologies (IR Indicator 4.1.2). The Andhra Pradesh State Electricity Board (APSEB), partnered with Pennsylvania Power and Light (PP&L), has used procedures from PP&L's energy audit program to determine that distribution losses could be reduced by four percent by installation of single phase water pumps in agricultural areas. Through contacts made during their visits to the U.S. under the partnership program, APSEB has identified a U.S. company to supply 10,000 single-phase pumps for use in the agricultural sector.

Bombay Suburban Electric Supply Ltd. (BSES) and Plum Street Enterprises (a subsidiary of Niagara Mohawk Power Corporation) have agreed to form a joint-venture to market solid state electric meters to be made in India under a Niagara Mohawk patent.

As a result of the partnership program, Plum Street Enterprises has opened an office in New Delhi (Global Energy Enterprises India Pvt., Ltd.) to explore other commercial opportunities in India, while BSES has adopted a whole new approach to customer service. Working with cutting edge firms like Niagara Mohawk will open up new opportunities for supporting a sustainable environment. For example, Niagara Mohawk has recently agreed to sell 100,000 metric tons of greenhouse gas (GHG) reduction credits to Suncor, a Canadian oil and gas company. This potential \$6 million GHG trade is an important breakthrough in the creation of an international GHG emission trading system to help implement the Kyoto Climate Change Agreement. It ensures that Niagara Mohawk will have the requisite experience to enter into similar deals with Indian partners once a mutually agreed-upon trading regime is in place. Vice President Al Gore recognized the Niagara Mohawk-Suncor transaction as "proof that our market-based strategy to combat climate change is already working...The rules for trading are not yet final, but the market itself is already emerging."

### **USAID responds to states seeking power sector reform**

The USAID/India initiative in power sector regulatory reform and restructuring has met with enthusiastic response from the Ministry of Power, Power Finance Corporation and state government partners. USAID has chosen Haryana as an initial focus state due to its strong interest in power sector reform and has played a significant role in donor coordination for Haryana power sector reform. In fact, coordination with the World Bank has resulted in the Bank seconding one of their senior energy efficiency specialists to assist the Mission in designing a new energy conservation and commercialization activity.

## **Managing for demand side results generates efficiency gains**

USAID is providing technical assistance to the Bureau of Indian Standards (BIS) to develop energy efficiency standards and labelling for stimulating the market for energy efficient appliances. It sponsored a well-received labelling workshop in early 1998, which, for the first time in India, exposed participants to state-of-the-art concepts and examples of appliance labels from around the world. USAID's sustained technical assistance and training over the last two and half years at Ahmedabad Electric Company has resulted in a well developed demand side management (DSM) program, the first of its kind in an Indian utility. This program has now started commercial implementation with the signing of a performance contract with Energy Service Companies (ESCOs) for installation and maintenance of energy efficient lighting equipment and capacitors for domestic as well as industrial customers.

## **Indian industries see bottom-line benefits from environmental management systems**

On the industrial environment front, USAID/India is promoting incentives for industry to voluntarily adopt certified environmental management systems (EMSs). USAID's program focuses on high growth and heavily polluting industrial sectors including textiles, pulp and paper, pharmaceutical, automobiles, food processing and metal fabrication to assist firms in developing EMSs and gaining ISO 14000 certification (SO Indicator 4.2). Nine firms were identified for certification in the past year. USAID technical assistance to promote adoption of international environmental quality standards and increase investment in cleaner technologies has led to decreased pollution in key industrial sectors (IR Indicator 4.2.1). One recent collaboration, between Kothari Sugar and Chemicals Ltd, India and Amcane International, Minnesota, resulted in a new technique for extracting sugarcane juice which decreased effluent by two-thirds, while requiring less land, energy and chemicals for treatment.

## **2. Expected Progress through FY 2000 and Management Actions**

### **Global climate change**

A major new GCC initiative of nearly \$50 million is currently under design to build on the success of existing activities in increasing efficiency in coal-fired power plants and biomass cogeneration in the Indian sugar industry. This results package will dramatically expand Mission climate change impacts by fostering public-private partnerships and financial engagement, linking urban development and climate change, increasing commercialization of energy efficient technologies, enhancing the effectiveness of policies, legislation and institutions, and establishing a major new human capacity development program. In the wake of Kyoto and in the run-up to Buenos Aires, the GOI will be defining its position on emissions trading and Activities Implemented Jointly (AIJ) and the new Clean Development Mechanism. USAID will be working on related policy issues in the next year as part of a USG interagency strategy to more fully engage the GOI in defining their role in reducing threats from global climate change.

As a result of NTPC's recent decision to implement the efficiency techniques proven at

Dadri, a reduction of one million metric tons per annum of CO<sub>2</sub> emissions and a savings of 600,000 tons of coal worth millions of dollars is now anticipated over the next three years. Five sugar mills in three states will start exporting nearly 120 MW of biomass-fueled cogeneration capacity. The power produced from these renewable energy facilities will offset approximately one million tons of carbon dioxide annually.

### **Renewable energy/alternative technologies**

In the biomass cogeneration activity, USAID/India's goal is to increase the number of participants from the current five companies to at least eight commercial-scale bagasse cogeneration demonstration projects by 2002. The Mission is also working with the Industrial Credit and Investment Corporation of India and the Industrial Development Bank of India to encourage their engagement in financing asset cogeneration.

The introduction of the REVA electric vehicle to Delhi is expected to be followed soon by the introduction (by other U.S. and Indian partners) of two small fleets of EVs: one for restaurant home delivery in Delhi and the other for ferrying tourists in the Taj Mahal area of Agra. In addition, fifteen REVA kits will be shipped by Amerigon from California to India in the near future.

### **Urban environmental management**

USAID expects to expand support to at least three additional cities for improved environmental management practices from FY 99 to FY 2003. This will increase access of improved water, wastewater and solid waste management services to five million people by FY 2002 (IR Indicator 4.3). USAID urban environmental activities will support adoption of improved management tools by at least 14 cities by FY 2002 (IR Indicator 4.3.2). An Indo-U.S. consortium was selected to operate India's first commercially viable water supply and sewerage project, developed with USAID assistance in Tirrupur, Tamil Nadu. This project, which will provide access to potable water and improved sewerage services to approximately 350,000 people (SO Indicator 4.3), is expected to be under construction by July 1998. A growing number of Indian cities are seeking to participate in USAID's activities to expand and improve environmental protection in urban areas, including Vijayawada, Varanasi, Faridabad and Surat. USAID is also helping to foster the "profession" of urban management, a new theme in India. In collaboration with the U.S.-based International City/County Managers' Association, USAID has helped establish India's "City Managers' Association-Gujarat". An agreement between USAID's Indian partners and Sister Cities International is expected to facilitate access to an important additional source of U.S. experience.

### **Electric power sector restructuring**

In Haryana, USAID/India's resources will continue to achieve great leverage by influencing a \$600 million World Bank loan and a pending Japanese equipment loan. USAID will identify and start technical assistance and training in two more states where USAID assistance will result in accelerating the energy sector reform process.

## **Demand side management**

In response to Haryana State and World Bank's request, USAID technical assistance will help develop DSM and energy efficiency projects for the World Bank's \$60 million DSM portfolio for Haryana. USAID is also uniquely positioned to influence the twin mandates of energy auditing for industry and the enforcement of energy efficiency appliance labelling of the proposed Bureau of Energy Efficiency under the Energy Conservation Act which is likely to be passed by the new government this year.

## **Industrial environmental management**

USAID technical assistance to the Federation of Indian Chambers of Commerce and Industry (FICCI) will result in finalization of an ISO 14000 accreditation scheme, and definition of the responsibilities of a new environmental accreditation body (the Quality Council of India). The BIS will be assisted in gaining accreditation as a certifying entity, and BIS auditors and internal auditors of companies will be trained accordingly. The Confederation of Indian Industries will complete the first phase of the ISO 14000 certification program, with targets of 15 companies certified by 1999 and 70 companies by 2003. A functioning system of benchmarks and voluntary information disclosure for industrial environmental performance will be completed in the next three years. A strategic plan will be developed for initiating "environmental due diligence" with Indian banks. USAID technical assistance will also be provided to selected firms and their suppliers to help Indian industry "green the supply chain." An industrial environmental management website will be created and hosted by ICICI, which will also provide a matchmaking service for Indian and U.S. environmental technology firms. An online Environmental Information Center will be established by FICCI by mid-1998. Based on information gained through a clean technology needs assessment, ICICI will support at least 15 clean technology demonstration projects in 1999, and up to 60 projects by 2003.

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>STRATEGIC OBJECTIVE:</b>	SO 4 INCREASED ENVIRONMENTAL PROTECTION IN ENERGY, INDUSTRY AND CITIES		
<b>APPROVED:</b>	July 09, 1997		
<b>INDICATOR:</b>	4.1 Emissions of carbon dioxide equivalents avoided		
<b>UNIT OF MEASURE:</b>	Million Tons		
<b>SOURCE DOCUMENT:</b>	Center for Monitoring Indian Economy (CMIE) reports, Project Reports, NTPC reports		
<b>SOURCE ORGANIZATION:</b>	CMIE, NTPC, Participating Organizations		
<b>INDICATOR DESCRIPTION:</b>	Emissions of carbon dioxide equivalents avoided are calculated through conversions from the MW of energy saved through SO 4 activities (such as MW of renewable energy installed, MW of fossil fuel-based energy saved through enhanced energy efficiencies - in both supply side and demand side activities - and clean coal technologies).		
<b>YEAR</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1997			0.02
1998	2.7		
1999	5.5		
2000	12.0		
2001	18.8		
2002	27.8		
<b>COMMENTS:</b>	Data reported for GOI fiscal year: April 1 to March 31.		

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA
<b>STRATEGIC OBJECTIVE:</b>	SO 4 INCREASED ENVIRONMENTAL PROTECTION IN ENERGY, INDUSTRY AND CITIES
<b>APPROVED:</b>	July 09, 1997
<b>INDICATOR:</b>	4.2 Increased number of firms that meet international environmental quality standards in selected industrial sectors
<b>UNIT OF MEASURE:</b>	Number of firms
<b>SOURCE DOCUMENT:</b>	Reports of Industry Associations, Bureau of Indian Standards (BIS), Quality Council of India (QCI)
<b>SOURCE ORGANIZATION:</b>	CII, FICCI, BIS, QCI
<b>INDICATOR DESCRIPTION:</b>	Number of firms who, with assistance from the Clean Technology Initiative (CTI), obtained ISO 14001 certification in the following sectors: textiles, pulp & paper, pharmaceutical, automobiles, food processing, and metal fabrication. Results shown are cumulative.

YEAR	PLANNED LOW	PLANNED HIGH	ACTUAL
1997			0
1998	0		
1999	10		
2000	15		
2001	20		
2002	25		

**COMMENTS:**

1. Data reported for GOI fiscal year: April 1 to March 31.
2. Actual targets achieved against planned targets to be determined after data collection from primary/secondary sources.
3. TEST, the primary project contributing to IR 4.2, was restructured in 1997. Therefore the results for new activities just being initiated will be available from late GOI FY 98/early GOI FY 99.

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b> USAID INDIA			
<b>STRATEGIC OBJECTIVE:</b> SO 4 INCREASED ENVIRONMENTAL PROTECTION IN ENERGY, INDUSTRY AND CITIES			
<b>APPROVED:</b> July 09, 1997			
<b>INDICATOR:</b> 4.3 Increased access to improved drinking water, waste water, and solid waste services through commercially viable systems			
<b>UNIT OF MEASURE:</b> Population in Million			
<b>SOURCE DOCUMENT:</b> Surveys and annual evaluations, sector assessments by municipalities, HUDCO, ILFS			
<b>SOURCE ORGANIZATION:</b> Municipal Corporations, HUDCO, ILFS, NIUA			
YEAR	PLANNED LOW	PLANNED HIGH	ACTUAL
1996			0.00
1997			0.00
1998	0.00		
1999	0.35		
2000	0.70		
2002	5.00		
<b>COMMENTS:</b> Data reported for GOI fiscal year: April 1 to March 31.			

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>STRATEGIC OBJECTIVE:</b>	SO 4 INCREASED ENVIRONMENTAL PROTECTION IN ENERGY, INDUSTRY AND CITIES		
<b>INTERMEDIATE RESULT:</b>	IR 4.1 INCREASED EFFICIENCY AND DECREASED POLLUTION IN ENERGY SUPPLY AND USE		
<b>APPROVED:</b>	July 09, 1997		
<b>INDICATOR:</b>	4.1.1 Plant load factor in coal-fired power plants increased		
<b>UNIT OF MEASURE:</b>	Percentage		
<b>SOURCE DOCUMENT:</b>	Center for Monitoring Indian Economy (CMIE) reports		
<b>SOURCE ORGANIZATION:</b>	CMIE		
<b>INDICATOR DESCRIPTION:</b>	Plant load factor (PLF) is a plant's annual power generation divided by the plant's maximum potential annual power generation. The results shown are national averages.		
<b>YEAR</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1995			60
1996	62		63
1997	63		64
1998	64		
1999	65		
2000	66		
2002	68		
<b>COMMENTS:</b>	<ol style="list-style-type: none"> <li>1. Data reported for GOI fiscal year: April 1 to March 31.</li> <li>2. An improvement of 1% in national PLF saves a quantity of energy equal to that generated by the installation of two power plants of 210 MW each.</li> <li>3. National average PLF is used for reporting because USAID/India's technical assistance to NTPC and Ministry of Power and the training through the Administrative Staff College of India (ASCI) and NTPC has an impact on the national level.</li> </ol>		

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>STRATEGIC OBJECTIVE:</b>	SO 4 INCREASED ENVIRONMENTAL PROTECTION IN ENERGY, INDUSTRY AND CITIES		
<b>INTERMEDIATE RESULT:</b>	IR 4.1 INCREASED EFFICIENCY AND DECREASED POLLUTION IN ENERGY SUPPLY AND USE		
<b>APPROVED:</b>	July 09, 1997		
<b>INDICATOR:</b>	4.1.2 Increased share of power from clean energy technologies		
<b>UNIT OF MEASURE:</b>	Percentage of total installed capacity in India		
<b>SOURCE DOCUMENT:</b>	CMIE Reports, Reports of National Thermal Power Corporation, National Council of Power Utilities (NCPU), Asia Consulting Group Report		
<b>SOURCE ORGANIZATION:</b>	CMIE, NTPC, NCPU, ASG		
<b>INDICATOR DESCRIPTION:</b>	Clean energy technologies include: 1. Renewable energy technologies such as wind, bagasse cogeneration, solar photovoltaic etc. 2. Clean coal technologies such as coal beneficiation, integrated gassification combined cycle, pressurized fluidized bed gassification etc.		
<b>YEAR</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1995			0.20
1996	0.35		0.58
1997	1.00		1.20
1998	2.00		
1999	3.00		
2000	4.00		
2002	6.00		
<b>COMMENTS:</b>	1. Data reported for GOI fiscal year: April 1 to March 31. 2. Projects which reach financial closure will be reported.		

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA	
<b>STRATEGIC OBJECTIVE:</b>	SO 4 INCREASED ENVIRONMENTAL PROTECTION IN ENERGY, INDUSTRY AND CITIES	
<b>INTERMEDIATE RESULT:</b>	IR 4.1 INCREASED EFFICIENCY AND DECREASED POLLUTION IN ENERGY SUPPLY AND USE	
<b>APPROVED:</b>	July 09, 1997	
<b>INDICATOR:</b>	4.1.3 Improved policy, legal and regulatory framework for increased power sector efficiency	
<b>UNIT OF MEASURE:</b>	Percentage	
<b>SOURCE DOCUMENT:</b>	TBD	
<b>SOURCE ORGANIZATION:</b>	TBD	
<b>INDICATOR DESCRIPTION:</b>	Average progress in the completion of 12 policy reforms.	
<b>YEAR</b>	<b>PLANNED QUALITATIVE</b>	<b>ACTUAL QUALITATIVE</b>
1995		TBD
1996		TBD
1997	22	22
1998	41	
1999	58	
2000	75	
<b>COMMENTS:</b>	<ol style="list-style-type: none"> <li>1. Progress in achieving Policy reform will be measured through a rating process that tracks policy changes. Progress in policy reform in 12 specific areas covering IR 4.1 will be tracked and the results reported each year.</li> <li>2. See the Annexure immediately following this table for the policy results matrix, and a definition of the twelve policy issues.</li> </ol>	

## ANNEXURE

**I. SO 4 POLICY MATRIX RESULTS FY97-2001**

Policy Reform	97	98	99	00	01
<b>Regulatory Reform &amp; Restructuring:</b>					
1. GOI's IPP approval policy simplified	10	20	40	60	80
2. G-T-D unbundling & privatization policies adopted by key SEBs	10	10	40	60	90
3. SEB financial management improved	10	20	20	40	60
4. Key SEBs establish Regulatory Bodies	10	20	40	60	80
5. Tariffs based on prudent cost basis analysis adopted by selected SEBs	10	20	40	40	60
6. R&M financing norms refined and adopted by key SEBs	10	20	40	60	80
<b>Demand Side Management:</b>					
7. Energy Conservation Act passed	40	60	100	-	-
8. Bureau of Energy Efficiency established	20	40	60	100	-
9. Design of Appliance labelling Standards by Bureau of Indian Standards	20	40	60	100	-
<b>Greenhouse Gas Pollution Prevention:</b>					
10. Detailed guidelines for All projects adopted by MOEF	0	40	100	-	-
11. NTPC adopts policy to expand thermal power plant efficiency system-wide	60	100	-	-	-
12. Coal beneficiation required by 2001	60	100	-	-	-
<b>TOTAL PROGRESS:</b>	260	490	640	520	450
<b>Average of all reforms</b>	22				
<b>Average Targeted progress</b>	22	41	58	65	75

## **II. Rating Process**

Policy efforts generally pass through five, flexibly-defined steps, each of them weighted according to its importance in the process, for a total of 100% in the case of a policy measure fully in force. These steps, which are used for all policy reform-related activities in SO 4, are the following:

1. **Identification/analysis (10%):** This step includes definition of the problem, baseline data development, feasibility studies and cost/benefit analyses of various alternatives. It also involves consultation with all interested parties: GOI, NGOs, local authorities, and other partners/customers.
2. **Development (10%):** The full development of project interventions to address the problem identified. Development includes budgeting, identification of all costs and benefits, and detailed project planning completed.
3. **Validation/promotion/training (20%):** Includes vetting proposals by relevant participants (GOI, NGOs, local authorities, etc.). The dialogue includes all interested parties and builds awareness of the importance of what needs to be done. Coalitions which think the proposal is a good idea and can lobby for adoption are identified, sensitized, and trained. This is the stage of broadening public participation, through seminars, round tables, etc. with the interested parties.
4. **Adoption (20%):** Can take the form of the voting on a law, the issuance of a decree, the adoption of a regulation, or the establishment of an operation. This is the phase of public/private negotiations and GOI coordinating among ministries to get legislation, decrees and policies adopted.
5. **Implementation/enforcement (40%):** This puts the proposal into effect. Any TA needs for implementation pass through the RFP stage and selection process stage. The implementation staff is trained in new procedures. Enforcement is monitored and actual impact assessed.

