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**A PRELIMINARY ASSESSMENT OF
INFORMATION NEEDS TO SUPPORT USAID/ZAIRE
PROGRAM PERFORMANCE & IMPACT MONITORING**

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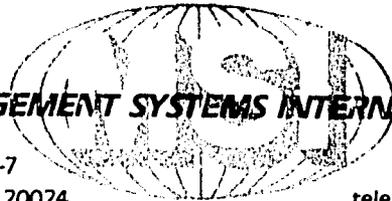
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EXECUTIVE SUMMARY

Recently enacted legislation for the Development Fund for Africa requires A.I.D.'s Bureau for Africa and respective field Missions to significantly strengthen their capabilities to report on program performance and impact. This emphasis is particularly important to USAID/Zaire. The United States assistance program to the Republic of Zaire grew significantly over the period 1984 to 1989. In FY 84, obligations were \$ 42.5 million whereas by the end of FY 89 they were projected to be \$ 61.4 million, representing an increase of over 40 percent. Perhaps more importantly, A.I.D.'s expenditures in Zaire increased by over 300 percent in the same time period, from approximately \$ 10 million in FY 84 to over \$ 33 million in FY 88. In February 1989 the Mission began a nine month effort at developing a new CDSS and related new or revised strategic objectives for the country program. As part of this effort it decided to assess, streamline and strengthen its internal and external monitoring, evaluation and reporting systems for its portfolio. This report examines the existing CDSS and Action Plan objectives as well as monitoring and evaluation systems and provides comments on inconsistencies and proposed modifications in the short and medium term.

The report assesses current Agency-wide and Bureau for Africa guidance on monitoring and evaluation in order to determine potential demand for USAID/Zaire's project and program information. It concludes that both the Agency and the Bureau are putting more emphasis on demonstrating A.I.D.'s "impact" (i.e., ultimate effect on people) and "performance" (i.e., efficiency and effectiveness) at a more aggregate level than has previously been done.

The report proposes a framework for program level monitoring and evaluation that encompasses both the evolving conventions of the Bureau with stated desires of USAID/Zaire. It involves articulation of key Strategic Objectives, the achievement of which is to be monitored through accomplishment of specific Targets as measured through stated Benchmarks. In addition, the report proposes monitoring progress towards achievement of Strategic Objectives through more independent Program Performance Indicators. Finally, the framework includes an overall Mission Program Goal, the achievement of which can be measured through Program Impact Indicators.

Using this framework, the report assesses the USAID/Zaire program and project portfolio in terms of explicit goal and purpose/objective statements and implicit objectives. A set of implicit objectives for each sector is developed and proposed as targets in the new CDSS. Based on these targets, three draft strategic objectives are proposed: 1) increasing the coverage and effectiveness of health and family planning services delivery; 2) increasing food crop production and increasing trade between rural and urban sectors; and 3) increasing private sector output in selected developmental activities. The report emphasizes that these objectives and the targets are considered illustrative, and that USAID/Zaire's sector offices and the Program Office need to work together to arrive "ownership" of mutually agreeable statements.

The report then assesses the supply of information generated by USAID/Zaire to monitor, evaluate and report on its projects and program. It concludes that the level of information collection, analysis, dissemination and use at the project level is sufficient to meet the demand for such information, although increased attention to purpose and goal level monitoring is recommended.

The report recommends that at the program level the Mission more clearly determine its "need to know" in terms of internal and external information needs. It describes the current state of supply of and demand for such information at the Bureau for Africa level, and the evolving efforts in the Bureau to more precisely document A.I.D. performance and impact in terms that can be aggregated and are understandable to the Congress. It notes that USAID/Zaire has determined that it would like to document the impact of its overall program primarily for internal program planning purposes but also presumably for future AFR reporting requirements.

The report concludes that a recommended research framework to respond to the current and anticipated demand for program performance and impact information cannot be developed until the program framework is more fully developed. That is, once the questions are more precisely asked, the means of answering them can be determined. The development of an agreed upon set of objectives for the CDSS is the recommended first, and major, step.