## **III. Definition of Policy Issues:**

### **Regulatory Reform and Restructuring**

1. **GOI's IPP approval policy simplified.** GOI will encourage competitive bidding for all future projects at the Center and encourage participating states to adopt a "one-stop" window for facilitating development within the state; establish IPP evaluations against cost of power, dispatch considerations, fuel availability and sponsor ability to bring equity and debt financing to the project.
2. **G-T-D unbundling and privatization policies adopted by key SEBs.** Selected SEBs will implement plans to unbundle their generation, distribution and transmissions entities. These plans will stress the need for corporatization strategies will be development and implemented to assure that employee issues are addressed in the plans.

3. **Selected SEBs' financial management improved.** Selected SEBs will develop and implement planning, forecast and budget models, understand and develop financial reports, establish relations with debt and equity financial institutions and stock holders, and start developing financial reports for regulatory commissions when these are instituted.

4. **Key State Governments will establish electricity regulatory bodies.** Independent Regulatory Bodies will be established which will oversee and regulate the power sector reforms stressing the need for financial soundness of power sector entities; encourage efficient use of energy and natural resources by both the power sector and end-users; allow access to all stake holders at tariff hearings; and ensure least cost planning by regulated entities.

5. **Tariffs based on prudent cost basis analysis adopted by selected SEBs.** Selected SEBs will shift to tariffs that represent prudent cost of service for different customer classes plus reasonable incentive profits.

6. **R&M financing norms refined and adopted by SEBs.** Selected SEBs will adopt financing mechanisms for rehabilitation and modernization (R&M) that attract outside investors as possible equity partners with selected SEB entities, especially as they are moving towards privatization. R&M brings the greatest systems improvement, including plant efficiency, at the lowest cost when compared to the cost of setting up a new power plant.

#### Demand Side Management

7. **Energy Conservation Act passed.** Encourage the progressive implementation of policies to promote the efficient use of energy in the industrial sector. The Ministry of power(MOP) should use mandatory energy efficiency auditing to bring rational energy use into the industrial sector. Through the establishment of the Bureau of Energy Efficiency, the MOP will enforce the mandatory auditing clause of the Act to ensure compliance by industry.

8. **Bureau of Energy Efficiency established.** Support the implementation of mandatory appliance standards and labeling. Created by the Energy Conservation Act, the Bureau of Energy Efficiency has two mandates. To enforce mandatory auditing in the industrial sector and to enforce the use of energy efficiency appliance labeling. The bureau of energy efficiency should coordinate the research activities of other government agencies to introduce readable and informative appliance label.

#### **9. Design of Appliance Labeling by Bureau of Indian Standards.**

Encourage the rational design of energy efficiency appliance labeling. The Bureau of Indian Standards (BIS) should carefully research the consumer acceptance of appliance labeling and coordinate their findings with the newly established Bureau of Energy Efficiency. Although the Government of India, Ministry of power has clearly stated their intentions of making appliance standards and labeling mandatory, the infrastructure necessary to implement this policy is still lacking.

## Greenhouse Gas Pollution Prevention

**10. Detailed guidelines for AIJ Projects Adopted.** The Ministry of Environment and Forests is the nodal government agency for GOI for all AIJ (Activities Implemented Jointly) projects which aims to test the concepts of Joint Implementation in the pilot phase. The MOEF should develop detailed guidelines for development of AIJ projects indicating clearly the GOI priority areas, baseline determination, emissions off-set monitoring and verification, appraisal and approval system.

**11. NTPC adopts power plant efficiency improvement system-wide.** NTPC has received extensive technical assistance and training to implement power plant efficiency improvement. In order to achieve the total potential for carbon dioxide off-sets from efficiency improvement, NTPC corporate policy should make efficiency improvement in all their power plants a time-bound policy.

**12. Coal beneficiation required by 2001.** Indian coal contains up to 50% inert material (mostly ash and shales) which needs to be pre-treated (beneficiated or washed) prior to despatch of the coal from the mines to the power plants, which leads to serious air, land and water pollution. Ministry of Environment and Forests should make it compulsory for all power plant users (based on coal as fuel) to use coal of a certain minimum ash percentage. It is now anticipated that legislation will require coal washing for all thermal power plants by 2001.

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA
<b>STRATEGIC OBJECTIVE:</b>	SO 4 INCREASED ENVIRONMENTAL PROTECTION IN ENERGY, INDUSTRY AND CITIES
<b>INTERMEDIATE RESULT:</b>	IR 4.2 POLLUTION REDUCED IN SELECTED INDUSTRIAL SECTORS
<b>APPROVED:</b>	July 09, 1997
<b>INDICATOR:</b>	4.2.1 Increased investment by companies in clean environmental technologies.
<b>UNIT OF MEASURE:</b>	Number of companies
<b>SOURCE DOCUMENT:</b>	i. Data from surveys, project reports, industry associations and company annual reports. ii. Other secondary sources such as the GOI and CMIE.
<b>SOURCE ORGANIZATION:</b>	CTI Project, CII, FICCI, CMIE
<b>INDICATOR DESCRIPTION:</b>	Number of companies that have increased investment in clean environmental technologies with CTI assistance.

YEAR	PLANNED LOW	PLANNED HIGH	ACTUAL
1997			0
1998	0		
1999	10		
2000	15		
2001	15		
2002	20		

<b>COMMENTS:</b>	<ol style="list-style-type: none"> <li>1. Data reported for GOI fiscal year: April 1 to March 31.</li> <li>2. It is assumed that there is a significant response to the questionnaire survey of the firms reached by CTI. Note that the sample size may be statistically insignificant, and that the results of the survey cannot be extrapolated within and across the sectors. The sample population and subjects may vary from year to year.</li> <li>3. Actual targets achieved against planned targets will be determined after data collection from primary/secondary sources.</li> <li>4. Projects which reach financial closure will be reported.</li> <li>5. The Trade in Environmental Services and Technologies/Clean Technology Initiative (TEST/CTI), the primary project contributing to IR 4.2, was restructured in 1997. Therefore the results for activities just being initiated will be available from GOI FY 98/early GOI FY 99.</li> </ol>
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## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>STRATEGIC OBJECTIVE:</b>	SO 4 INCREASED ENVIRONMENTAL PROTECTION IN ENERGY, INDUSTRY AND CITIES		
<b>INTERMEDIATE RESULT:</b>	IR 4.2 POLLUTION REDUCED IN SELECTED INDUSTRIAL SECTORS		
<b>APPROVED:</b>	July 09, 1997		
<b>INDICATOR:</b>	4.2.2 Clean industry standards established		
<b>UNIT OF MEASURE:</b>	Number of systems and standards established in selected industrial sectors		
<b>SOURCE DOCUMENT:</b>	Surveys, Selected Project Reports, Industry business and banking associations reports, (CII, FICCI, IBA), National Productivity Council (NPC), Bureau of Indian Standards (BIS), Quality Council of India (QCI),		
<b>SOURCE ORGANIZATION:</b>	CTI Project, CII, FICCI, IBA, NPC, QCI		
<b>INDICATOR DESCRIPTION:</b>	The selected sectors are: textiles, pulp & paper, pharmaceutical, automobiles, food processing, and metal fabrication. Activities will include establishment of private voluntary standards systems like: National ISO 14000 accreditation scheme; sector wise benchmarking environmental performance; environmental due diligence; by financial institutions greening supplier chain management and by leading corporation industrial environmental extension across industrial sector.		
<b>YEAR</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1997			0.00
1998	1		
1999	2		
2000	4		
2001	6		
2002	8		
<b>COMMENTS:</b>	<ol style="list-style-type: none"> <li>1. Data reported for GOI fiscal year: April 1 to March 31.</li> <li>2. Each functioning system standard that comprise a network of institutions and organization provides corporations with relevant environmental information and guidance to introduce clean industry operations.</li> <li>3. Actual targets achieved against planned targets will be determined after data collection from primary and secondary sources.</li> <li>4. The Trade in Environmental Services and Technologies activity (TEST), the primary project contributing to IR 4.2, was restructured in 1997. Therefore the results for activities just being initiated will be available from GOI FY 98/early FY 99.</li> </ol>		

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>STRATEGIC OBJECTIVE:</b>	SO 4 INCREASED ENVIRONMENTAL PROTECTION IN ENERGY, INDUSTRY AND CITIES		
<b>INTERMEDIATE RESULT:</b>	IR4.3 IMPROVED URBAN ENVIRONMENTAL INFRA-STRUCTURE BUILT AND SERVICES DELIVERED IN SELECTED CITIES.		
<b>APPROVED:</b>	July 09, 1997		
<b>INDICATOR:</b>	4.3.1 Increased volume of drinking water and waste water treated, and solid waste collected and safely disposed of, through commercially viable systems.		
<b>UNIT OF MEASURE:</b>	a) Drinking water and b) waste water in millions of liters/day c) Solid waste in tons/day		
<b>SOURCE DOCUMENT:</b>	Survey/annual evaluations, sector assessment reports by municipalities		
<b>SOURCE ORGANIZATION:</b>	HUDCO, ILFS, NIUA/Project Reports.		
<b>INDICATOR DESCRIPTION:</b>	(a) Volume of water treated for drinking (b) Volume of sewage given at least primary treatment (c) Tons of solid waste collected and disposed of in an environmentally safe manner		
<b>YEAR</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1997			0
1998	0		
1999	46(a) 18(b) 150(c)		
2000	76(a) 53(b) 650(c)		
2002	370(a) 140(b) 850(c)		
<b>COMMENTS:</b>	Measurable data for the project will be available by the end of FY 99, when construction is completed.		

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>STRATEGIC OBJECTIVE:</b>	SO 4 INCREASED ENVIRONMENTAL PROTECTION IN ENERGY, INDUSTRY AND CITIES		
<b>INTERMEDIATE RESULT:</b>	IR 4.3 IMPROVED URBAN ENVIRONMENTAL INFRA-STRUCTURE BUILT AND SERVICES DELIVERED IN SELECTED CITIES		
<b>APPROVED:</b>	July 09, 1997		
<b>INDICATOR:</b>	4.3.2 Local governments applying urban environmental management tools		
<b>UNIT OF MEASURE:</b>	Number of governments which have adopted urban environmental management tools which are the following: environmental work-books and maps, risk assessment, environmental studies and evaluations, and Action Plan development.		
<b>SOURCE DOCUMENT:</b>	Surveys, annual evaluations, municipalities, Hudco, ILFS, NIUA/Project Reports.		
<b>SOURCE ORGANIZATION:</b>	Municipalities, Hudco, ILFS, NIUA.		
<b>INDICATOR DESCRIPTION:</b>	Cumulative		
<b>YEAR</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1995			1
1996	2		2
1997	4		4
1998	6		
1999	8		
2000	10		
2002	14		
<b>COMMENTS:</b>	Data reported for GOI fiscal year: April 1 to March 31		

## **E. Special Objective 1: Reduced Transmission of HIV Infection**

### **1. Performance Analysis**

Performance in addressing HIV transmission has exceeded targets for all indicators. Program implementation has accelerated considerably, and strategic partnerships with national and state level GOI entities and NGOs have been expanded and enriched. The AIDS Prevention and Control Program (APAC) in Tamil Nadu, dealing primarily with private, commercial sector and NGO interventions, has received able guidance, and quick approvals for activities from its Management Committee. APAC has also received funds for project implementation in a very timely manner from the National AIDS Control Organization (NACO), thus making it possible to accelerate and expand both public and private sector activities. The complementary public sector program implemented by the Tamil Nadu State AIDS Control Society (TANSACS) funded by the State of Tamil Nadu and the World Bank has also functioned effectively. Together, the two programs have effected some very significant behavior changes in Tamil Nadu which are clearly reflected in the indicators.

USAID/India's SPO 1 program is a central element of the MPP goal of "Protecting Health" and contributes also to the goal "Broad Based Economic Growth". Important complementary activities are financed by the National Institutes of Health and CDC, principally for bench and behavioral research on vaccine development, new treatment alternatives and behavioral research.

#### **Reduced high risk behavior**

The Behavioral Sentinel Surveillance study (BSS) monitors HIV risk behavior in seven groups sampled from ten major metropolitan areas throughout the state of Tamil Nadu. The findings of the second round of the BSS study, conducted in November/December 1997, one year after the first baseline round, indicate significant progress by APAC in achieving its goals of behavior change leading to reduced risk of HIV infection. Decreases in non-regular sex partnerships, increases in condom use, and improved treatment seeking behavior for STDs--the three major behaviors which reduce HIV transmission--were among the changes reported between the first and second rounds.

The proportion of males who used condoms with their non-regular sex partners (Indicator 1.1) increased from 37 percent in 1996 to 47 percent in 1997, a 27 percent increase overall, and exceeding the planned target of 44 percent by 7 percent. Use of condoms in commercial sex relationships increased dramatically. Among truckers, for example, condom use changed from 55 percent in 1996 to 66 percent in 1997, an increase of 18 percent. The BSS for 1997 also shows that there has been significant decline in other forms of high risk behaviors. Two out of three male risk groups -- truck drivers and their helpers, and male factory workers -- reported decreased non-regular sexual partnerships in the past year. Truck drivers and their helpers decreased this type of partnership from 48 percent to 36 percent, and male factory workers, from 15 percent to 11 percent. Male students remained unchanged at 3 percent in both rounds.

The BSS also indicated significant change in male patronage of female sex workers. In 1997, 27 percent of truck drivers and their helpers reported visiting at least one sex worker during the past year--down from 38 percent in 1996. Factory workers reported a decrease in this same

behavior from 7 percent in 1996 to 4 percent in 1997.

Expanding availability of, access to and demand for condoms, and increased, condom use in protecting against HIV/STD prevention, is a major objective of APAC. Total condom sales in Tamil Nadu grew 4 percent over 1996. APAC entered into a significant collaborative arrangement with a major private sector manufacturer of condoms. The purpose of the collaboration was to demonstrate that investments in expanded condom distribution systems could lead to both increased sales volumes and to a reduction in the direct cost of sales. The experiment was extremely successful, resulting in the manufacturer's sales volume doubling in a twelve month period between November 1996 and November 1997 from 3.57 million to 6.77 million condoms - a major part of the overall growth in sales for the state. The manufacturer doubled the number of retail outlets served by sales force, and intensively promoted condoms at point of purchase. A large proportion of the new retail outlets added were non-traditional retail outlets, such as tea and tobacco outlets-found in the most densely populated urban areas, and most effective in improving access to condoms at all times of the day and night. The success of this activity has stimulated two other major manufacturers to apply for participation in APAC's condom program.

### **Treatment of sexually transmitted diseases**

The BSS also measured sexually transmitted disease (STD) treatment seeking behavior of individuals reporting STD symptoms (Indicator 1.2). The second round survey indicated that individuals seeking care from qualified medical practitioners for symptoms of urethritis increased from 64 percent in 1996 to 79 percent in 1997 among trucker drivers and their helpers, and from 58 percent to 83 percent among male factory workers. Students remained unchanged at 22 percent. However, students have not reported any significant levels of high risk behavior in the first place.

Five medical colleges and training institutions have received grants as planned to train 1,400 physicians over the next three years, in providing high quality care for STDs. Training teams at each institution have been identified and trained in the use of participatory and skill/competency based training. A total of 250 physicians have already been trained at these centers using the module for training of physicians developed by APAC in 1997. The module will be revised this year based on the feedback from both trainees and trainers. Four more modules for the training of pharmacists, auxiliary nurse midwives, community health workers, and non-formal or traditional medical practitioners have been developed and the drafts await pilot testing.

Linkages are being established between these training centers and NGO grantees working in intervention areas such as the trucking points. NGOs identify those private practitioners in their areas who are utilized by risk groups for STD treatment. The NGOs refer community patients in need of services to such providers. The names and addresses of the private providers are also sent to the nearest training institution, which then invites the provider to attend its training programs. In two cases, the training centers have, at the request of NGOs, run special programs for providers in the area served by the NGO.

After pilot testing alternative approaches for measuring the quality of STD services provided by

physicians, a methodology termed the "STD health facility survey" was designed, and a first round of the study was commissioned in August, 1997. The results are expected in March, 98.

### **Grants to NGOs for AIDS prevention in Tamil Nadu**

Against the planned 30 grants to be made during 1997 (Indicator 1.3), 53 grants were made to NGOs to carry out a variety of programs, exceeding the planned level by 77 percent, and bringing the project total to 71 grants. Of the 53 grants made in 1997, 21 are for three-year NGO programs.

Among this year's grantees are eleven NGOs who work at strategic locations on interstate highways, providing behavior change education to the drivers of trucks transiting through these points. Baseline studies show that approximately 1.5 million truckers transit through these locations each month. Regular and repeated journeys of trucks along these routes offer NGOs multiple opportunities for contact and behavior change communication with the two person teams of a truck driver and helper that travel with each truck.

NGOs funded by APAC to implement community based behavior change interventions with risk groups emphasize condom use as a part of their promotion of safe sexual behavior. They also map all retail outlets in their areas, and liaise with condom manufacturers to ensure that a sufficient number of outlets in each community carry an uninterrupted supply of condoms. This part of the work has not yet been whole-heartedly accepted by the NGOs, as a large number of them are still ideologically inclined to distribute free government-supplied condoms. APAC will invest time and effort in educating NGOs on the need to promote commercial condoms as the only long-term sustainable option.

### **Research**

A landmark community-based STD prevalence and etiology study has been completed. The results will be available for dissemination in early April, 1998. This hugely significant, high-quality community study of all major STD infections included a rigorous study design, an ethical review, counseling, informed consent, and care and treatment of those clients who attended the health camps where they were interviewed and examined. It is expected that the findings of the study will provide important information for national and state level strategic and program planning. The study was implemented by a consortium of outstanding medical research institutions.

### **Other USAID funded activities**

The Program for Advancement of Commercial Technology/Child and Reproductive Health (PACT/CRH) also makes a significant contribution to this Special Objective. Loans have been provided to private sector manufacturers to expand the marketing and distribution of condoms, and to indigenously manufacture and market condom vending machines. To improve the quality of condom production in India, an issue of central importance to HIV/AIDS prevention, technical experts are also assisting the Drug Controller of India to strengthen the Government's quality control monitoring capacity and to work with the GOI and manufacturers to improve condom packaging in India. Assistance is also provided to the condom manufacturers to improve their

internal quality control procedures. The market leader, has already met the current revised WHO standards and the other major player, as part of the loan plans also to meet this criteria soon. A grant has been provided to the Confederation of Indian Industries (CII), an apex industrial body with an extensive country-wide network of 3,500 member companies, to develop and market an educational package for prevention of HIV/AIDS/STD in the work place setting in Indian industries. Over 260 industries with over 400,000 employees have purchased the packages.

## **2. Expected Progress through FY 2000 and Management Actions**

Progress will be made in four specific areas. A mid-term evaluation of APAC, planned for September/October 1998, will help directly with work in three (a.-c.) of the four areas.

- There will be increased coverage of high risk groups. Over the next year APAC will work to cover more risk groups with behavior change intervention programs. Two sets of grants to NGOs, one to work with women in prostitution, and the other with people living in urban slums, are planned. Both are populations which require targeted behavior change interventions. The present condom promotion activities will be expanded to include at least one more major, commercial sector manufacturer, and a generic condom promotion campaign will be launched.
- In attempting to mitigate the impact of the epidemic on low risk groups, APAC will attempt to study the feasibility of integrating STD/HIV prevention and control activities into maternal and child health and family planning activities, and one or two grants are expected to be made on this account.
- Work on improving access to STD services will continue. Development of four training modules for health care providers other than qualified medical practitioners, will be completed. Training of these categories of providers in quality care of STDs will commence. The findings of the STD prevalence study will be widely disseminated and policy implications of findings will be highlighted to the Governments of India and Tamil Nadu, and to the donor community. Several leading manufacturers will be approached for production and marketing of low cost, rapid STD diagnostics, including for HIV.
- The Mission will expand its HIV/AIDS program to include support for the state of Maharashtra. In December, 1997 the Mission completed an assessment of its AIDS program options to expand support to an additional high transmission state, and to support selected activities at the national level. The Mission is finalizing plans to expand its HIV/AIDS program to:
  - Reduce STD/HIV transmission and mitigate their impact in the commercial sex industry in the urban areas of Mumbai, Thane, Pune, and the rural district of Sangli, in the state of Maharashtra.
  - Carry out a program of applied and operations research designed to provide the National Program with data for decision making, advocacy, program planning, implementation and evaluation.
  - Develop appropriate models of intervention programs through pilot and demonstration

activities in areas/groups of epidemiological or programmatic significance.

This package of new programs, when added to USAID's current activities in STD/HIV/AIDS, results in a significant expansion of USAID's objectives and activities in HIV/AIDS, and necessitates the revision of its present Special Objective 1:Reducing the transmission of HIV/AIDS. The Mission has decided to utilize the opportunity provided by this revision to redesign the objective so that it addresses not only the Agency's HIV/AIDS agenda, but also its newly-announced infectious disease agenda.

Keeping in mind the Mission's financial and management constraints, the program under the new Strategic Objectives will focus primarily on infectious disease issues that intersect with STD/HIV/AIDS programming. Therefore, USAID/India's support for infectious diseases work in India will focus on (a) research that will help improve preventive and curative practices for sexually transmitted diseases (STDs) and for opportunistic infections (particularly tuberculosis) that affect HIV positive people; and (b) support for developing an integrated disease surveillance system, particularly in those areas of Maharashtra where USAID's STD/HIV/AIDS program is operational.

This program expansion will necessitate a conversion of SPO 1 to a new full AIDS/Infectious Diseases SO. USAID/India will submit to the ANE Bureau a document detailing its revised strategic objective, indicators, and the resources required to carry out the program. The document will provide a comprehensive picture of all components of USAID's proposed expanded HIV/AIDS and infectious diseases program, when fully negotiated and developed. It is expected that negotiations will occur in stages. The Mission is confident of reaching agreement with the NACO and Maharashtra State on the component dealing with HIV prevention in the commercial sex industry in Maharashtra. It is expected that funds for this component will be obligated before September 1998. As for the other two components, namely the national research program, and demonstration and pilot activities, negotiations on implementation will be finalized later. If agreement can be reached, these components will provide for better information for decision making at NACO, and for future growth of USAID assistance to India in areas that will have the greatest impact on the epidemic.

With regard to disease surveillance, the Government of India is in the process of developing a program with funding from the World Bank. The World Bank has expressed support for any assistance that USAID, its sister US Agencies, and WHO can provide to the Government of India in developing this program. The Mission anticipates that the development of this program will take an extended period, involving several agencies of the Indian Ministry of Health and Family Welfare, other than NACO. The Mission has therefore decided that it will try to build its initial bilateral support for surveillance activities around such surveillance as the Maharashtra Government is interested in pursuing for HIV/AIDS and related infectious diseases. Even this limited approach will need to be discussed and negotiated with NACO and the concerned Maharashtra State agencies. The Mission also intends to communicate to the Government of India its willingness to use global field support mechanisms to provide WHO and CDC assistance to help India develop its national disease surveillance system. USAID/India's support for strengthening infectious/emerging diseases and surveillance activities is part of the broader US Government effort in this field.

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>SPECIAL OBJECTIVE:</b>	SpO1 REDUCED TRANSMISSION OF HIV INFECTION		
<b>APPROVED:</b>	July 09, 1997		
<b>INDICATOR:</b>	1.1 Percentage of individuals belonging to specified high-risk groups who report condom use in most recent sexual encounter with a non-regular partner		
<b>UNIT OF MEASURE:</b>	Percentage		
<b>SOURCE DOCUMENT:</b>	Behavioral Sentinel Surveillance Study		
<b>SOURCE ORGANIZATION:</b>	AIMS Research		
<b>INDICATOR DESCRIPTION:</b>	Figures are simple arithmetic averages for commercial sex workers, STD clinic attenders, truck drivers and helpers. Groups such as male and female factory workers, and male and female students are not included since BSS data indicates they are not "high risk groups".		
<b>YEAR</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1996			37
1997	42		47
1998	47		
1999	52		
2000	57		
2002	62		
<b>COMMENTS:</b>	Data reported for 12 month periods ending November each year.		

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>SPECIAL OBJECTIVE:</b>	SpO1 REDUCED TRANSMISSION OF HIV INFECTION		
<b>APPROVED:</b>	July 09, 1997		
<b>INDICATOR:</b>	1.2 Percentage of population seeking care from qualified medical practitioners for symptomatic STDs in Tamil Nadu		
<b>UNIT OF MEASURE:</b>	Percentage		
<b>SOURCE DOCUMENT:</b>	Behavioral Sentinel Surveillance Study		
<b>SOURCE ORGANIZATION:</b>	AIMS Research		
<b>INDICATOR DESCRIPTION:</b>	Figures are simple arithmetic averages for commercial sex workers, truck drivers & helpers, male factory workers and male students.		
<b>YEAR</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1996			52
1997	57		67
1998	62		
1999	67		
2000	72		
2002	77		
<b>COMMENTS:</b>	Data reported for 12 month periods ending November each year.		

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b> USAID INDIA			
<b>SPECIAL OBJECTIVE:</b> SpO1 REDUCED TRANSMISSION OF HIV INFECTION			
<b>APPROVED:</b> July 09, 1997			
<b>INDICATOR:</b> 1.3 Cumulative number of APAC grants for AIDS prevention in Tamil Nadu			
<b>UNIT OF MEASURE:</b> Number (Cumulative)			
<b>SOURCE DOCUMENT:</b> VHS reports			
<b>SOURCE ORGANIZATION:</b> VHS			
YEAR	PLANNED LOW	PLANNED HIGH	ACTUAL
1995			0
1996	15		18
1997	30		71
1998	45		
1999	60		
2000	75		
2002	100		
<b>COMMENTS:</b> Data reported for US fiscal year: October 1 to September 30.			

## **F. Special Objective 2: Increased Investment in Agribusiness by Private Firms**

The highly successful USAID/India agribusiness program supports two MPP goals: "Open Markets and Increased US Exports" and "Broad based Economic Growth" The ACE program facilitates contacts between U.S. agribusiness firms and manufacturers of agribusiness equipment through the internet-based agricultural information centers, seminars, workshops and study tours.

### **1. Performance Analysis**

#### **Targets exceeded**

As has been the case in previous years, all targets for this special objective were exceeded for the rating year.

Investment in ACE funded agribusiness activities (Indicator 2.1) increased to \$45 million during FY-97 compared with a target of \$42 million. This was a 26% increase over the level of investment in FY-96. The trend of increasing investment seems likely to continue next year as well. ICICI lending to the agribusiness sector (Indicator 2.2) increased by 20 percent to \$76 million, which was slightly greater than the target of \$75 million. The value of horticultural exports (Indicator 2.3) increased by \$100 million in FY-97. This 20 percent increase brought total exports to \$615 million as compared with a target of \$440 million.

An upward trend in the growth of the food processing industry in India has attracted investments of \$1.95 billion, including foreign investment of \$217 million since the start of the ACE program in 1992. Similarly, the installed capacity of fruits and vegetable processing has doubled over the last five years resulting in a 260 percent production increase (0.36 million metric tons to 0.96 million metric tons during the same period). The above increases in both capacity and production have put pressure on current agribusiness infrastructure and India's capacity for preservation, handling, storage, field chilling and transportation of perishable products to outlets for sale and to ports for export to meet the ever increasing overseas demand.

#### **Opening private sector access to agribusiness information and finance, participation in agribusiness marketing infrastructure and formulation of policies and regulations**

Encouraged by the success achieved to date in promoting greater investments in agribusiness and increased horticultural exports, SPO 2 activities are now designed to help India meet the challenges that lie ahead.

In the rating year, we expanded the existing World Wide Web-based commercial Agribusiness Information Center (AIC) from one station to a network of three located in different regions of the country. These AICs provide access for Indian agribusiness firms to worldwide agricultural databases and promote Indo-US agribusiness ventures by alerting Indian investors to U.S. sources of equipment and technologies. Also, USAID assisted in start up of a new "Center of Excellence for Post Harvest Technologies" at the

Punjab Agricultural University in cooperation with the Punjab Agro-Export Corporation and the University of California at Davis. This center will serve as a nucleus for dissemination of technologies on harvesting and processing of vegetables and fruits and will promote Indo-US agribusiness linkages.

In the past year, we identified four potential public-private partnerships (PPPs) in agribusiness marketing infrastructure, cold chains and cargo facilities. Discussions are well underway with public sector officials to allow private sector participation in projects that had been slated for public sector investment only. In conjunction with the provision of advisory services for potential PPPs, USAID/India assisted in the launch of state level public-private advisory panels for assessing agribusiness marketing infrastructure and formulating recommendations to state officials for improving the infrastructure in two states--Maharashtra and the Punjab. A third state, Karnataka, is considering forming a similar advisory panel..

Materials were developed and the first training course in agribusiness loan appraisal held for 15 senior loan officers from 13 leading banks in three states. The course focused on agricultural loan appraisal techniques, agribusiness risk analysis and financial products tailored to agribusiness. The course is now ready to roll out to other senior bankers around the country.

A program of work with private agribusiness associations started during the past year. An expert from the U.S. worked with the troubled floriculture industry to help form associations and identify key constraints restricting export of cut flowers. The consultancy resulted in formation of three regional floriculture associations. Another expert advised the All India Food Processors Association on badly needed reforms of existing Indian food laws. Also, issues affecting the seed industry were identified and recommendations offered for their resolution to the Indian Seed Industry Association. Technical assistance to the associations will continue.

## **2. Expected Progress through 2000 and Management Actions**

### **Planned results achieved and agribusiness program ends**

FY 2000 will be the last year for reporting results achieved under the agribusiness program. By then, it is expected that all planned results will have been met. The activities that have been started to help achieve the results will have been brought to a successful conclusion and provided beneficial demonstration effects. Specifically, the demonstration models for marketing infrastructure development through private or joint sector options (one each tested in Maharashtra and Punjab for cold chain sector) and post harvest handling and processing through collaborative partnerships (Center of Excellence for Post Harvest Technology at Punjab Agricultural University) will have been tested. Resolution of critical policy-cum-regulatory reforms in floriculture, the processed food and seed industries will be in sight; the first-phase training for agribusiness lending banks/ financial institutions (50-60 professionals from lead banks trained in agricultural credit lending) will be completed. The Agribusiness Information Centers for the global sharing of databases will be well on the road to sustainability. Functioning models of three joint

Public-Private Advisory Panels in Maharashtra, Karnataka and Punjab along with 2-3 well designed operating port cargo facilities for handling of horticultural products (Karnataka, Punjab and Maharashtra) should generate a level of confidence in the Indian agribusiness sector that will lead to rapid replication.

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>SPECIAL OBJECTIVE:</b>	SpO2 INCREASED INVESTMENT IN AGRIBUSINESS BY PRIVATE FIRMS		
<b>APPROVED:</b>	June 12, 1996		
<b>INDICATOR:</b>	2.1 Increase in total investments in ACE funded projects		
<b>UNIT OF MEASURE:</b>	Million Dollars (cumulative)		
<b>SOURCE DOCUMENT:</b>	Industrial Credit and Investment Corporation of India (ICICI) annual reports, Project Data		
<b>SOURCE ORGANIZATION:</b>	ICICI		
<b>YEAR</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1992			0
1993			1
1994			7
1995	21		18
1996	32		33
1997	42		45
1998	60		
1999	80		
2000	100		
<b>COMMENTS:</b>	Data reported for GOI fiscal year: April 1 to March 31.		

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>SPECIAL OBJECTIVE:</b>	SpO2 INCREASED INVESTMENT IN AGRIBUSINESS BY PRIVATE FIRMS		
<b>APPROVED:</b>	June 12, 1996		
<b>INDICATOR:</b>	2.2 Increase in Industrial Credit and Investment Corporation of India (ICICI) lending to Agribusiness sector		
<b>UNIT OF MEASURE:</b>	Million Dollars (cumulative)		
<b>SOURCE DOCUMENT:</b>	ICICI project reports		
<b>SOURCE ORGANIZATION:</b>	ICICI		
<b>YEAR</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1992			4
1995	20		45
1996	60		63
1997	75		76
1998	100		
1999	125		
2000	150		
<b>COMMENTS:</b>	Data reported for GOI fiscal year: April 1 to March 31.		

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>SPECIAL OBJECTIVE:</b>	SpO2 INCREASED INVESTMENT IN AGRIBUSINESS BY PRIVATE FIRMS		
<b>APPROVED:</b>	June 12, 1996		
<b>INDICATOR:</b>	2.3 Increase in value of horticultural exports		
<b>UNIT OF MEASURE:</b>	Million Dollars		
<b>SOURCE DOCUMENT:</b>	Center for Monitoring Indian Economy (CMIE) reports		
<b>SOURCE ORGANIZATION:</b>	CMIE		
<b>INDICATOR DESCRIPTION:</b>	Horticultural produce includes fresh/processed fruits and vegetables, spices, and floriculture products.		
<b>YEAR</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1992			155
1993			184
1994			326
1995	340		367
1996	380		515
1997	440		615
1998	500		
1999	575		
2000	650		
<b>COMMENTS:</b>	Data reported for GOI fiscal year: April 1 to March 31.		

## **G. Special Objective 3: Expanded Advocacy and Service Delivery Networks for Women**

### **1. Performance Analysis**

USAID and its partners made substantial headway this year towards meeting the targets for increasing women's access to financial services, improving girl's school participation, and reducing violence against women. SPO 3 is directly responsive to the ANE Bureau's priority to reduce gender disparities and enhance women's role in decision making.

This SPO contributes directly to four MPP goals. Without improving income earning opportunities and education for women, "Broad-based Growth" cannot be achieved. In addition, educated women are empowered to take greater control over their reproductive health and better equipped to contribute to goals of "Protecting Health", and "Stabilizing population". The activities that reduce violence against women as well as those improving education also contribute to building "Democracy and Protecting Human Rights".

#### **Sustainable financial services for women expanded**

Substantial progress has been made during the first year of this activity. The capacity of Friends of Women's World Banking-India (FWWB) as a training institution was strengthened by establishment of a new training locale, developing and testing a "Strategic Business Planning" (SBP) curriculum, and creating supporting audio-visual materials. The first year workplan called for training ten NGOs reaching an estimated 15,000 women. Although floods in Gujarat prevented two NGOs from attending as planned, the eight which participated (IR3.1.2) provide financial services to 26,598 women--nearly twice as many women as expected (IR3.1.1). Following the training in strategic business planning, the NGOs aim to increase their outreach by 25% to 33,225 women by 1998. Baselines are being established for the second training batch of 12 NGOs and outreach will increase by more than 25 percent over baseline. Given that the spread effect of this activity is larger than anticipated and exceeds the original projections by such a large margin, we will need to set new, appropriate targets for the balance of the program.

#### **Increased informed advocacy for reducing violence against women**

There is a paucity of reliable and objective information on the issue of domestic violence. The Violence against Women activity fills this important information gap by establishing a national database that will provide both patterns and trends of domestic violence. The database will serve as a tool for local institutions, activist groups, and policy makers in reviewing current laws and policies and in implementing effective advocacy and intervention programs against domestic violence.

The work on domestic violence has made significant progress in the last year. Objectives of the activity have been refined; a consensus amongst partners on some of the key conceptual issues involved has developed; mechanisms for an ongoing process of establishing credibility and ownership for the effort have been identified; and agreements have been signed with the nine planned research institutions (IR 3.2.1). These include institutions such as Tata Institute

of Social Sciences, Mumbai; SNTD Women's University, Mumbai; National Law School, Bangalore; and Vimochana, a feminist NGO which serves as the Regional Secretariat for Asian Women's Human Rights Council.

The constitution of the National Advisory Committee (NAC) has been one of the year's most important successes. Leading lawyers, doctors, social scientists, administrators, and feminists have agreed to serve on the body. The NAC will provide overall guidance to the program and take the lead in policy formulation and dissemination and communications strategy for the research. A major achievement is that after two meetings, the NAC is actively engaged in tracking progress and planning the use of the research. This is extremely critical because the real sense of ownership and the wider credibility that the NAC members bring to the program directly depends on the extent to which the NAC members are active in it.

Despite the sensitivities of U.S. participation in an Indian human rights issue, the activity is on track and research studies are underway. Results will emerge from May 1998 onwards. Research to date involves studies on: a) responses to domestic violence covering four states - Maharashtra, Madhya Pradesh, Gujarat and Karnataka; b) an analysis of institutional records of the police, hospitals, courts and NGOs; and c) a population-based survey in Kheda district in Gujarat.

The Gujarat survey investigated the prevalence, nature and types of domestic violence. Some preliminary findings were:

- 66% of Gujarati women faced verbal or physical violence
- women with little or no education were subject to more violence than better educated women
- a main trigger for violence was food preparation
- more than 50% of women reported being thrown out of the house
- out of 42% of women who reported beatings, 10% required medical attention.
- 30% of the abused reported they felt like committing suicide.

The studies of records from different institutions--hospitals, police, courts, and NGOs--will look not only at the broad patterns that emerge from these databases, but also identify gaps in recording of information. The studies together will provide an understanding of how key institutions perceive and respond to domestic violence. An inter-related dimension that the studies will probe is how the flow of information from one institution to another influences the operations of each and the response to the affected individuals. Such an approach will help to identify the disjunctures between the different institutions and may then form the basis for recommendations of integrated intervention strategies.

The fundamental objective of the studies is to apply the understanding and conclusions of the research to reduce domestic violence. In the medium term, the activity will create an informed advocacy body that can press for women's access to legal and other support systems.

## **Enrollment and retention of girls in schools of Uttar Pradesh increased**

The Girl's Education activity targets girls of primary school age through working with teachers and communities to create support for girl's full participation in school. The major output of this activity is the development of a teacher training module and a gender handbook which are expected to be adopted by the District Institutes for Education and Training (DIET) in Uttar Pradesh (U.P.) for in-service training of teachers.

USAID activities build on the World Bank's Basic Education Project in Uttar Pradesh and UNICEF's participatory learning approach introduced in that state. The Basic Education Program focuses on construction of primary schools in unserved villages; introduction of decentralized management systems to improve district accountability to deliver primary education; and strengthening education research and teacher training to improve the quality of education. The World Bank assistance neither addresses specific factors affecting girl's participation in school nor strengthening informal schools for inaccessible communities. The UP girls' education activity addresses the former, while the PL 480 Title II assistance channelled through the Catholic Relief Services supports the latter.