**A Preliminary Assessment of
Information Needs to Support USAID/Zaire
Program Performance & Impact Monitoring**

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LIST OF ACRONYMS USED

ABS	: Annual Budget Submission
AEPRP	: African Economic Policy Reform Program
AFR	: Bureau for Africa of A.I.D.
A.I.D.	: U.S. Agency for International Development
AIDS	: Acquired Immune Deficiency Syndrome
AIDSTECH	: Technical Assistance for AIDS Project
AP	: Action Plan
APAP II	: Agricultural Policy Analysis Project II
ARD	: USAID/Zaire Agriculture & Rural Development Office
BRH (II)	: Basic Rural Health (II) Project
CCCD	: Combatting Childhood Communicable Diseases Project
CDSS	: Country Development Strategy Statement
CIP	: Commodity Import Program
CP	: Congressional Presentation
DFA	: Development Fund for Africa
DFM	: Decentralization: Finance and Management Project
EOPS	: End Of Project Status (Purpose Level Indicator)
FAA	: Foreign Assistance Act of 1961, as amended
FP	: Family Planning
FY	: Fiscal Year
GDO	: USAID/Zaire General Development Office
GOZ	: Government of Zaire
HIV	: Human Immunodeficiency Virus
HPN	: USAID/Zaire Health, Population & Nutrition Office
IBRD	: International Bank for Reconstruction and Development, or World Bank
IMF	: International Monetary Fund
IQC	: Indefinite Quantity Contract
LAC	: A.I.D.'s Bureau for Latin America and the Caribbean
MSE	: Medium and Small Scale Enterprises
MSI	: Management Systems International
NGO	: Non-Governmental Organization
ORT	: Oral Rehydration Therapy
PAAD	: Program Assistance Approval Document
PACD	: Project Assistance Completion Date
PDO	: USAID/Zaire Project & Development Office
PHC	: Primary Health Care
PIR	: Project Implementation Review
P.L. 480	: Public Law 480, the Agricultural Trade and Development Act of 1954, as amended
PNS	: Project North Shaba
PP	: Project Paper
PPC	: A.I.D.'s Bureau for Program and Policy Coordination
PRM	: USAID/Zaire's Program Office
PSSP	: Private Sector Support Program
PVO	: Private and Voluntary Organization, term used by A.I.D. for NGO's

REACH : Resources for Child Health Project
SOW : Scope of Work
SNRDA : Zaire's National Rural Roads Organization
TA : Technical Assistance
TIPPS : Technical Information on Population for the Private Sector
Project
USAID : an A.I.D. Mission overseas
WID : Women In Development

1. INTRODUCTION

Both the End Hunger Initiative and the Development Fund for Africa will, however, require the Bureau as a whole to strengthen its systems for performance monitoring, evaluation of nonproject as well as project assistance, and reporting. Since increasing overall program effectiveness and impact are fundamental, special attention will be paid to monitoring, evaluation, and reporting above the project level. (Africa Bureau Supplemental CDSS Guidance and Guidance on Concept Papers, 88-STATE 030913)

The guidance quoted above is particularly relevant to USAID/Zaire. The United States assistance program to the Republic of Zaire has grown significantly over the past five years. In FY 84, obligations were \$ 42.5 million whereas by the end of FY 89 they are projected to be \$ 61.4 million, representing an increase of over 40 percent. Perhaps more importantly, A.I.D.'s expenditures in Zaire have increased by over 300 percent in the same time period, from approximately \$ 10 million in FY 84 to over \$ 33 million in FY 88. Mission staff are now (March 1989) beginning a nine month effort at developing a new CDSS and related new or revised strategic objectives for the country program. As part of this effort the Mission has decided to assess, streamline and strengthen its internal and external monitoring, evaluation and reporting systems for its portfolio. This report examines the existing CDSS and Action Plan objectives, as well as monitoring and evaluation systems, and provides comments on inconsistencies and proposed modifications in the short and medium term.

1.1 Report Scope and Methodology

USAID/Zaire requested Management Systems International (MSI) to provide a Consultant to assist it in a number of tasks related to its CDSS preparation under MSI's Indefinite Quantity Contract (IQC) for Development Information and Evaluation. The purpose of the Consultancy was:

To provide USAID/Zaire with a synthesis of the Mission's project materials for use in establishing a mission research agenda, research budget, and designing a program impact evaluation system. These are being developed for inclusion in the CDSS to be reviewed in January 1989 [sic].