Despite initial hurdles in Indian government clearance which delayed start of the girls' education activity, there have been visible achievements. For example, to ensure government acceptance and use of the training materials and modules prepared by the University of Massachusetts (UMASS) team, a steering committee comprised of senior U.P state administrators, senior officials from the U.P Primary Teacher's Association, and experts in the field of education was established.

Intensive training workshops for teachers, with participation of the Rae Bareilly District DIET, were conducted to sensitize them to gender issues, train them in action research methodologies and analysis, and build their skills in developing community groups committed to girls' education. Teachers were encouraged to make the classrooms more participatory, and modify lessons to make them more girl-friendly. Results of the action research have been analyzed and a workshop was organized to finalize the teacher training module and prepare a gender handbook. The U.P Primary Teacher's Union is very supportive and enthusiastic about this activity. The training module is currently being pilot tested in one block and by 1999, it will be used in 10 blocks (IR3.3.2).

As per statistics from a block in Rae Bareilly in Uttar Pradesh, 342,297 children are enrolled in schools out of a total primary school-going population of 364,100 children; 90 percent of the total eligible girls are enrolled in primary schools. This percentage is higher than expected and may be attributable to the introduction of the take-home wheat program in the last two years. We suspect there is some connection because data from the 1993 National Family Health Survey indicates that 50 percent of girls were attending primary school in U.P. Similarly, the Ministry of Education report for 1995 shows that nationally 47 percent of girls were enrolled in primary school. USAID and UMASS will review the data for enrollment intensively and decide whether to propose a different indicator for next year's R4.

Catholic Relief Services (CRS) has programmed food assistance throughout India for years to support the education of children living in disadvantaged communities who would not

otherwise be able to attend school. These children live in areas where government schools may not exist or teacher postings are erratic. CRS partners have provided boarding hostels for boys and girls, and worked with district authorities to improve the enrollment of underprivileged children in government and non-formal schools. CRS received approval last year for a five year Title II supported community-based education program. With an initial emphasis on U.P., it aims to improve the enrollment and attendance of girls in primary and non-formal schools. CRS is working with partners now to establish baseline data and refine its implementation strategy in accordance with their on-the-ground experience.

## **2. Expected Progress through FY 2000 and Management Actions**

To increase women's access to microfinance, FWFB will provide training in business planning to the planned total of 50 NGOs to strengthen their capacity to wholesale financial services to women clients, while increasing its own outreach. Training materials in two Indian languages will be made available to grassroots institutions serving low-income women. The trained NGOs will continue to expand their micro-credit operations, providing financial services to larger numbers of low income women, while ensuring financial viability. FWFB is expected to extend training to NGOs in the most needy northern states, perhaps offering courses to federations of self help women's groups in order to further expand outreach.

The first stage of the violence against women research will result in a report entitled-- "Domestic Violence in India: Patterns, Trends, and Responses," the findings of which will be shared at state and national level conferences under the guidance of the NAC. Future plans to expand data-based advocacy include collection of population-based data from four additional states, which will give a clearer insight into the patterns and prevalence of domestic violence. This will be done in collaboration with the India Clinical Epidemiology Network (INCLEN) based in eight health institutions and associated communities around India. USAID will work closely with all the stakeholders including ICRW, research institutions, and the NAC to ensure that the activity results in an effective research dissemination and policy strategy.

With respect to increased girls' enrollment in U.P. schools, we expect the teacher training module on girls' participation in schools to be adopted by the U.P. DIETs for use in-service training of teachers. With gender awareness in classrooms and communities, it is expected that girls' will benefit significantly. We will define an appropriate indicator of this program's effectiveness for approval by USAID/W prior to next year's review. We are also in the process of exploring opportunities for a program to expand the girl's education activity, which may look at teacher's roles in girls' school participation from an advocacy perspective and help establish a Women Teachers' Forum or a Girls' Education Foundation to take on the advocacy role.

In addition, the objectives of the CRS education program will be refined according to the demonstrated capabilities of their new local partners. Monitoring and implementation approaches to improve informal systems and link girl's to formal schools will be developed.

## PERFORMANCE DATA TABLE

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**ORGANIZATION/PROGRAM:** USAID INDIA  
**SPECIAL OBJECTIVE:** SpO3 EXPANDED ADVOCACY AND SERVICE DELIVERY NETWORKS FOR WOMEN  
**INTERMEDIATE RESULT:** IR 3.1 SUSTAINABLE FINANCIAL SERVICES FOR WOMEN EXPANDED  
**APPROVED:** July 09, 1997

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**INDICATOR:** 3.1.1 Increased number of women clients receiving financial services from participating institutions

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**UNIT OF MEASURE:** Number of women clients (cumulative)

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**SOURCE DOCUMENT:** ICRW project records, FWWB (I) progress reports  
**SOURCE ORGANIZATION:** ICRW, FWWB

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YEAR	PLANNED LOW	PLANNED HIGH	ACTUAL
1996			*
1997			26,598
1998	33,225		
1999	TBD		

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**COMMENTS:** Data reported for U.S. fiscal year:from October 1 to September 31

1. \* Following a detailed baseline survey by FWWB it was found that NGOs participating in the training were providing financial services to 26,598 women, as opposed to the estimated figure of 15,000 women reported last year.
2. Given that the 'spread effect' of this activity exceeds the original projections, new targets will be set for the balance of the program.

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>SPECIAL OBJECTIVE:</b>	SpO3 EXPANDED ADVOCACY AND SERVICE DELIVERY NETWORKS FOR WOMEN		
<b>INTERMEDIATE RESULT:</b>	IR 3.1 SUSTAINABLE FINANCIAL SERVICES FOR WOMEN EXPANDED		
<b>APPROVED:</b>	July 09, 1997		
<hr/>			
<b>INDICATOR:</b>	3.1.2 Improved business planning process established in participating institutions.		
<hr/>			
<b>UNIT OF MEASURE:</b>	Number of institutions (cumulative)		
<hr/>			
<b>SOURCE DOCUMENT:</b>	ICRW project records, FWWB (I) progress reports		
<b>SOURCE ORGANIZATION:</b>	CRW, FWWB		
<hr/>			
<b>INDICATOR DESCRIPTION:</b>			
<hr/>			
<b>YEARS</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
<hr/>			
1996	0		0
1997	10		8
1998	30		
1999	50		
<hr/>			
<b>COMMENTS:</b>	Data reported for U.S. fiscal year: October 1 to September 31		

## PERFORMANCE DATA TABLE

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**ORGANIZATION/PROGRAM:** USAID INDIA  
**SPECIAL OBJECTIVE:** SpO3 EXPANDED ADVOCACY AND SERVICE DELIVERY NETWORKS FOR WOMEN  
**INTERMEDIATE RESULT:** IR 3.2 INCREASED INFORMED ADVOCACY FOR REDUCING VIOLENCE AGAINST WOMEN  
**APPROVED:** July 09, 1997

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**INDICATOR:** 3.2.1 Increased number of local institutions and their constituencies creating data and informed advocacy on violence against women (VAW)

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**UNIT OF MEASURE:** Number of Institutions

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**SOURCE DOCUMENT:** ICRW project records, progress reports  
**SOURCE ORGANIZATION:** ICRW

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**INDICATOR DESCRIPTION:**

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YEARS	PLANNED LOW	PLANNED HIGH	ACTUAL
1996			0
1997	9		9
1998	18*		
1999	30*		

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**COMMENTS:** Data reported FOR U.S. fiscal year: October 1 to September 31.  
 \*The targets for 1998 and 1999 need to be discussed with ICRW before they are finalized

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA
<b>SPECIAL OBJECTIVE:</b>	SpO3 EXPANDED ADVOCACY AND SERVICE DELIVERY NETWORKS FOR WOMEN
<b>INTERMEDIATE RESULT:</b>	IR 3.3 ENROLLMENT AND RETENTION OF GIRLS IN SCHOOLS OF U.P. INCREASED
<b>APPROVED:</b>	July 09, 1997
<b>INDICATOR:</b>	3.3.1 Increased enrollment of girls in primary schools in one district of UP
<b>UNIT OF MEASURE:</b>	Percentage
<b>SOURCE DOCUMENT:</b>	CRS, NFHS, UMASS
<b>SOURCE ORGANIZATION:</b>	
<b>INDICATOR DESCRIPTION:</b>	Gross enrollment ratio: Percentage of 6-10 years old girls enrolled in Class I-V out of total eligible girls of primary school age.

YEARS	PLANNED LOW	PLANNED HIGH	ACTUAL
1996			TBD
1998	TBD		
1999	TBD		
2000	TBD		

**COMMENTS:** Data reported for U.S. fiscal year: October 1 to September 31.

- Consolidated targets will be set once the baseline data from UMASS and CRS has been obtained.

## PERFORMANCE DATA TABLE

<b>ORGANIZATION/PROGRAM:</b>	USAID INDIA		
<b>SPECIAL OBJECTIVE:</b>	SpO3 EXPANDED ADVOCACY AND SERVICE DELIVERY NETWORKS FOR WOMEN		
<b>INTERMEDIATE RESULT:</b>	IR 3.3 ENROLLMENT AND RETENTION OF GIRLS IN SCHOOLS OF U.P. INCREASED		
<b>APPROVED:</b>	July 09, 1997		
<b>INDICATOR:</b>	3.3.2 Training module being used in 'X' blocks in UP		
<b>UNIT OF MEASURE:</b>	Number of blocks		
<b>SOURCE DOCUMENT:</b>	UMASS Project Records		
<b>SOURCE ORGANIZATION:</b>	UMASS		
<b>INDICATOR DESCRIPTION:</b>			
<b>YEARS</b>	<b>PLANNED LOW</b>	<b>PLANNED HIGH</b>	<b>ACTUAL</b>
1996			0
1997	1		0
1998	2		2
1999	12		
2000	6		

**COMMENTS:** Data reported for U.S. fiscal year: October 1 to September 31.

1. Since project approval from GOI came in June 97, 1998 actual was achieved in January 1998. Targets for subsequent years have been changed as per the new implementation plan. Activity has been extended to FY 2000.

## **H. ENVIRONMENTAL COMPLIANCE**

No ongoing activities have outstanding implementation actions related to the requirements under 22 CFR 216, such as IEEs or EAs.

For our FY-98 new start in the environment SO, Energy Conservation and Commercialization (ECO), USAID/India will conduct an IEE in consultation with the ANE/BEO as part of the project authorization process. The amendment to the Financial Institution Reform and Expansion (FIRE) activity will also require an IEE in FY 98 for the debt component (FIRE-D). Because of the positive environmental objectives of both the ECO and FIRE-D Activities, a negative determination is anticipated for both.

A new FY-98 start to address the AIDS problems faced by Maharashtra state will require ANE/BEO approval of a categorical exclusion from the 22 CFR 216 requirement since it will provide only technical assistance and training support. The Amendment to the Technical Assistance Support Project (TASP) will also require ANE/BEO approval of a categorical exclusion from the 22 CFR 216 requirement since it too will provide only technical assistance and training support.

The environmental issues related to the Food for Peace Program, including the Food for Work component, will be analyzed by the implementing agencies – CARE and Catholic Relief Services (CRS) in consultation with USAID/India. CARE and CRS intend to comply with USAID requirements to submit either a Categorical Exclusion or IEE for all related activities by the end of FY-98. This will be accomplished in consultation with the MEO and the BHR/BEO.

### **III. STATUS OF MANAGEMENT CONTRACT**

Summary:

In follow up to the FY-99 R4 reporting cable, USAID/India, working in close collaboration with the Global and ANE Bureaus, revised indicators for SOs 1, 2 and 4. The SO 1 and SO 2 indicators have been approved. A new set of SO 4 indicators found in II.D. are presented for approval. Modifications in the baseline data for SO 3 and SPO 3 are also described.

Important modifications are proposed in the status of two SPOs. Effective FY-99 USAID/India proposes to upgrade SPO 1 to full SO status; SPO 1 would become SO 5. Effective June of FY-00 SPO 2 would terminate.

Finally, USAID/India proposes extension of the "Strategic Framework, FY 1994-2000" to FY 2003. A new Strategic Framework would be submitted for approval in calendar year 2001 covering FY 2004-2010.

The changes proposed in the management contract are described in more detail below. A brief status report is provided for each SO and SPO as well.

#### **SO 1 on track**

All actions from FY-99 R4 review reporting cable completed and approved by USAID/W.

Action: None

#### **S0 2 on track**

All actions from FY-99 R4 review reporting cable completed and approved by USAID/W.

Action: None

#### **SO 3 revision of targets**

No Actions required from FY-99 R4 Review Reporting.

The FY-99 Management Contract presented indicators with baseline values and targets drawn from a preliminary survey report by CARE. This data was based on Indian pediatric standards. With USAID/India concurrence, CARE in its final baseline survey used international standards and baseline data and targets were adjusted for SO Indicator 3.2b "Improved nutritional status of young children" (CARE), IR Indicator 3.1.1a "Percentage of children, 12-23 months old, fully immunized by age one" (CARE), IR Indicator 3.2.1a "Percentage of pregnant women, delivered in the past year, who received 90-100 iron-folic acid tablets" (CARE), IR Indicator 3.3.2a

"Percentage of infants who received breast milk and solid/mushy foods at 6-9 months of age (CARE) and IR Indicator 3.3.1a "Percentage of children under 2 reached with supplemental food" (CARE). See footnotes in each of the indicator tables for detailed explanation of the changes.

Action: USAID/India requests that AID/W approve changes in data tables for SO 3.

#### **SO 4 revised indicators, baseline values and targets set**

The SO 4 team has worked very closely with USAID/W to refine and finalize the indicators presented last year. Greater precision has been given to indicator definition; baseline data and targets have been established.

For example, SO Indicator 4.1 has been revised from "Decreased CO<sub>2</sub> emissions per unit of electricity provided" to "Emissions of carbon dioxide equivalents avoided," and the unit of measurement has also changed from "Kg/KWH" to "Million Tons per year." SO Indicator 4.2 has been modified from "Increased number of industries that meet international environmental quality standards" to "Increased number of firms that meet international environmental quality standards in selected industrial sectors." IR Indicator 4.2.1 has been modified from "Increased use of environmental technologies as a percentage of total industrial investment" to "Increased investment by companies in clean environmental technologies."

Action: USAID/India requests that USAID/W approve Data Tables for SO 4 found in I.I.D. immediately following the SO 4 narrative. Approval of this set of indicators will complete the actions for SO 4 from the FY-99 R4 reporting cable.

#### **Full SO status for SPO 1**

Prevention of HIV/AIDS and other infectious diseases is an increasingly high priority for the Agency and USAID/India. Funding for this SPO has grown from \$1.0 million in FY-96 to \$2.4 million in FY-97 to \$9.0 million in FY-98. In response to the new Agency priority with regard to infectious diseases, USAID/India is planning on working in close conjunction with the Global Bureau and partners such as World Health Organization (WHO) and the Center for Disease Control (CDC) to support India's disease surveillance and tuberculosis programs. In response to a request from the GOI, USAID is designing a new HIV/AIDS prevention activity for the state of Maharashtra for initial obligation in FY-98.

Action USAID/W: On the basis of the high priority and increased funding for prevention of HIV/AIDS and other infectious diseases, USAID/India recommends USAID/W approve upgrading SPO 1 to SO status.

Action USAID/India: By September, 1998, USAID/India will submit for USAID/W approval a revised SO 5 with indicators and activity descriptions. USAID/India will work with ANE and G to develop the new SO.

## **Revised Indicator for SPO 1 (SO 5)**

As agreed at FY-99 R4 review SPO Indicator 1.1 was changed in FY-00 R4 from "Percentage of high risk population using condoms in Tamil Nadu" to "Percentage of individuals belonging to specified high-risk groups who report condom use in most recent sexual encounter with a non-regular partner." We find, however, that this is not a very sensitive indicator of desired behavior change. Family Health International consultants advise that, given the relative risks of unprotected sex with commercial sex workers versus other "non regular sex partners", the appropriate measure should focus on commercial sex workers.

Action: USAID/India requests that USAID/W approve a modification of SPO indicator 1.1 to "Percentage of individuals belonging to specified high-risk groups who report condom use in most recent sexual encounter with a commercial sex worker."

## **SPO 2 to terminate in FY-00**

SPO 2 will meet planned objectives by FY-00. Accordingly, SPO 2 will end in FY-00.

FY-99 R4 review reporting cable committed to a study of impact of SPO 2 on employment generation and incomes by ANE and G, subject to availability of time and funding. The study was not undertaken.

Action: USAID/India requests that the recommendation for this study be rescinded.

## **SPO 3 revision of IR indicators**

The targets for IR Indicator 3.1.1 "Increased number of women clients receiving financial services from participating institutions" requires refinement given the gross underestimation of numbers of women to be served per year.

Baseline and target values for IR Indicator 3.3.1, "Increased enrollment of girls in primary schools in one District of U.P." will be determined once the baseline data from the University of Massachusetts (UMASS) and CRS have been obtained. As noted in the text in Section III, however, there may be major problems with using the enrollment data in UP, particularly given the confounding variable of a new grain distribution program related to enrollment. If it is determined that enrollment cannot be used as a measure of impact, USAID/India will provide to USAID/W another measure of impact of this activity.

IR Indicator 3.3.2 has been modified from "Training module being used in 'X' districts in U.P." to "Training module being used in 'X' blocks in one district of U.P." As this is essentially a research/demonstration activity, the funding and time frame as described in the original program document cover only one district in UP. Extension beyond one district depends on the outcomes of the experimental program and the formulation of a strategy for girls education, if additional activity is to be proposed by

USAID/India.

Action: USAID/India will provide to USAID/W by September, 1998 revised targets for Indicator 3.1.1.

USAID/India will inform USAID/W by September 1998 whether enrollment can be used to measure impact for Indicator 3.3.1. At that time we will be proposing alternatives, if it is determined that enrollment is no longer valid.

USAID/India request that USAID/W approve the change in Indicator 3.3.2 from districts to blocks per above.

### **Extension of the "Strategic Framework FY 1994-2000" to FY 2003**

USAID/India proposes the extension of USAID/India's current Strategic Framework which ends in FY 2000, to FY 2003. As noted in the Overview and Resource Sections of this document, more than 75% of USAID India's program is devoted to global issues. This focus is consistent with the priority national interests outlined in the MPP, the Mission Goals in the MPP and USAID Global priorities. For Strategic Objectives that address the Global Issues, we have either recently amended on going activities, or are initiating new ones, effectively extending these SO's beyond the year 2000. In all cases this has been done with USAID/W knowledge and concurrence. For example:

SO 2: As a result of the recent IFPS assessment, the evaluation team, the senior management team, and the USAID/W reviewers have confirmed the validity of the strategy but note that the strategic framework and the activity itself needs to be extended to 2004.

SO 3: Given the new Agency and Congressional focus on micronutrients, we intend to initiate studies that will result in new activities which, if initiated in FY 99, will obviously extend beyond the time frame of the current strategy. We are adding these new program components to vastly expand the potential impact of the Title II program, whose levels are determined not only by results, but by commodity availability, and commodity targets worldwide.

SO 4: Activities financed under this SO address two national interests: Global Climate Change and Economic Prosperity. Given India's importance as a Climate Change priority country we have been developing new results packages to address various aspects of the problem, including energy, transportation, and solid waste. As these activities are slated to begin in FY-98 and FY-99, they, by definition, will extend beyond the year 2000. These activities have been designed jointly with the G Bureau, the USAEP and the DOE, and have been "pre-approved" as deliverables for the upcoming POTUS visit.

SPO 1: As India has the largest number of HIV positive people in the world, and one

of the least well developed disease surveillance systems, greatly increased attention will be paid to both of these issues, when SPO 1 becomes SO 5 and we begin to address HIV/AIDS in Maharashtra (the State with the highest number of HIV and AIDS cases) and the disease surveillance problem nationally. As these activities are to be initiated in FY-98 and FY-99, they will also by definition go beyond the strategy period. The new SO 5 will be submitted to USAID/W for approval by September 1998.

SPO 3: The low status of women in India is a problem that will take generations to solve. To date, all of the activities under this SO have been financed through G mechanisms, all of which already extend beyond the year 2000. If/when we are in a position to design bilateral activities, a new strategy for this SPO would be required.

Activities which are not Global Issues:

SO 1: Based on the capital markets assessment of CDIE, and the successful experience to date of the urban management program, USAID/India has recently extended the FIRE project until the year 2003 when international standards of capacity will have been achieved. Extension of activities is within the authorities of the USAID Mission.

SPO 2: This SPO ends in FY 2000.

Taking into consideration the present status of activities financed under existing SO's -- the majority of which already exceed the time frame of the existing strategic framework -- the fact, that global issues are likely to continue to be a priorities for the USG beyond the year 2000 and the fact that new programming options will be limited by the existing mortgage until the year 2003, we propose that the existing strategic framework be extended to 2003.

In 2001, USAID India will prepare a new strategic framework for 2004 and beyond. This time frame, will allow for the articulation of new/revised priorities by a new Administration and the advance time needed to design new activities which, given resource constraints, will be in 2002 at the earliest.

Action: USAID/India requests that USAID/Washington approve an extension of the current strategic framework for India from 2000 to 2003, and instruct USAID/India to prepare a new strategic framework in the year 2001. In the interim, if significant changes within existing SO's and SPO's emerge, USAID/India will prepare the required documentation to justify such changes.

## IV. RESOURCE REQUEST

### Introduction

USAID/India is a sustainable development mission and as such is implementing strategic objectives in support of all Agency goals. As the portfolio of on going projects evolves into the reengineered system of results packages under SOs, we are planning new initiatives in five of the seven SOs/SPOs in FY 1998 and FY 1999. No additional staffing is requested in support of these planned new initiatives.

### 1. Financial Plan

USAID/India requests the following resource levels to make progress in achieving strategic objectives (SOs) and special objectives (SPOs) in FYs 1998, 1999 and 2000:

	(\$000)		
	<u>FY 1998</u>	<u>FY 1999</u>	<u>FY 2000</u>
Development Assistance	51,345	56,500	51,350
P.L. 480 Title II	90,526	88,770	90,526
Housing Guaranty	9,000	15,000	15,000
	-----	-----	-----
Total:	150,871	160,270	156,876
	-----	-----	-----

About 55 percent of our DA resources and 100 percent of our P.L. 480 Title II resources are managed by NGOs/PVOs.

The attached tables 1, 2 and 3 summarize the above resource request levels by strategic/special objective, and by sectoral account and earmark/directive.

The Development Assistance (DA) program funding request levels are as follows:

FY 1998 - \$51.345 million (FY 1998 NOA OYB level minus Parking Fines)

FY 1999 - \$56.500 million (FY 1999 CP level)

FY 2000 - \$51.350 million (Straightlined FY 1998 NOA OYB level)

Each of these funding levels includes estimated Global Field Support for India. They do not include funding from USAEP with which USAID/India has an on-going partnership.

Funding allocations and percentage variations by sectoral account, i.e., economic growth (including microenterprise and agriculture), child survival and diseases (including AIDS, micronutrient, infectious diseases and polio), population, environment (including global climate change), human capacity development (basic education), and democracy are shown below:

(\$000)

<u>Sector</u>	<u>FY 1998</u>		<u>FY 1999</u>		<u>FY 2000</u>	
	Amt	%	Amt	%	Amt	%
Economic Growth	10,195	20%	9,900	17%	10,300	20%
Child Survival & Diseases	13,969	27%	14,500	26%	12,750	25%
Population	17,181	33%	20,000	35%	17,000	33%
Environment	9,600	19%	11,600	21%	10,600	21%
Human Capacity Dev.	400	1%	300	1%	500	1%
Democracy	0	0%	200	0%	200	0%
Total:	51,345		56,500		51,350	

Approximately 72 percent of our FY 1998 DA level is influenced by required earmark and directive targets. The FY 2000 earmark and directive levels derive from FY 1998 targets. In addition, given that from FY 1999 environment funds will no longer be discretionary, the proportion of our discretionary funds will fall drastically from present 28 percent to about 15 percent in FY 1999 and FY 2000.

The table below shows the estimated attributions of NOA funding levels to the earmark and directive targets. In the process, USAID has made decisions in allocating resources to our SOs and SPOs to meet these earmark/directive targets, while reflecting their importance for achievement of results.

**NOA Attributions in \$000**

<u>Earmark/Directive Description</u>	<u>FY 1998</u>	<u>FY 1999</u>	<u>FY 2000</u>
Child Survival	1,950	3,600	2,250
AIDS	4,300	4,000	5,500
Infectious Diseases	4,719	2,000	1,500
Polio	1,000	1,000	1,000
Micronutrient	2,000	3,900	2,500
Basic Education	400	300	500
Population	17,181	20,000	17,000
Global Climate Change	5,657	4,500	5,000
Environment	0	7,100	5,600
Agriculture	0	1,000	1,000
Microenterprise	0	900	1,200
Total:	37,207	48,300	43,050

Total DA Level	51,345	56,500	51,350
Earmark/Directive Attributions as % of Total DA Level	72%	85%	84%

The above attributions within the request levels are consistent with the priorities of the Agency and the Congress.

Population funding allocations in each of the three fiscal years for IFPS (family planning and reproductive health activity in Uttar Pradesh) under SO 2 are based on projected performance-based commitment and disbursement requirements, and they are the minimum required to meet these requirements. Reflecting the broad objectives of SO 2, we have allocated child survival funding to IFPS in addition to population funding.

The above funding levels assume new and expanded economic growth, child survival, global climate change, HIV/AIDS and human capacity development initiatives in FYs 1998 and 1999 under SOs 1, 3 and 4, and SPOs 1 and 3.

The planned FY 1998-FY 2000 expenditures and the estimated pipeline as of September 30, 2000 for the bilateral DA program by SO/SPO are:

**Planned Expenditures and Estimated Pipeline**  
(\$ 000)

<u>SO/SPO Number</u>	<u>FY 1998</u>	<u>FY 1999</u>	<u>FY 2000</u>	<u>Est. Pipeline 09/30/2000</u>	<u>No. of Years Pipeline at FY 2000 Exp.</u>
SO 1	10,527	5,300	7,500	10,200	1.4
SO 2	13,000	17,000	14,760	37,874	2.6
SO 3	3,353	1,500	3,891	4,400	1.1
SO 4	11,860	18,405	17,900	19,808	1.1
SPO 1	2,170	3,000	5,640	5,279	0.9
SPO 2	1,077	1,525	1,242	0	0
SPO 3	0	200	400	600	1.5
	-----	-----	-----	-----	-----
Total:	41,987	46,930	51,333	78,161	1.5
	-----	-----	-----	-----	-----

The bilateral pipeline will progressively decrease to \$78.2 million as of September 30, 2000 compared to \$109.3 million at the end of FY 1997. About \$16.7 million, or 21 percent, of this pipeline will be in new activities that will have started in FY 1998 or FY 1999. Of the remaining \$61.5 million, \$37.8 million will be in the IFPS Project. As explained in the past, this project requires sufficient pipeline at all times to not only pay for outstanding benchmarks under the performance-based disbursement

(PBD) system, but also to allow us to continuously negotiate new benchmarks with the Government of India and the State Innovations in Family Planning Services Agency (SIFPSA) to maintain implementation momentum. We cannot approve new benchmarks unless we have sufficient funds obligated and available for commitment. It is expected that only \$5 million of the total IFPS pipeline as of September 30, 2000 will remain uncommitted. The balance will have been committed for benchmarks under PBD and other project activities. In sum, we consider the size of the pipeline to be reasonable and within the Agency's norms of 18 months of expenditures and 24 months of OYB. Moreover, almost all of the pipeline will have been committed for approved activities.

## **2. Prioritization of Objectives**

The following is USAID/India's rank ordering of its strategic objectives, as well as special objectives:

- SO 2 - Reduced Fertility and Improved Reproductive Health in North India
- SO 4 - Increased Environmental Protection in Energy, Industry and Cities
- SO 3 - Improved Child Survival and Nutrition in Selected Areas of India
- SO 1 - Increased Capacity of Capital Markets to Mobilize Resources

- SPO 1 - Reduced Transmission of HIV Infection
- SPO 3 - Expanded Advocacy and Service Delivery Networks for Women
- SPO 2 - Increased Investment in Agri-business by Private Firms

**Rationale for Prioritization:** The above ranking of SOs and SPOs is based on the U.S. Mission Performance Plan (MPP) priorities, SO and SPO performance and the relative importance in achieving the Agency objectives, especially global issues targets.

The lowest ranked SOs and SPOs would be significantly reduced and/or terminated should resource constraints make this necessary. The top ranked SOs and SPOs would be protected to the extent feasible.

In FY 1999 we see full SO status for SPO 1 and in FY 2000 we plan to terminate SPO 2.

## **3. Linkage With Centrally Funded Mechanisms**

**Field Support:** USAID/India has several years of positive experience with Global Field Support (GFS) programming and continues to rely heavily on this mechanism to tap US expertise and organizational support. GFS has become critical for the design of new initiatives and experimental activities. GFS provides valuable technical assistance to complement project staff, design specialized operations research efforts and initiate pilot activities that are often critical to the success of many of our programs. While the use of bilateral funds for selected technical assistance activities and operations research is sometimes resisted by the GOI, GFS for the same activities

experiences less resistance. GFS resources together with appropriate levels of in-country support are, therefore, important to USAID's ability to introduce the latest technologies and effectively support field program design and implementation necessary to achieve our strategic objectives.

Currently GFS (including OYB transfers) supports most SOs and SPOs through several Global Bureau projects. Our resource request for FYs 1998, 1999 and 2000 includes GFS and OYB transfers for five of our seven strategic and special objectives. The proposed GFS level of \$19.5 million, \$15.7 million and \$14.8 million for FYs 1998, 1999 and 2000, respectively represents approximately 38 percent of USAID/India's FY 1998 DA country level and about 29 percent of the proposed DA levels for FYs 1999 and 2000. The reduction in GFS levels for FY 1999 and FY 2000 is associated with lower funding for infectious diseases. The ability to use the broad range of GFS technical resources in a variety of complex activities depends on a critical mass of USDH and FSN staff who are able to identify and plan technical support needs and then coordinate and support GFS activities in-country. Without GFS support the achievement of results targets for SOs 2, 3 and 4, and SPOs 1 and 3 would be adversely affected. It would also jeopardize the implementation of the USAID's largest family planning program (IFPS) and would force USAID/India to eliminate some of the cooperative agreements providing critical technical assistance to IFPS.

The above said, if resources grow scarce, especially in the PHN sector, USAID/India will need to reconsider the level of support for GFS. The high cost of GFS and our inability to exercise financial controls in the absence of regular status reports from G Bureau are factors that would weigh in favor of proportionately larger cuts for GFS than other programs should there be a severe cut in DA funding.

Global Field Support for our SO 2, SO 3 and SPO 1 activities is by far the largest component, representing approximately 83 percent of our total GFS resources. For the PHN SOs/SPO, USAID/India requests \$17 million GFS in FY 1998, \$13.3 million in FY 1999 and \$12.3 million in FY 2000. The following table provides GFS levels by sector for FYs 1998, 1999 and 2000. A project-by-project breakup of these GFS requirements, as well as of OYB transfers, is provided in the attached Table 4.

**Global Field Support (\$ 000)**

<u>Sector</u>	<u>FY 1998</u>	<u>FY 1999</u>	<u>FY 2000</u>
PHN	16,976	13,300	12,250
Environment	943	1,000	1,000
	-----	-----	-----
Sub-Total:	17,919	14,300	13,250
OYB Transfers (EG)	1,600	1,200	1,300
OYB Transfers (DG)	0	200	200
	-----	-----	-----
Total:	19,519	15,700	14,750
	-----	-----	-----

**Non-Emergency Title II:** The majority of the Title II program is well integrated into our strategic framework and contributes to the achievement of the child survival strategic objective (SO 3) and the women’s empowerment special objective (SPO 3). The program, managed by CARE and CRS, is a critical resource for improving child survival. Through a superb logistics system the PVOs move food to provide nutritious supplements and ancillary health services to seven million women and children from the most food insecure segments of society. Food is a tangible good, drawing hungry mothers and children who benefit from both the nutrition supplement and the health services and education given in community nutrition centers. Through the CARE program, Title II food and local currency generations are used to enhance the coverage and quality of the GOI’s Integrated Child Development Services (ICDS) program, arguably the largest child survival outreach program in the world. Title II Strengthening Grant funds are being used to support local community organization involvement in ICDS, to train authorities in commodity management, and to provide technical assistance to improve the quality of the services. The CRS Title II program has successfully supported grassroots organizations for years in providing food and essential child survival services at a low cost to the most socially disadvantaged sections of the Indian society - the former untouchables, tribals and other low caste groups. The role of CRS, and now increasingly CARE, in demonstrating program models with a high level of community participation through community mobilization is significant.

A portion of CRS’ Title II program targets school feeding to increase enrolment and retention of girls in schools in far-flung disadvantaged communities. CRS’ NGO counterparts have for years been promoting girls’ education and have successfully created a demand for it in tribal areas. CRS’ boarding schools for girls, while modest operations, offer a means to schooling in remote areas where often there is no alternative.

The Title II partners are also important to USAID’s ability for rapid response to natural disasters. During the earthquake in Madhya Pradesh and persistent drought in Orissa, both CARE and CRS were able to provide immediate assistance to victims through the existing Title II infrastructure. Without Title II resources, our efforts to improve child survival and nutrition in seven states would be seriously jeopardized, and our ability to respond to emergencies would be hampered.

**Resources Request**

P.L. 480 Title II	FY 1998	FY 1999	FY 2000
Tonnage	187,170	206,994	200,864
Value (\$000)	90,526	88,770	90,526

\* Dollar values are subject to change due to commodity price fluctuations and include ocean freight.

**Housing Guaranty Program:** Under the RUDO-supported Housing Guaranty (HG) Program, HG loan resources are being provided for two important strategic objectives: SO 1, Increased Mobilization of Capital Through Financial Sector Reforms; and SO 4, Increased Environmental Protection in Energy, Industry and Cities.

Housing Guaranty authority is essential for USAID/India since it supports activities which are important to both the financial markets program and the SO 4 global climate change initiative. HG authorizations support the expansion of India's private shelter finance sector and urban infrastructure, and that extends benefits to low-income families. The program has successfully contributed to linking community-based financial institutions more effectively into the resources of the formal financial sector. HG authorizations support a program to help India create a debt market to finance the massive backlog of basic urban environmental infrastructure. The program focuses on water supply, sewage treatment and solid waste management. It provides \$125 million in HG loan funds, as well as technical assistance and training, to generate commercially viable urban environmental infrastructure projects for which municipal bonds are issued. The first USAID-supported commercially viable urban infrastructure project for a water supply and sewage treatment system in Tirrupur, Tamil Nadu, has been developed and financed through HG loan borrowings. The first-ever municipal bond in India has been issued by Ahmedabad Municipal Corporation with USAID assistance. The success of this issue has generated considerable interest among other local governments for accessing capital market for mobilization of resources for investment in municipal infrastructure programs, such as Pune and Vijayawada Municipal Corporations.

USAID/India requests HG authorizations of \$9 million in FY 1998, and \$15 million each in FYs 1999 and 2000. In addition, beginning in FY 1999, USAID plans to explore use of the new Development Credit Authority for SO 1 and SO 4.

#### **4. Workforce and Operating Expenses**

##### **Operating Expenses:**

**Summary:** USAID/India will need resources above the targets provided by the Bureau for FY 1999 and FY 2000. FY 1999 will be our 'move' year and as a result we request an additional \$300,000 above the target for these one-time costs. In FY 2000, our request will be lower than FY 1999 but above the FY 1998 level. Because we will no longer be paying office rent in FY 2000 we will be able to fund increases in FSN wages, residential rents, travel and transportation, utility costs and supplies with only a nominal increase over the FY 1998 level. Recent changes in funding mechanisms for IDIs and computer upgrades will also impact our budget in both FY 1999 and FY 2000.

**Total funding:** In FY 1999 the target level provided by USAID/W is \$3.7 million whereas our requirement is \$4.1 million (excluding ICASS). Similarly, the FY 2000 target funding level provided on a straightline basis is \$3.7 million, which falls short

of our expected requirement of just below \$4 million. The reasons provided below support our request for the higher levels.

Office rent: Until we co-locate with the Embassy in the summer of 1999 we will be paying rent of \$285,000 per year. This is the final year of our 10-year lease and currently a bargain in New Delhi. One of the deciding factors in moving to the Embassy compound was the prospect of paying \$850,000 to \$1 million per year in office rent. This alone would have increased our OE budget by 15 to 20%. We are investing additional funds in FY 1999 to save money in the out years.

FSN Wages: The ICASS Council has encouraged the service provider (STATE) to fund FSN wage increases and expand health insurance benefits in an effort to achieve comparability with the market. We have provided only a 15% pay increase each year, which is much lower than the increase of 25% expected by the Embassy, and at that it is only in the 60th percentile of what comparator organizations pay. The recent salary increase of 40% by the GOI will mount pressure on us to give higher salary increases in FY 1999 and FY 2000. For USAID/India, FSN salaries make up the lion's share of our OE costs and will have considerable impact on our FY 1999 and FY 2000 budget requirements.

Utility costs: The electricity rates, which historically have cost on average \$5,200 per residence per year, were increased in April 1997 by 25%. This applies to both commercial and domestic consumption. With privatization being encouraged, another increase is expected soon which will increase our utility costs and other related expense areas for FY 1999 and beyond.

'Move': Costs estimated to be \$100,000 related to the physical move of our entire Mission operation will have to be funded during FY 1999. At the same time, we will still have to fund the costs of maintaining a separate building. There will be an estimated \$50,000 charge related to systems design and de-installation/ reinstallation of our Computer Center in the West Building. Beyond that, the 'move' provides a convenient time to upgrade our computer hardware to comply with Agency standards. On March 10, 1998 USAID/W issued new standards for Agency "IM" profile. The new profile dictates a worldwide standard based on WIN 95, utilizing Office '97 and a new virus checker. While USAID/India has positioned itself to shift smoothly to this standard we will still require an additional \$150,000 to fund the remaining transition costs and to ensure we are Y2K compliant. The required hardware and software purchases are not possible with the current FY 1999 target funding level.