The Statement of Work for the Consultancy included three major tasks leading to achievement of the stated purpose: 1) examination of Mission (country program) and DFA objectives, and proposed modifications to strengthen linkages between the two; 2) examination of the Mission project/nonproject assistance portfolio, and recommendations for improved articulation of linkages between this level and the country program; and 3) review of Mission research activities to determine the extent to which they are providing the necessary information required for measuring

project outputs, purpose achievement, and the impact of the Mission's Action Plan.

Due to delays in the contracting process the planned four-week consultancy was reduced to three weeks. The primary modification in the Statement of Work was to focus it more on project purpose, as opposed to output, level and on external rather than internal reporting requirements. An MSI Senior Associate in Development Management spent three weeks in Zaire in February-March 1989 working with the Mission in the stated tasks. The complete Scope of Work and the Consultant's Workplan are found as Annex A.

The report is organized around the three major tasks of the Statement of Work. The remainder of Chapter 1 provides contextual information on Agency-wide and Bureau for Africa concerns with program level monitoring and evaluation. It also includes a section reviewing terms used, as several are new to program planning efforts. Chapter 2 examines country program, sectoral program and project/non-project assistance efforts and proposes some realignment to better fit with DFA emphases and evolving AFR systems. It must be emphasized that these recommendations were developed as the USAID/Zaire Program Office (PRM) was developing its CDSS Concept Paper and thus serve as an illustrative framework rather than as ends in themselves. Chapter 3 assesses the on-going Mission information (monitoring and evaluation) system, including specific research efforts, that provides the basis for measurement of performance and impact of the country program. Comments on potential redundancies and gaps in the system form subsequent conclusions and recommendations.

1.2 A.I.D. Concerns With Program Performance and Impact

USAID/Zaire's concern over adequately capturing its performance and impact is shared by the Agency on a broader scale. A recent report to the Bureau for Program and Policy Coordination (PPC) entitled Current Practice and Immediate Needs for Collection and Presentation of Performance and Impact Data identifies two major sources of demand for this information: 1) A.I.D.'s internal management and policy needs, and 2) requirements of external audiences, most prominently Congress. (MSI, Current Practice, April 1988, p. 1). These information types may be interpreted in the USAID/Zaire context as follows:

- internal information needs relate to project-level management and management of non-project assistance efforts, including P.L. 480 and policy dialogue. The information is collected and shared on a formal and informal basis. Formal reporting venues include preliminary studies used in design, quarterly or semi-annual reports from contractors to project officers used to generate Project Implementation Reports (PIRs), evaluation reports, quarterly and annual financial reports, ad hoc data collection for special inquiries, etc. PIRs themselves are used as internal project and Mission-level management documents as well as external reporting to A.I.D./Washington.

- external information needs frequently are based on the same sources (project and non-project assistance efforts) but generally require aggregation, synthesis and/or cross-project or sector analysis. The primary audience for the external reporting is, ultimately, the U.S. Congress: "Different Congressional constituencies appear to want different types of information on foreign aid. In addition to data needed to monitor compliance with Congressional intent, the main types of information required relate directly to the most common justifications for foreign aid, namely humanitarian concerns, economic growth, macro-economic restructuring, economic self-interest, and progress towards democracy" (Current Practice, p. 2). The primary external reporting venues for the Mission are the Country Development Strategy Statement (CDSS), Action Plan, and Annual Budget Statement (ABS). In A.I.D.'s Bureau for Africa (AFR), the Congressional Presentation (CP) is becoming a more important planning and reporting document as well.

Both types of information use theoretically provide a basis for measurement of "impact" (i.e., ultimate effect on people) and "performance" (i.e., efficiency and effectiveness) of the A.I.D. program at some level (Current Practice, IV, 4.; see also the A.I.D. Evaluation Handbook for definitions). Unfortunately, the level of performance reporting for the one bridging document, the PIR, frequently focusses on the efficiency and effectiveness of the USAID Project Officer in delivering inputs and only rarely moves beyond the input-output level towards higher level effects. At the same time, Mission Action Plans and CDSS's frequently seek to meet too many constituencies, combining basic input-output data with macro-economic country trends and socioeconomic indicators country wide. The linkage, such as exists, between "kilograms of hybrid seed distributed" and "percent increase in GDP" is not well articulated nor understood, and subsequently provides little cohesive basis for measurement of A.I.D.'s performance or impact at any level.

Given the fact that the Foreign Assistance Act itself has 33 separate objectives of varying levels, the Mission-level efforts to "please all of the people all of the time" through its external reporting instruments are not unreasonable responses. There are, however, efforts underway to rationalize the level of reporting which should make measurement of change at distinct levels more coherent. These efforts are particularly important to the large USAID/Zaire program in light of the emphasis on demonstrated performance under the new Development Fund for Africa (DFA).

1.3 Bureau for Africa's Concerns With Program Performance and Impact

As evidenced in the introductory quote to this report, the Bureau for Africa is in the process of strengthening its overall systems for program-level planning, monitoring and evaluation, and has encouraged AFR Missions to do the same. The Bureau has achieved some equilibrium in terms of establishing strategic program objectives which respond to the objectives of the DFA while adequately reflecting the on-going programs designed under the former functional account requirements. It is still working,

however, to install systems to adequately report on A.I.D.'s performance in meeting those objectives and the impact of the A.I.D./AFR program overall. Sub-section 1.3.1 below summarizes the DFA legislation and AFR planning efforts to meet DFA mandates. Subsection 1.3.2 summarizes achievements to date in linking the AFR/Washington-based planning efforts with Washington and Mission monitoring and evaluation efforts.

1.3.1 DFA Legislation and AFR Strategic Objectives

"... assistance made available under this heading shall be used to help the poor majority in Sub-Saharan Africa through a process of long-term development and economic growth that is equitable, participatory, environmentally sustainable, and self-reliant" (Public Law 100-461, 102 STAT. 2268-6, Oct. 1, 1988).

Thus begins the latest legislation for the Development Fund for Africa (DFA). The legislation includes 10 specific sectoral objectives, several statements of required means to achieve the objectives, and three specific earmarks of \$ 50 million each to renewable natural resources to increase agricultural production, including components of agricultural projects; health; and voluntary family planning. It also provides, in terms of means to achieve the objectives, for: "...integration of women in the development process, appropriate consultation with private voluntary organizations, African and other organizations with a local perspective on the development process, and inclusion of the perspectives and participation of those affected by the provision of this assistance...[and] that assistance...should be provided, when consistent with the objectives of such assistance, through African, United States and other private and voluntary organizations which have demonstrated effectiveness in the promotion of local grassroots activities on behalf of long-term development in Sub-Saharan Africa." (Public Law 100-461, 102 STAT. 2268-6, Oct. 1, 1988).

The Bureau for Africa has adopted a synthesis of the opening statement as its Goal for use of the funds, which is stated in the FY 1990 Congressional Presentation as "sustainable, broad-based, and market-oriented economic growth in Africa." (FY 1990 CP, Annex I, page 30). AFR/DP is currently working on its outline for the FY 1991 Congressional Presentation (CP) and is to date using the same Goal statement.

This Goal statement and the Bureau for Africa strategic objectives for the DFA are presented in Figure 1 overleaf. These are taken from the FY 1990 CP; the Consultant has reviewed a February 1989 Draft of the FY 1991 CP Outline and only one change was being considered at that time. AFR/DP was considering moving the third target under Strategic Objective # 1 into a separate Strategic Objective, "improving equity and efficiency in providing key public goods" which would be targeted at population policy and family planning, health, education and transportation. This would not change the Bureau's program focus but would allow it to more easily report on the specific earmarks for health and family planning.

Figure 1: A.I.D. Bureau for Africa Objectives for the DFA
(Congressional Presentation FY 1990)

Goal: Sustainable, broad-based, and market-oriented economic growth in Africa

Strategic Objectives:

1. Improving Public Management of African Economies by Redefining and Reducing the Role of the Public Sector and Increasing Its Efficiency

- improving stability in African economies through better management of debts, fiscal and monetary policies;
- reducing government involvement in production and marketing of goods and services; and
- improving equity and efficiency in providing key public goods, particularly population policy and family planning, health, education and transportation

2. Strengthening Competitive Markets so as to Provide an Environment for Private Sector-Led Growth

- liberalizing commodity and factor markets

3. Developing the Potential for Long-Term Increases in Productivity

- conservation of natural resources;
- development of new technologies which permit these resources to be used more efficiently;
- improvement of job-related skills outside as well as in the agricultural production sector itself.