Housing: Even though USAID had joined the Embassy housing pool effective April 1997, the entry of multi-nationals into India has increased the competition in the housing sector. Property owners have set a trend of huge rents with advance payments for as high as 18-24 months. Lease agreements are not written for periods exceeding two to three years and the landlords expect an increase of 50-100% in the rent each time the lease is renewed. Even though there are fewer units it has still increased our residential rent requirements in FY 1999 and FY 2000 considerably.

NXP: In case the requested levels are not met in FY 1999 and FY 2000 we will not be eliminating any SOs but will be covering the shortfall by not replacing NXP and delaying compliance with Agency IM standards. This is only a short-term measure to meet the target. The ICASS Council is promoting the innovative idea of establishing an interagency residential equipment pool which will be a cost effective means of sharing common residential equipment. With the target level in FY 2000, we foresee a problem in not being a "team player" in this initiative. Additionally, the budget level will have an adverse effect on the motor pool and other operations resulting from not replacing vehicles and other NXP.

ICASS: ICASS costs will only increase nominally in FY 1999 but will increase substantially in FY 2000. This is almost entirely related to office support costs as a result of co-locating with the Embassy. Our calculations show that our ICASS bill will almost double from \$370,000 in FY 1998 to \$649,000 in FY 2000. This will be offset by not paying direct office rent (estimated to be > \$850,000) to a commercial landlord. Additionally, because increased ICASS costs will be paid into the ICASS pool the USG as a whole will achieve substantial savings.

**Workforce:** India being designated a fully sustainable mission we are not recommending any major cuts in the staffing levels. In FY 1998, the USDH level (not including two USDH working in RUDO) was reduced from 13 (and one IDI) to 13 (no IDI) as the IDI converted to DH status. In FY 1999 and FY 2000, the level will stay at 13 (and the mission will add one IDI).

On the FSN side there are no major cuts proposed as we are already operating with limited staff. As mentioned in the last R4 narrative, we had reviewed our staffing needs based on reengineering precepts and eliminated positions where found redundant. In addition, we have recently undergone a revision of our staffing based on requirements of each team/division and concluded that, except for attrition through retirement, no other position need be eliminated.

There may be only marginal savings of staff due to ICASS services being taken over after the move to the Embassy compound. The support staff reductions will be offset by a requirement for additional FSN professional staff needed to support program initiatives. Our continued reliance on FSNs in lieu of USDH and USPSCs has resulted in effectively managing one of the largest programs with the least staff when compared to other missions in the Bureau.

**Accrued Separation Liability:** USAID/India has fully funded its separation liability for prior years and the attached R4 tables provide for full separation liability accruing at the end of each fiscal year.

# **TABLES**

USAID FY 1998 BUDGET REQUEST BY PROGRAM/COUNTRY

Table 1

Country/Program: INDIA  
Scenario: Base Level

S.O. # , Title	Approp. Acct	Bilateral/Field Support	Act. SO Pipeline End of FY 97	Estimated Total	FY 1998										Future Cost (POST 2000)	Year of Final Oblig.	
					Basic Education	Agric.	Other Economic Growth	Pop	Child Survival	Infectious Diseases	HIV/AIDS	Other Health	Environ	D/G			Est. Expend. FY 98
<b>S.O. 1: Increased Capacity of Capital Markets to Mobilize Resources</b>																	
DA	Bilateral	10,594	7,300	0	0	7,300	0	0	0	0	0	0	0	0	10,527	72,367	2003
	Field Spt		0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	Total	10,594	7,300	0	0	7,300	0	0	0	0	0	0	0	10,527	72,367		
HG	Bilateral		4,500	0	0	4,500	0	0	0	0	0	0	0	0	0	0	2003
	Total	0	4,500	0	0	4,500	0	0	0	0	0	0	0	0	0		
<b>S.O. 2: Reduced Fertility and Improved Reproductive Health in North India</b>																	
DA	Bilateral	48,660	9,474	0	0	0	6,981	2,493	0	0	0	0	0	0	13,000	237,700	2004
	Field Spt		10,200	0	0	0	10,200	0	0	0	0	0	0	0	100,000	0	
	Total	48,660	19,674	0	0	0	17,181	2,493	0	0	0	0	0	13,000	337,700		
<b>S.O. 3: Improved Child Survival &amp; Nutrition in Selected Areas of India</b>																	
DA	Bilateral	5,844	900	0	0	0	0	900	0	0	0	0	0	0	3,353	25,600	2003
	Field Spt		1,557	0	0	0	0	1,557	0	0	0	0	0	0	13,607	0	
	Total	5,844	2,457	0	0	0	0	2,457	0	0	0	0	0	3,353	39,207		
Title II	Bilateral		90,526	5,901	0	6,799	0	75,989	0	0	1,837	0	0	0	0	0	Open
	Total		90,526	5,901	0	6,799	0	75,989	0	0	1,837	0	0	0	0		
<b>S.O. 4: Increased Environmental Protection in Energy, Industry and Cities</b>																	
DA	Bilateral	37,116	8,657	0	0	0	0	0	0	0	0	8,657	0	11,860	147,383	2005	
	Field Spt		943	0	0	0	0	0	0	0	0	943	0	0	8,000		
	Total	37,116	9,600	0	0	0	0	0	0	0	0	9,600	0	11,860	155,383		
HG	Bilateral		4,500	0	0	0	0	0	0	0	0	4,500	0	0	0	2003	
	Total	0	4,500	0	0	0	0	0	0	0	0	4,500	0	0	0		
<b>SP. O. 1: Reduced Transmission of HIV Infection</b>																	
DA	Bilateral	4,489	3,800	0	0	0	0	0	3,800	0	0	0	0	2,170	30,000	2003	
	Field Spt		5,219	0	0	0	0	0	4,719	500	0	0	0	17,719	0		
	Total	4,489	9,019	0	0	0	0	0	4,719	4,300	0	0	0	2,170	47,719		
<b>SP. O. 2: Increased Investment in Agri-business by Private Firms:</b>																	
DA	Bilateral	2,549	1,295	0	0	1,295	0	0	0	0	0	0	0	1,077	20,000	1998	
	Field Spt		0	0	0	0	0	0	0	0	0	0	0	0	0		
	Total	2,549	1,295	0	0	1,295	0	0	0	0	0	0	0	1,077	20,000		
<b>SP. O. 3: Expanded Advocacy and Service Delivery Networks for Women</b>																	
DA	Bilateral	0	400	400	0	0	0	0	0	0	0	0	0	0	2,000	2002	
	Field Spt		1,600	0	1,600	0	0	0	0	0	0	0	0	0	10,000		
	Total	0	2,000	400	1,600	0	0	0	0	0	0	0	0	0	12,000		
Total Bilateral DA		109,252	31,826	400	0	8,595	6,981	3,393	0	3,800	0	8,657	0	41,987	535,050		
Total Field Support DA		0	19,519	0	1,600	0	10,200	1,557	4,719	500	943	0	0	149,326	0		
Total DA		109,252	51,345	400	0	10,195	17,181	4,950	4,719	4,300	9,600	0	41,987	684,376	0		
PL 480 Title II			90,526	5,901	0	6,799	0	75,989	0	0	1,837	0	0	0	0		
Housing Guaranty			9,000	0	4,500	0	0	0	0	0	4,500	0	0	0	0		
<b>TOTAL PROGRAM</b>		<b>109,252</b>	<b>150,871</b>	<b>6,301</b>	<b>0</b>	<b>21,494</b>	<b>17,181</b>	<b>80,939</b>	<b>4,719</b>	<b>4,300</b>	<b>1,837</b>	<b>14,100</b>	<b>0</b>	<b>41,987</b>	<b>684,376</b>		

FY 1998 Request Sector Totals -- DA	
Econ Growth	10,195
[Of which Microenterpris	0
HCD	400
PHN	31,150
Environment	9,600
[Of which Biodiversity]	0
Democracy	0
Humanitarian	0

FY 1998 Request Sector Totals -- ESF	
Econ Growth	0
[Of which Microenterprise]	0
HCD	0
PHN	0
Environment	0
[Of which Biodiversity]	0
Democracy	0
Humanitarian	0

	DA	Title II	HG	Total
FY 2001 Target Program Level	55,000	90,500	15,000	160,500
FY 2002 Target Program Level	55,000	90,500	15,000	160,500
FY 2003 Target Program Level	55,000	90,500	15,000	160,500

- Notes: 1. Environment Funds include attributions to Global Climate Change.  
2. Pipeline and Estimated Expenditures data is for bilateral DA funds only. Est. Total Cost life of SO is for both, bilateral and field support DA funds.  
3. SP.O. 3 Field Support represents OYB Transfers to Global Bureau.

USAID FY 1999 BUDGET REQUEST BY PROGRAM/COUNTRY

Table 2

Country/Program: INDIA  
Scenario: Base Level

S.O. # , Title	Approp. Acct	Bilateral/Field Support	Est. SO Pipeline End of FY 98	Estimated Total	FY 1999										Est. Total Cost life of SO	Future Cost (POST 2000)	Year of Final Oblig.
					Basic Education	Agric.	Other Growth	Pop	Child Survival	Infectious Diseases	HIV/AIDS	Other Health	Environ	D/G			
<b>S.O. 1: Increased Capacity of Capital Markets to Mobilize Resources</b>																	
DA	Bilateral		7,300	7,700	0	0	7,700	0	0	0	0	0	0	0	5,300	83,867	2003
	Field Spt			0	0	0	0	0	0	0	0	0	0	0	0		
	Total		7,300	7,700	0	0	7,700	0	0	0	0	0	0	5,300	83,867		
HG	Bilateral			7,500	0	0	7,500	0	0	0	0	0	0	0	0	0	2003
	Total		0	7,500	0	0	7,500	0	0	0	0	0	0	0	0		
<b>S.O. 2: Reduced Fertility and Improved Reproductive Health in North India</b>																	
DA	Bilateral		45,134	14,000	0	0	0	10,600	3,400	0	0	0	0	0	17,000	237,700	2004
	Field Spt			9,400	0	0	0	9,400	0	0	0	0	0	0	100,000		
	Total		45,134	23,400	0	0	0	20,000	3,400	0	0	0	0	17,000	337,700		
<b>S.O. 3: Improved Child Survival &amp; Nutrition in Selected Areas of India</b>																	
DA	Bilateral		3,391	3,900	0	0	0	0	3,900	0	0	0	0	0	1,500	25,600	2003
	Field Spt			1,200	0	0	0	0	1,200	0	0	0	0	0	13,607		
	Total		3,391	5,100	0	0	0	0	5,100	0	0	0	0	1,500	39,207		
Title II	Bilateral			88,770	5,943	0	7,017	0	73,970	0	0	1,840	0	0			Open
	Total			88,770	5,943	0	7,017	0	73,970	0	0	1,840	0	0			
<b>S.O. 4: Increased Environmental Protection in Energy, Industry and Cities</b>																	
DA	Bilateral		33,913	11,600	0	1,000	0	0	0	0	0	0	10,600	0	18,405	145,583	2005
	Field Spt			1,000	0	0	0	0	0	0	0	0	1,000	0	8,000		
	Total		33,913	12,600	0	1,000	0	0	0	0	0	0	11,600	0	153,583		
HG	Bilateral			7,500	0	0	0	0	0	0	0	0	7,500	0	0	0	2003
	Total		0	7,500	0	0	0	0	0	0	0	0	7,500	0	0		
<b>SP. O. 1: Reduced Transmission of HIV Infection</b>																	
DA	Bilateral		6,119	3,300	0	0	0	0	0	3,300	0	0	0	0	3,000	30,000	2003
	Field Spt			2,700	0	0	0	0	0	2,000	700	0	0	0	17,719		
	Total		6,119	6,000	0	0	0	0	0	2,000	4,000	0	0	0	3,000	47,719	
<b>SP. O. 2: Increased Investment in Agri-business by Private Firms:</b>																	
DA	Bilateral		2,767	0	0	0	0	0	0	0	0	0	0	0	1,525	20,000	1998
	Field Spt			0	0	0	0	0	0	0	0	0	0	0	0		
	Total		2,767	0	0	0	0	0	0	0	0	0	0	1,525	20,000		
<b>SP. O. 3: Expanded Advocacy and Service Delivery Networks for Women</b>																	
DA	Bilateral		400	300	300	0	0	0	0	0	0	0	0	200	2,000	2002	
	Field Spt			1,400	0	1,200	0	0	0	0	0	0	200	10,000			
	Total		400	1,700	300	1,200	0	0	0	0	0	0	200	12,000			
Total Bilateral DA			99,024	40,800	300	1,000	7,700	10,600	7,300	0	3,300	0	10,600	0	46,930	544,750	
Total Field Support DA			0	15,700	0	0	1,200	9,400	1,200	2,000	700	0	1,000	200	0	149,326	
Total DA			99,024	56,500	300	1,000	8,900	20,000	8,500	2,000	4,000	0	11,600	200	46,930	694,076	
PL 480 Title II				88,770	5,943	0	7,017	0	73,970	0	0	1,840	0	0			
Housing Guaranty				15,000	0	0	7,500	0	0	0	0	0	7,500	0	0		
<b>TOTAL PROGRAM</b>			<b>99,024</b>	<b>160,270</b>	<b>6,243</b>	<b>1,000</b>	<b>23,417</b>	<b>20,000</b>	<b>82,470</b>	<b>2,000</b>	<b>4,000</b>	<b>1,840</b>	<b>19,100</b>	<b>200</b>	<b>46,930</b>	<b>694,076</b>	

FY 1999 Request Sector Totals -- DA	
Econ Growth	9,900
[Of which Microenterpris	900
HCD	300
PHN	34,500
Environment	11,600
[Of which Biodiversity]	0
Democracy	200
Humanitarian	0

FY 1999 Request Sector Totals -- ESF	
Econ Growth	0
[Of which Microenterprise]	0
HCD	0
PHN	0
Environment	0
[Of which Biodiversity]	0
Democracy	0
Humanitarian	0

	DA	Title II	HG	Total
FY 2001 Target Program Level	55,000	90,500	15,000	160,500
FY 2002 Target Program Level	55,000	90,500	15,000	160,500
FY 2003 Target Program Level	55,000	90,500	15,000	160,500

- Notes: 1. Environment Funds include attributions to Global Climate Change.  
2. Pipeline and Estimated Expenditures data is for bilateral DA funds only.  
3. Est. Total Cost life of SO is for both, bilateral and field support DA funds.  
4. SP.O. 3 Field Support represents OYB Transfers to Global Bureau.  
5. Estimated SO 1 pipeline end of FY 1998 is after deobligation of \$67,000.

USAID FY 2000 BUDGET REQUEST BY PROGRAM/COUNTRY

Table 3

Country/Program: INDIA  
Scenario: Base Level

S.O. # , Title	Approp. Acct	Bilateral/Field Support	Est. SO Pipeline End of FY 99	Estimated Total	FY 2000										Est. Total Cost life of SO	Future Cost (POST 2000)	Year of Final Oblig.	
					Basic Education	Agric.	Other Growth	Pop	Child Survival	Infectious Diseases	HIV/AIDS	Other Health	Environ	D/G				Est. Expend. FY 2000
<b>S.O. 1: Increased Capacity of Capital Markets to Mobilize Resources</b>																		
DA	Bilateral		9,700	8,000	0	0	8,000	0	0	0	0	0	0	0	7,500	83,867	28,000	2003
	Field Spt			0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	Total		9,700	8,000	0	0	8,000	0	0	0	0	0	0	0	7,500	83,867	28,000	
HG	Bilateral			7,500	0	0	7,500	0	0	0	0	0	0	0	0	0	0	2003
	Total		0	7,500	0	0	7,500	0	0	0	0	0	0	0	0	0	0	
<b>S.O. 2: Reduced Fertility and Improved Reproductive Health in North India</b>																		
DA	Bilateral		42,134	10,500	0	0	0	8,500	2,000	0	0	0	0	0	14,760	237,700	125,426	2004
	Field Spt			8,500	0	0	0	8,500	0	0	0	0	0	0	0	100,000	14,444	
	Total		42,134	19,000	0	0	0	17,000	2,000	0	0	0	0	0	14,760	337,700	139,870	
<b>S.O. 3 Improved Child Survival &amp; Nutrition in Selected Areas of India</b>																		
DA	Bilateral		5,791	2,500	0	0	0	0	2,500	0	0	0	0	0	3,891	25,600	9,600	2003
	Field Spt			1,250	0	0	0	0	1,250	0	0	0	0	0	0	13,607	2,800	
	Total		5,791	3,750	0	0	0	0	3,750	0	0	0	0	0	3,891	39,207	12,400	
Title II	Bilateral			90,526	5,901	0	6,799	0	75,989	0	0	1,837	0	0	0	0	0	Open
	Total			90,526	5,901	0	6,799	0	75,989	0	0	1,837	0	0	0	0	0	
<b>S.O. 4: Increased Environmental Protection in Energy, Industry and Cities</b>																		
DA	Bilateral		27,108	10,600	0	1,000	0	0	0	0	0	0	9,600	0	17,900	145,583	43,928	2005
	Field Spt			1,000	0	0	0	0	0	0	0	0	1,000	0	0	8,000	5,057	
	Total		27,108	11,600	0	1,000	0	0	0	0	0	0	10,600	0	17,900	153,583	48,985	
HG	Bilateral			7,500	0	0	0	0	0	0	0	0	7,500	0	0	0	0	2003
	Total		0	7,500	0	0	0	0	0	0	0	0	7,500	0	0	0	0	
<b>SP. O. 1: Reduced Transmission of HIV Infection</b>																		
DA	Bilateral		6,419	4,500	0	0	0	0	0	4,500	0	0	0	0	5,640	30,000	12,680	2003
	Field Spt			2,500	0	0	0	0	0	1,500	1,000	0	0	0	0	17,719	6,000	
	Total		6,419	7,000	0	0	0	0	0	1,500	5,500	0	0	0	5,640	47,719	18,680	
<b>SP. O. 2: Increased Investment in Agri-business by Private Firms:</b>																		
DA	Bilateral		1,242	0	0	0	0	0	0	0	0	0	0	0	1,242	20,000	0	1998
	Field Spt			0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	Total		1,242	0	0	0	0	0	0	0	0	0	0	0	1,242	20,000	0	
<b>SP. O. 3: Expanded Advocacy and Service Delivery Networks for Women</b>																		
DA	Bilateral		500	500	500	0	0	0	0	0	0	0	0	0	400	2,000	800	2,002
	Field Spt			1,500	0	1,300	0	0	0	0	0	0	200	0	0	10,000	3,603	
	Total		500	2,000	500	0	1,300	0	0	0	0	0	200	0	400	12,000	4,403	
Total Bilateral DA			92,894	36,600	500	1,000	8,000	8,500	4,500	0	4,500	0	9,600	0	51,333	544,750	220,434	
Total Field Support DA			0	14,750	0	0	1,300	8,500	1,250	1,500	1,000	0	1,000	200	0	149,326	31,904	
Total DA			92,894	51,350	500	1,000	9,300	17,000	5,750	1,500	5,500	0	10,600	200	51,333	694,076	252,338	
PL 480 Title II				90,526	5,901	0	6,799	0	75,989	0	0	1,837	0	0	0	0	0	
Housing Guaranty				15,000	0	0	7,500	0	0	0	0	0	7,500	0	0	0	0	
<b>TOTAL PROGRAM</b>			<b>92,894</b>	<b>156,876</b>	<b>6,401</b>	<b>1,000</b>	<b>23,599</b>	<b>17,000</b>	<b>81,739</b>	<b>1,500</b>	<b>5,500</b>	<b>1,837</b>	<b>18,100</b>	<b>200</b>	<b>51,333</b>	<b>694,076</b>	<b>252,338</b>	

FY 2000 Request Sector Totals -- DA	
Econ Growth	10,300
[Of which Microenterpris	1,000
HCD	500
PHN	29,750
Environment	10,600
[Of which Biodiversity]	0
Democracy	200
Humanitarian	0

FY 2000 Request Sector Totals -- ESF	
Econ Growth	0
[Of which Microenterprise]	0
HCD	0
PHN	0
Environment	0
[Of which Biodiversity]	0
Democracy	0
Humanitarian	0

	DA	Title II	HG	Total
FY 2001 Target Program Level	55,000	90,500	15,000	160,500
FY 2002 Target Program Level	55,000	90,500	15,000	160,500
FY 2003 Target Program Level	55,000	90,500	15,000	160,500

- Notes: 1. Environment Funds include attributions to Global Climate Change.  
 2. Pipeline and Estimated Expenditures data is for bilateral DA funds only.  
 Est.Total Cost and Post FY 2000 cost is for both, bilateral and field support DA funds.  
 3. SP.O. 3 Field Support represents OYB Transfers to Global Bureau.  
 4. SP.O. 2 is planned for termination at the end of FY 2000 with unfunded mortgage.

USAID/INDIA  
GLOBAL FIELD SUPPORT

Table 4

Objective Name	Field Support: Activity Title and Number	Priority	Duration	Estimated Funding (\$ 000)						
				FY 1998		FY 1999		FY 2000		
				Obligated By Operating Unit	Obligated By Global Bureau	Obligated By Operating Unit	Obligated By Global Bureau	Obligated By Operating Unit	Obligated By Global Bureau	
<b>A) GLOBAL FIELD SUPPORT</b>										
<b>SO. 2: Reduced Fertility and Improved Reproductive Health in North India</b>										
<b>Population Funds:</b>										
936-3024	Population Technical Assistance	High	1998		80		0		0	
936-3030	Strategies for Improving Serv. Delivery	High	1998-2000		500		400		300	
936-3038	FP Logistics Management	High	1999-2000		0		200		200	
936-3044	CONRAD	High	1998-2000		200		200		200	
936-3046	Res. for the Aware. of POP Inputs (BUCEN)	High	1998-1999		400		200		0	
936-3050	The Population Council Program	High	1998-2000		100		100		100	
936-3052	Population Communication Services II	High	1998-2000		600		500		400	
936-3058	Ccop. for Assistance and Relief Everywhere	High	1998-2000		0		300		200	
936-3059	Access to FP Thru Women Management	High	1998-2000		0		1,100		1,000	
936-3068	Asso. for Vol. Surgical Contracep. Program	High	1998-2000		1,500		1,400		1,400	
936-3072	PRIME	High	1998-2000		2,000		1,800		1,500	
936-3078	Policy	High	1998-2000		1,300		800		900	
936-3083.03	MEASURE III	High	1998-2000		400		400		500	
936-3085	Commercial Markets (SOMARC)	High	1998-2000		2,200		1,800		1,800	
936-5968	Program for Appropriate Technologies in Health	High	1998		720		0		0	
	AAAS Fellow	High	1998-1999		200		200		0	
<b>Total SO. 2:</b>					<b>0</b>	<b>10,200</b>	<b>0</b>	<b>9,400</b>	<b>0</b>	<b>8,500</b>
<b>SO. 3: Improved Child Survival and Nutrition in Selected Areas of India</b>										
<b>Child Survival Funds:</b>										
936-3080	Child Health Immunization Support (Polio Eradication)	High	1998-2000		1,000		1,000		1,000	
936-3094	OMNI (Follow-on)	High	1998-2000		125		100		125	
936-3096.01	Flagship	High	1998-2000		125		100		125	
<b>Child Survival/Micronutrient Funds:</b>										
936-3083.01	MEASURE I	High	1998		307		0		0	
<b>Total SO. 3:</b>					<b>0</b>	<b>1,557</b>	<b>0</b>	<b>1,200</b>	<b>0</b>	<b>1,250</b>
<b>SO. 4: Increased Environmental Protection in Energy, Industry and Cities</b>										
<b>Environment Funds:</b>										
936-5741	Energy Technology Innovation (Sustainable Energy Program for India)	High	1998-2000		943		1,000		1,000	
<b>Total SO. 4:</b>					<b>0</b>	<b>943</b>	<b>0</b>	<b>1,000</b>	<b>0</b>	<b>1,000</b>
<b>SPO. 1: Reduced Transmission of HIV Infection</b>										
<b>AIDS Funds:</b>										
936-3090.02	Family Health International/IMPACT	High	1998-2000		250		0		750	
936-5994.03	Environment Health Project (For CDC)	High	1998		250		0		250	
<b>Infectious Diseases Funds</b>										
936-5986	Child Health Research Project (For INCLN)	High	1998-2000		2,200		0		500	
936-5994.03	Environment Health Project (For CDC)	High	1998-2000		500		0		500	
936-5994	Environment Health Project (For Grants to WHO)	High	1998-2000		2,019		0		500	
<b>Total SPO. 1:</b>					<b>0</b>	<b>5,219</b>	<b>0</b>	<b>2,700</b>	<b>0</b>	<b>2,500</b>
<b>TOTAL GLOBAL FIELD SUPPORT:</b>					<b>0</b>	<b>17,919</b>	<b>0</b>	<b>14,300</b>	<b>0</b>	<b>13,250</b>
<b>B) OYB TRANSFERS</b>										
<b>SPO. 3: Expanded Advocacy and Service Delivery Networks for Women</b>										
<b>Economic Growth Funds</b>										
936-0100	WID Strategies and Resources	High	1998-2000		0		1,600		1,100	
<b>Economic Growth/Microenterprise Funds</b>										
936-0100	WID Strategies and Resources	High	1999-2000		0		0		200	
<b>Democracy Funds</b>										
936-0100	WID Strategies and Resources	High	1999-2000		0		0		200	
<b>Total SPO. 3:</b>					<b>0</b>	<b>1,600</b>	<b>0</b>	<b>1,400</b>	<b>0</b>	<b>1,500</b>
<b>TOTAL OYB TRANSFERS:</b>					<b>0</b>	<b>1,600</b>	<b>0</b>	<b>1,400</b>	<b>0</b>	<b>1,500</b>
<b>GRAND TOTAL: (GLOBAL FIELD SUPPORT AND OYB TRANSFERS)</b>					<b>0</b>	<b>19,519</b>	<b>0</b>	<b>15,700</b>	<b>0</b>	<b>14,750</b>

Operating Expenses

Table 5

Org. Title: USAID/INDIA Org. No: 23386 OC		Overseas Mission Budgets														
		FY 1998			FY 1999 Target			FY 1999 Request			FY 2000 Target			FY 2000 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
Org. Title: USAID/INDIA		Overseas Mission Budgets														
Org. No: 23386		FY 1998			FY 1999 Target			FY 1999 Request			FY 2000 Target			FY 2000 Request		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total

Operating Expenses

Table 5

Org. Title: USAID/INDIA Org. No: 23386 OC		Overseas Mission Budgets														
		FY 1998			FY 1999 Target			FY 1999 Request			FY 2000 Target			FY 2000 Request		
		Dollars	TF	Total	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			Do not enter data on this line		
11.1	Base Pay & pymt. for annual leave balances - FNDH	112.5		112.5	120.6		120.6	120.6		120.6	114.9		114.9	114.9		114.9
	Subtotal OC 11.1	112.5	0.0	112.5	120.6	0.0	120.6	120.6	0.0	120.6	114.9	0.0	114.9	114.9	0.0	114.9
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			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	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			Do not enter data on this line		
11.5	USDH			0.0			0.0			0.0			0.0			0.0
11.5	FNDH	0.4		0.4	0.8		0.8	0.8		0.8	0.6		0.6	0.6		0.6
	Subtotal OC 11.5	0.4	0.0	0.4	0.8	0.0	0.8	0.8	0.0	0.8	0.6	0.0	0.6	0.6	0.0	0.6
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			Do not enter data on this line		
11.8	USPSC Salaries			0.0			0.0			0.0			0.0			0.0
11.8	FN PSC Salaries	843.6		843.6	1,023.4		1,023.4	1,023.4		1,023.4	1,141.3		1,141.3	1,141.3		1,141.3
11.8	IPA/Details-In/PASAs/RSSAs Salaries			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 11.8	843.6	0.0	843.6	1,023.4	0.0	1,023.4	1,023.4	0.0	1,023.4	1,141.3	0.0	1,141.3	1,141.3	0.0	1,141.3
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			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			Do not enter data on this line		
12.1	Educational Allowances	144.0		144.0	211.2		211.2	211.2		211.2	261.0		261.0	261.0		261.0
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	2.1		2.1	3.5		3.5	3.5		3.5	2.1		2.1	2.1		2.1
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			Do not enter data on this line		
12.1	Payments to the FSN Separation Fund - FNDH	1.1		1.1	1.7		1.7	1.7		1.7	1.4		1.4	1.4		1.4
12.1	Other FNDH Benefits	37.6		37.6	23.0		23.0	23.0		23.0	25.1		25.1	25.1		25.1
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			Do not enter data on this line		
12.1	Payments to the FSN Separation Fund - FN PSC	40.1		40.1	34.1		34.1	34.1		34.1	38.0		38.0	38.0		38.0
12.1	Other FN PSC Benefits	204.4		204.4	236.4		236.4	236.4		236.4	260.5		260.5	260.5		260.5
12.1	IPA/Detail-In/PASA/RSSA Benefits			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 12.1	429.3	0.0	429.3	509.9	0.0	509.9	509.9	0.0	509.9	588.1	0.0	588.1	588.1	0.0	588.1
13	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			Do not enter data on this line		
13	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			Do not enter data on this line		
13	Severance Payments for FNDH			0.0			0.0			0.0			0.0			0.0
13	Other Benefits for Former Personnel - FNDH			0.0			0.0			0.0			0.0			0.0
13	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			Do not enter data on this line		
13	Severance Payments for FN PSCs			0.0			0.0			0.0			0.0			0.0
13	Other Benefits for Former Personnel - FN PSCs			0.0			0.0			0.0			0.0			0.0

Operating Expenses

Table 5

Org. Title: USAID/INDIA Org. No: 23386 OC		Overseas Mission Budgets														
		FY 1998			FY 1999 Target			FY 1999 Request			FY 2000 Target			FY 2000 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
Subtotal OC 13.0		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	
21	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			Do not enter data on this line		
21	Training Travel	55.0		55.0	55.0		55.0		55.0	60.5		60.5	60.5		60.5	
21	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			Do not enter data on this line		
21	Post Assignment Travel - to field	13.5		13.5	22.5		22.5		22.5	13.5		13.5	13.5		13.5	
21	Assignment to Washington Travel	10.5		10.5	12.5		12.5		12.5	8.0		8.0	8.0		8.0	
21	Home Leave Travel	18.5		18.5	42.0		42.0		42.0	36.0		36.0	36.0		36.0	
21	R & R Travel	38.0		38.0	34.0		34.0		34.0	58.0		58.0	58.0		58.0	
21	Education Travel	66.0		66.0	7.5		7.5		7.5	7.5		7.5	7.5		7.5	
21	Evacuation Travel	25.0		25.0	25.0		25.0		25.0	25.0		25.0	25.0		25.0	
21	Retirement Travel			0.0			0.0		0.0			0.0			0.0	
21	Pre-Employment Invitational Travel			0.0			0.0		0.0			0.0			0.0	
21	Other Mandatory/Statutory Travel			0.0			0.0		0.0			0.0			0.0	
21	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			Do not enter data on this line		
21	Site Visits - Headquarters Personnel	10.0		10.0	10.0		10.0		10.0	11.0		11.0	11.0		11.0	
21	Site Visits - Mission Personnel	157.5		157.5	160.0		160.0		160.0	175.5		175.5	175.5		175.5	
21	Conferences/Seminars/Meetings/Retreats	85.0		85.0	84.0		84.0		84.0	92.0		92.0	92.0		92.0	
21	Assessment Travel	10.0		10.0	11.0		11.0		11.0	12.0		12.0	12.0		12.0	
21	Impact Evaluation Travel	5.0		5.0	6.0		6.0		6.0	7.0		7.0	7.0		7.0	
21	Disaster Travel (to respond to specific disasters)	2.5		2.5	3.0		3.0		3.0	3.5		3.5	3.5		3.5	
21	Recruitment Travel			0.0			0.0		0.0			0.0			0.0	
21	Other Operational Travel	5.0		5.0	6.0		6.0		6.0	7.0		7.0	7.0		7.0	
Subtotal OC 21.0		501.5	0.0	501.5	478.5	0.0	478.5	478.5	0.0	478.5	516.5	0.0	516.5	516.5	0.0	516.5
22	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			Do not enter data on this line		
22	Post assignment freight	75.0		75.0	135.0		135.0		135.0	90.0		90.0	90.0		90.0	
22	Home Leave Freight	13.0		13.0	21.0		21.0		21.0	16.5		16.5	16.5		16.5	
22	Retirement Freight			0.0			0.0		0.0			0.0			0.0	
22	Transportation/Freight for Office Furniture/Equip.	63.4		63.4	50.4		50.4		114.3	32.6		32.6	61.9		61.9	
22	Transportation/Freight for Res. Furniture/Equip.	6.3		6.3	4.5		4.5		7.6			0.0	7.6		7.6	
Subtotal OC 22.0		157.7	0.0	157.7	210.9	0.0	210.9	277.9	0.0	277.9	139.1	0.0	139.1	176.0	0.0	176.0
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			Do not enter data on this line		
23.2	Rental Payments to Others - Office Space	285.4		285.4			0.0		0.0			0.0			0.0	
23.2	Rental Payments to Others - Warehouse Space	49.6		49.6	56.9		56.9		56.9	62.6		62.6	62.6		62.6	
23.2	Rental Payments to Others - Residences	407.4		407.4	475.8		475.8		475.8	621.4		621.4	621.4		621.4	
Subtotal OC 23.2		742.4	0.0	742.4	532.7	0.0	532.7	532.7	0.0	532.7	684.0	0.0	684.0	684.0	0.0	684.0
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			Do not enter data on this line		
23.3	Office Utilities	106.8		106.8	136.8		136.8		136.8	9.6		9.6	9.6		9.6	
23.3	Residential Utilities	68.8		68.8	75.0		75.0		75.0	82.0		82.0	82.0		82.0	
23.3	Telephone Costs	57.0		57.0	58.7		58.7		58.7	64.4		64.4	64.4		64.4	
23.3	ADP Software Leases			0.0			0.0		0.0			0.0			0.0	
23.3	ADP Hardware Lease			0.0			0.0		0.0			0.0			0.0	

Operating Expenses

Table 5

Org. Title: USAID/INDIA Org. No: 23386 OC		Overseas Mission Budgets														
		FY 1998			FY 1999 Target			FY 1999 Request			FY 2000 Target			FY 2000 Request		
		Dollars	TF	Total												
23.3	Commercial Time Sharing					0.0						0.0			0.0	
23.3	Postal Fees (Other than APO Mail)	0.9		0.9	0.9		0.9		0.9	0.9		0.9		0.9	0.9	
23.3	Other Mail Service Costs	7.0		7.0	7.0		7.0		7.0	7.0		7.0		7.0	7.0	
23.3	Courier Services	7.7		7.7	7.7		7.7		7.7	7.7		7.7		7.7	7.7	
	Subtotal OC 23.3	248.2	0.0	248.2	286.1	0.0	286.1	286.1	0.0	286.1	171.6	0.0	171.6	171.6	0.0	171.6
24	Printing and Reproduction			0.0			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	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			Do not enter data on this line		
25.1	Studies, Analyses, & Evaluations			0.0			0.0			0.0			0.0			0.0
25.1	Management & Professional Support Services			0.0			0.0			0.0			0.0			0.0
25.1	Engineering & Technical Services			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 25.1	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
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			Do not enter data on this line		
25.2	Office Security Guards	29.5		29.5	21.3		21.3	21.3		21.3	11.9		11.9	11.9		11.9
25.2	Residential Security Guard Services	15.0		15.0	15.9		15.9	15.9		15.9	16.9		16.9	16.9		16.9
25.2	Official Residential Expenses	0.5		0.5	0.5		0.5	0.5		0.5	0.5		0.5	0.5		0.5
25.2	Representation Allowances	1.0		1.0	1.0		1.0	1.0		1.0	1.0		1.0	1.0		1.0
25.2	Non-Federal Audits			0.0			0.0			0.0			0.0			0.0
25.2	Grievances/Investigations			0.0			0.0			0.0			0.0			0.0
25.2	Insurance and Vehicle Registration Fees	0.5		0.5	0.6		0.6	0.6		0.6	0.7		0.7	0.7		0.7
25.2	Vehicle Rental			0.0			0.0			0.0			0.0			0.0
25.2	Manpower Contracts	37.7		37.7	30.7		30.7	30.7		30.7	23.5		23.5	23.5		23.5
25.2	Records Declassification & Other Records Services			0.0			0.0			0.0			0.0			0.0
25.2	Recruiting activities	9.4		9.4	10.5		10.5	10.5		10.5	10.5		10.5	10.5		10.5
25.2	Penalty Interest Payments			0.0			0.0			0.0			0.0			0.0
25.2	Other Miscellaneous Services	9.0		9.0	24.4		24.4	24.4		24.4	13.0		13.0	13.0		13.0
25.2	Staff training contracts			0.0			0.0			0.0			0.0			0.0
25.2	ADP related contracts	10.0		10.0	12.0		12.0	12.0		12.0	12.0		12.0	12.0		12.0
	Subtotal OC 25.2	112.6	0.0	112.6	116.9	0.0	116.9	116.9	0.0	116.9	90.0	0.0	90.0	90.0	0.0	90.0
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			Do not enter data on this line		
25.3	ICASS	386.2		386.2	425.0		425.0	425.0		425.0	649.0		649.0	649.0		649.0
25.3	All Other Services from Other Gov't. accounts			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 25.3	386.2	0.0	386.2	425.0	0.0	425.0	425.0	0.0	425.0	649.0	0.0	649.0	649.0	0.0	649.0
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			Do not enter data on this line		
25.4	Office building Maintenance	6.3		6.3	10.6		10.6	10.6		10.6	28.8		28.8	28.8		28.8
25.4	Residential Building Maintenance	20.0		20.0	29.5		29.5	29.5		29.5	28.2		28.2	28.2		28.2
	Subtotal OC 25.4	26.3	0.0	26.3	40.1	0.0	40.1	40.1	0.0	40.1	57.0	0.0	57.0	57.0	0.0	57.0
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			Do not enter data on this line		

Operating Expenses

Table 5

Org. Title: USAID/INDIA Org. No: 23386 OC		Overseas Mission Budgets														
		FY 1998			FY 1999 Target			FY 1999 Request			FY 2000 Target			FY 2000 Request		
		Dollars	TF	Total												
25.7	ADP and telephone operation and maintenance costs	0.8		0.8	0.9		0.9	0.9		0.9	1.0		1.0	1.0		1.0
25.7	Storage Services			0.0			0.0			0.0			0.0			0.0
25.7	Office Furniture/Equip. Repair and Maintenance	51.3		51.3	52.4		52.4	52.4		52.4	8.8		8.8	8.8		8.8
25.7	Vehicle Repair and Maintenance	3.4		3.4	3.8		3.8	3.8		3.8	3.0		3.0	3.0		3.0
25.7	Residential Furniture/Equip. Repair and Maintenance	4.0		4.0	4.1		4.1	4.1		4.1	4.1		4.1	4.1		4.1
	Subtotal OC 25.7	59.5	0.0	59.5	61.2	0.0	61.2	61.2	0.0	61.2	16.9	0.0	16.9	16.9	0.0	16.9
25.8	Subsistence and support of persons (by contract or Gov't.)			0.0			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	0.0	0.0	0.0
26	Supplies and materials	187.4		187.4	193.7		193.7	193.7		193.7	180.0		180.0	180.0		180.0
	Subtotal OC 26.0	187.4	0.0	187.4	193.7	0.0	193.7	193.7	0.0	193.7	180.0	0.0	180.0	180.0	0.0	180.0
31	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			Do not enter data on this line		
31	Purchase of Residential Furniture/Equip.	32.9		32.9	11.2		11.2	42.9		42.9			0.0	47.2		47.2
31	Purchase of Office Furniture/Equip.	111.2		111.2	30.0		30.0	330.3		330.3			0.0	96.4		96.4
31	Purchase of Vehicles			0.0			0.0	42.0		42.0			0.0	42.0		42.0
31	Purchase of Printing/Graphics Equipment			0.0			0.0			0.0			0.0			0.0
31	ADP Hardware purchases	99.5		99.5	84.0		84.0	84.0		84.0			0.0	71.5		71.5
	Subtotal OC 31.0	243.6	0.0	243.6	125.2	0.0	125.2	499.2	0.0	499.2	0.0	0.0	0.0	257.1	0.0	257.1
32	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			Do not enter data on this line		
32	Purchase of Land & Buildings (& construction of bldgs.)			0.0			0.0			0.0			0.0			0.0
32	Purchase of fixed equipment for buildings			0.0			0.0			0.0			0.0			0.0
32	Building Renovations/Alterations - Office			0.0			0.0			0.0			0.0			0.0
32	Building Renovations/Alterations - Residential			0.0			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	0.0	0.0	0.0
42	Claims and indemnities			0.0			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	0.0	0.0	0.0
<b>TOTAL BUDGET</b>		<b>4,051.2</b>	<b>0.0</b>	<b>4,051.2</b>	<b>4,125.0</b>	<b>0.0</b>	<b>4,125.0</b>	<b>4,566.0</b>	<b>0.0</b>	<b>4,566.0</b>	<b>4,349.0</b>	<b>0.0</b>	<b>4,349.0</b>	<b>4,643.0</b>	<b>0.0</b>	<b>4,643.0</b>
Dollars Used for Local Currency Purchases		-----			-----			-----			-----			-----		
Exchange Rate Used in Computations		\$1 = Rs. 39.00			\$1 = Rs. 39.00			\$1 = Rs. 39.00			\$1 = Rs. 39.00			\$1 = Rs. 39.00		

TRUST FUNDS & FSN SEPARATION FUND

Table 7

Orgno.: 23386  
 Org. Title: USAID/INDIA

Foreign National Voluntary Separation Account

Action	FY 98			FY 99			FY 00		
	OE	Program	Total	OE	Program	Total	OE	Program	Total
Deposits	41.2	1.5	42.7	35.8	0.2	36.0	39.4	2.0	41.4
Withdrawals	81.6	0.0	81.6	32.1	0.0	32.1	29.7	0.0	29.7

Unfunded Liability (if any)  
 at the end of each FY. NIL

Local Currency Trust Funds - Regular (\$000s)

	FY 98	FY 99	FY 00
Balance Start of Year		N/A	N/A
Obligations			
Deposits			
Balance End of Year	0.0	0.0	0.0

Exchange Rate(s) Used

Trust Funds in Dollar Equivalents, not in Local Currency Equivalents

Local Currency Trust Funds - Real Property (\$000s)

	FY 98	FY 99	FY 00
Balance Start of Year		N/A	N/A
Obligations			
Deposits			
Balance End of Year	0.0	0.0	0.0

Trust Funds in Dollar Equivalents, not in Local Currency Equivalents

Workforce

Table 8

Org.: USAID/INDIA FY 1998 On-Board Estimate	SO/SpO Staff							Total SO/SpO Staff	Management Staff						Total Mgmt.	Grand Total Staff
	SO 1	SO 2	SO 3	SO 4	SpO 1	SpO 2	SpO 3		Org. Mgmt.	Con- troller	AMS/ EXO	Con- tract	Legal	All Other		
U.S. Direct Hire	2	2	2	2				8	2	1	1	1			5	13
Other U.S. Citizens: 1/ OE Internationally Recruited								0							0	0
OE Locally Recruited Program				1				0							0	0
								1							0	1
FSN/TCN Direct Hire: OE Internationally Recruited								0							0	0
OE Locally Recruited	1		2					3	1		3				4	7
FSN/TCN Non-Direct Hire: OE Internationally Recruited								0							0	0
OE Locally Recruited Program	8	7	7	8	4	2	2	38	2	12	52	3		2	71	109
				3				3							0	3
Total Staff Levels	11	9	11	14	4	2	2	53	5	13	56	4	0	2	80	133
TAACS								0							0	0
Fellows								0							0	0

1/ Excluding TAACS and Fellows

Org.: USAID/INDIA FY 1999 Target On-Board Estimate	SO/SpO Staff							Total SO/SpO Staff	Management Staff						Total Mgmt.	Grand Total Staff
	SO 1	SO 2	SO 3	SO 4	SpO 1	SpO 2	SpO 3		Org. Mgmt.	Con- troller	AMS/ EXO	Con- tract	Legal	All Other		
U.S. Direct Hire	2	3	2	2				9	2	1	1	1			5	14
Other U.S. Citizens: 1/ OE Internationally Recruited OE Locally Recruited Program				1				0 0 1							0 0 0	0 0 1
FSN/TCN Direct Hire: OE Internationally Recruited OE Locally Recruited	1		2					0 3	1		2				0 3	0 6
FSN/TCN Non-Direct Hire: OE Internationally Recruited OE Locally Recruited Program	8	7	7	8	4	2	2	0 38 2	2	12	50	3		2	0 69 0	0 107 2
<b>Total Staff Levels</b>	<b>11</b>	<b>10</b>	<b>11</b>	<b>13</b>	<b>4</b>	<b>2</b>	<b>2</b>	<b>53</b>	<b>5</b>	<b>13</b>	<b>53</b>	<b>4</b>	<b>0</b>	<b>2</b>	<b>77</b>	<b>130</b>
TAACS Fellows		2		1				0 3							0 0	0 3

1/ Excluding TAACS and Fellows

Org.: USAID/INDIA FY 1999 Request On-Board Estimate	SO/SpO Staff							Total SO/SpO Staff	Management Staff						Total Mgmt.	Grand Total Staff
	SO 1	SO 2	SO 3	SO 4	SpO 1	SpO 2	SpO 3		Org. Mgmt.	Con- troller	AMS/ EXO	Con- tract	Legal	All Other		
U.S. Direct Hire	2	3	2	2				9	2	1	1	1			5	14
Other U.S. Citizens: 1/ OE Internationally Recruited OE Locally Recruited Program				1				0 0 1							0 0 0	0 0 1
FSN/TCN Direct Hire: OE Internationally Recruited OE Locally Recruited	1		2					0 3	1		2				0 3	0 6
FSN/TCN Non-Direct Hire: OE Internationally Recruited OE Locally Recruited Program	8	7	7	8	4	2	2	0 38 2	2	12	50	3		2	0 69 0	0 107 2
<b>Total Staff Levels</b>	<b>11</b>	<b>10</b>	<b>11</b>	<b>13</b>	<b>4</b>	<b>2</b>	<b>2</b>	<b>53</b>	<b>5</b>	<b>13</b>	<b>53</b>	<b>4</b>	<b>0</b>	<b>2</b>	<b>77</b>	<b>130</b>
TAACS Fellows		2		1				0 3							0 0	0 3

1/ Excluding TAACS and Fellows

Org.: USAID/INDIA FY 2000 Target On-Board Estimate	SO/SpO Staff							Total SO/SpO Staff	Management Staff						Total Mgmt.	Grand Total Staff
	SO 1	SO 2	SO 3	SO 4	SpO 1	SpO 2	SpO 3		Org. Mgmt.	Con- troller	AMS/ EXO	Con- tract	Legal	All Other		
U.S. Direct Hire	2	3	2	2				9	2	1	1	1			5	14
Other U.S. Citizens: 1/ OE Internationally Recruited OE Locally Recruited Program				1				0 0 1							0 0 0	0 0 1
FSN/TCN Direct Hire: OE Internationally Recruited OE Locally Recruited	1		2					0 3	1		2				0 3	0 6
FSN/TCN Non-Direct Hire: OE Internationally Recruited OE Locally Recruited Program	9	8	8	9	5	1	3	0 43 2	2	12	44	3		2	0 63 0	0 106 2
<b>Total Staff Levels</b>	<b>12</b>	<b>11</b>	<b>12</b>	<b>14</b>	<b>5</b>	<b>1</b>	<b>3</b>	<b>58</b>	<b>5</b>	<b>13</b>	<b>47</b>	<b>4</b>	<b>0</b>	<b>2</b>	<b>71</b>	<b>129</b>
TAACS Fellows		2		1				0 3							0 0	0 3

1/ Excluding TAACS and Fellows

Org.: USAID/INDIA FY 2000 Request On-Board Estimate	SO/SpO Staff							Total SO/SpO Staff	Management Staff						Total Mgmt.	Grand Total Staff
	SO 1	SO 2	SO 3	SO 4	SpO 1	SpO 2	SpO 3		Org. Mgmt.	Con- troller	AMS/ EXO	Con- tract	Legal	All Other		
U.S. Direct Hire	2	3	2	2				9	2	1	1	1			5	14
Other U.S. Citizens: 1/ OE Internationally Recruited OE Locally Recruited Program				1				0 0 1							0 0 0	0 0 1
FSN/TCN Direct Hire: OE Internationally Recruited OE Locally Recruited	1		2					0 3	1		2				0 3	0 6
FSN/TCN Non-Direct Hire: OE Internationally Recruited OE Locally Recruited Program	9	8	8	9	5	1	3	0 43 2	2	12	44	3		2	0 63 0	0 106 2
<b>Total Staff Levels</b>	<b>12</b>	<b>11</b>	<b>12</b>	<b>14</b>	<b>5</b>	<b>1</b>	<b>3</b>	<b>58</b>	<b>5</b>	<b>13</b>	<b>47</b>	<b>4</b>	<b>0</b>	<b>2</b>	<b>71</b>	<b>129</b>
TAACS Fellows		2		1				0 3							0 0	0 3

1/ Excluding TAACS and Fellows

Org.: USAID/INDIA FY 2001 On-Board Estimate	SO/SpO Staff							Total SO/SpO Staff	Management Staff						Total Mgmt.	Grand Total Staff
	SO 1	SO 2	SO 3	SO 4	SpO 1	SpO 2	SpO 3		Org. Mgmt.	Con- troller	AMS/ EXO	Con- tract	Legal	All Other		
U.S. Direct Hire	2	2	2	2				8	2	1	1	1			5	13
Other U.S. Citizens: 1/ OE Internationally Recruited								0							0	0
OE Locally Recruited Program				1				0							0	0
Program								1							0	1
FSN/TCN Direct Hire: OE Internationally Recruited								0							0	0
OE Locally Recruited	1		2					3	1		2				3	6
FSN/TCN Non-Direct Hire: OE Internationally Recruited								0							0	0
OE Locally Recruited Program	9	8	8	9	5	1	3	43	2	12	44	3		2	63	106
Program				2				2							0	2
Total Staff Levels	12	10	12	14	5	1	3	57	5	13	47	4	0	2	71	128
TAACS								0							0	0
Fellows								0							0	0

1/ Excluding TAACS and Fellows

Org.: USAID/INDIA Summary On-Board Estimate	SO/SpO Staff							Total SO/SpO Staff	Management Staff						Total Mgmt.	Grand Total Staff
	SO 1	SO 2	SO 3	SO 4	SpO 1	SpO 2	SpO 3		Org. Mgmt.	Con- troller	AMS/ EXO	Con- tract	Legal	All Other		
FY 1998:																
U.S. Direct Hire	2	2	2	2	0	0	0	8	2	1	1	1	0	0	5	13
OE Internationally Recr	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
OE Locally Recruited	9	7	9	8	4	2	2	41	3	12	55	3	0	2	75	116
Total OE Funded Staff	11	9	11	10	4	2	2	49	5	13	56	4	0	2	80	129
Program Funded	0	0	0	4	0	0	0	4	0	0	0	0	0	0	0	4
<b>Total FY 1998</b>	<b>11</b>	<b>9</b>	<b>11</b>	<b>14</b>	<b>4</b>	<b>2</b>	<b>2</b>	<b>53</b>	<b>5</b>	<b>13</b>	<b>56</b>	<b>4</b>	<b>0</b>	<b>2</b>	<b>80</b>	<b>133</b>
FY 1999 Target:																
U.S. Direct Hire	2	3	2	2	0	0	0	9	2	1	1	1	0	0	5	14
OE Internationally Recr	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
OE Locally Recruited	9	7	9	8	4	2	2	41	3	12	52	3	0	2	72	113
Total OE Funded Staff	11	10	11	10	4	2	2	50	5	13	53	4	0	2	77	127
Program Funded	0	0	0	3	0	0	0	3	0	0	0	0	0	0	0	3
<b>Total FY 1999 Target</b>	<b>11</b>	<b>10</b>	<b>11</b>	<b>13</b>	<b>4</b>	<b>2</b>	<b>2</b>	<b>53</b>	<b>5</b>	<b>13</b>	<b>53</b>	<b>4</b>	<b>0</b>	<b>2</b>	<b>77</b>	<b>130</b>
FY 1999 Request:																
U.S. Direct Hire	2	3	2	2	0	0	0	9	2	1	1	1	0	0	5	14
OE Internationally Recr	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
OE Locally Recruited	9	7	9	8	4	2	2	41	3	12	52	3	0	2	72	113
Total OE Funded Staff	11	10	11	10	4	2	2	50	5	13	53	4	0	2	77	127
Program Funded	0	0	0	3	0	0	0	3	0	0	0	0	0	0	0	3
<b>Total FY 1999 Request</b>	<b>11</b>	<b>10</b>	<b>11</b>	<b>13</b>	<b>4</b>	<b>2</b>	<b>2</b>	<b>53</b>	<b>5</b>	<b>13</b>	<b>53</b>	<b>4</b>	<b>0</b>	<b>2</b>	<b>77</b>	<b>130</b>
FY 2000 Target:																
U.S. Direct Hire	2	3	2	2	0	0	0	9	2	1	1	1	0	0	5	14
OE Internationally Recr	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
OE Locally Recruited	10	8	10	9	5	1	3	46	3	12	46	3	0	2	66	112
Total OE Funded Staff	12	11	12	11	5	1	3	55	5	13	47	4	0	2	71	126
Program Funded	0	0	0	3	0	0	0	3	0	0	0	0	0	0	0	3
<b>Total FY 2000 Target</b>	<b>12</b>	<b>11</b>	<b>12</b>	<b>14</b>	<b>5</b>	<b>1</b>	<b>3</b>	<b>58</b>	<b>5</b>	<b>13</b>	<b>47</b>	<b>4</b>	<b>0</b>	<b>2</b>	<b>71</b>	<b>129</b>
FY 2000 Request:																
U.S. Direct Hire	2	3	2	2	0	0	0	9	2	1	1	1	0	0	5	14
OE Internationally Recr	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
OE Locally Recruited	10	8	10	9	5	1	3	46	3	12	46	3	0	2	66	112
Total OE Funded Staff	12	11	12	11	5	1	3	55	5	13	47	4	0	2	71	126
Program Funded	0	0	0	3	0	0	0	3	0	0	0	0	0	0	0	3
<b>Total FY 2000 Request</b>	<b>12</b>	<b>11</b>	<b>12</b>	<b>14</b>	<b>5</b>	<b>1</b>	<b>3</b>	<b>58</b>	<b>5</b>	<b>13</b>	<b>47</b>	<b>4</b>	<b>0</b>	<b>2</b>	<b>71</b>	<b>129</b>
FY 2001 Estimate:																
U.S. Direct Hire	2	2	2	2	0	0	0	8	2	1	1	1	0	0	5	13
OE Internationally Recr	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
OE Locally Recruited	10	8	10	9	5	1	3	46	3	12	46	3	0	2	66	112
Total OE Funded Staff	12	10	12	11	5	1	3	54	5	13	47	4	0	2	71	125
Program Funded	0	0	0	3	0	0	0	3	0	0	0	0	0	0	0	3
<b>Total FY 2001 Target</b>	<b>12</b>	<b>10</b>	<b>12</b>	<b>14</b>	<b>5</b>	<b>1</b>	<b>3</b>	<b>57</b>	<b>5</b>	<b>13</b>	<b>47</b>	<b>4</b>	<b>0</b>	<b>2</b>	<b>71</b>	<b>128</b>

MISSION :

USAID/INDIA

## USDH STAFFING REQUIREMENTS BY SKILL CODE

BACKSTOP (BS)	NO. OF USDH EMPLOYEES IN BACKSTOP FY 98	NO. OF USDH EMPLOYEES IN BACKSTOP FY 99	NO. OF USDH EMPLOYEES IN BACKSTOP FY 2000	NO. OF USDH EMPLOYEES IN BACKSTOP FY 2001
01SMG	2	2	2	2
02 Program Off.	2	2	2	2
03 EXO	1	1	1	1
04 Controller	1	1	1	1
05/06/07 Secretary				
10 Agriculture.				
11Economics				
12 GDO				
12 Democracy				
14 Rural Dev.				
15 Food for Peace	1	1	1	1
21 Private Ent.				
25 Engineering				
40 Environ	2	2	2	2
50 Health/Pop.	3	3	3	3
60 Education				
75 Physical Sci.				
85 Legal				
92 Commodity Mgt				
93 Contract Mgt	1	1	1	1
94 PDO				
95 IDI		1	1	
Other*				
<b>TOTAL</b>	<b>13</b>	<b>14</b>	<b>14</b>	<b>13</b>

\*please list occupations covered by other if there are any

# **ANNEXES**