4. Improving Food Security

- reduce instability in food supply;
 - anticipate serious droughts and other emergencies;
 - finding ways in the short term to increase incomes through targeted welfare programs for those most in need; and
 - increasing agricultural production and utilization.
-

The legislation, combined with the Bureau for Africa's basic statement of objectives and the supplemental cable guidance on CDSS and Action Plan preparation (see Annexes B and C) are in combination the primary contextual framework the Africa Bureau has established for Mission-level planning. The Missions are still afforded ample freedom to choose objectives and define their programs; they are not required nor expected to have activities that meet all AFR targets unless those targets make sense in the country context.

As USAID/Zaire moves into its new CDSS, this context allows it more flexibility in setting objectives than previously allowed under the old functional accounts. That is, should the Mission so choose, it does not have to establish objectives in terms of "agriculture", "health", "population", etc. As reflected in Figure 1, objectives can be less sectoral and more broadly problem oriented. This flexibility in planning, however, is seen by some as a double-edged sword, for along with it comes increasing AFR emphasis on performance-based programming. This latter emphasis means that a Mission (and AFR overall) must now be able to report on achievement of program objectives in some rational manner, and, importantly, that how well it performs will influence how much money it gets in subsequent years. Thus objectives must be most carefully phrased to state not only what a Mission would like to accomplish but also what it thinks is realistic to accomplish. The statement should also be phrased in a way that what is realistic to accomplish is also measurable. Progress to date in this sphere is described below.

1.3.2 Evolving AFR Program Planning, Monitoring and Evaluation Concerns. Because of the implications of the DFA for all African Missions, the Bureau's Office of Development Planning, Policy Planning Evaluation Division (AFR/DP/PPE) recently contracted for an assessment of the structure, function and performance of its monitoring, evaluation and reporting system. The first deliverable under the contract was produced in February 1989 and comprises a report descriptively entitled Description of the A.I.D. Bureau for Africa Monitoring, Evaluation, and Reporting System (MSI, February 1989). Because it is the most comprehensive and recent attempt to synthesize the numerous efforts underway to rationalize program monitoring and evaluation, the Consultant strongly urges that USAID/Zaire program planners review the entire report, and has provided a copy to USAID/PRM. Selected portions are quoted herein to provide background for this report.

After describing monitoring, evaluation, and reporting procedures at each level of decision-making, the study draws some conclusions regarding aspects of the system that could be improved. A central deficiency of the system identified is a surplus of information available at the project level and an unmet demand for data at the country program and bureau levels. This imbalance between information supply and demand is partially attributed to the wide-ranging character of the Agency's program, and from the Bureau's limited ability to aggregate performance and impact data at the country program and bureau levels. On this point the study concludes:

- o Greater consensus on appropriate indicators for measuring program performance and impact should contribute to the Bureau's ability to track country and sectoral programs.
- o It may be possible to make some slight modifications in project-level data collected to provide proxy measures of country program impact and to selectively aggregate this data for cross-country comparison.
- o Some benchmarks require data collection efforts outside of projects to provide independent measures at country level. (MSI, AFR Report, Executive Summary p. iii)

The Bureau's concern with impact and performance indicators mirrors that of USAID/Zaire and is discussed more in subsequent sections. In terms of setting a context for Chapter 2, however, the report's overall conclusions on the Country Program level are of importance. Because it defines specific terms used throughout this report, and because its relevance to USAID/Zaire, a major portion of the report is quoted herein:

Country Program Level

Three basic documents are the focus of monitoring, evaluation and reporting at the country program level: the CDSS, the Action Plan, and the ABS. The CDSS is the first step in country level objective-setting and performance measurement. There is an emerging consensus on the need to select measurable objectives at the CDSS stage which can then be translated into benchmarks and indicators in the Action Plan phase. To facilitate the translation of broad strategy statements into strategic objectives, targets and benchmarks, the CDSS should give greater emphasis to clearly defining priorities and tactics in presenting the proposed assistance strategy, and less emphasis on a description of host country characteristics.

- The need to make objectives measurable at the CDSS stage is becoming increasingly understood as more missions revise their strategies.
- A careful examination of the linkage called for among the CDSS, Action Plan, and ABS in Bureau guidance might add more coherency to the overall country program measurement task.

As the new focal point for country program measurement, the Action Plan becomes central to both objective-setting and performance monitoring. The first articulation of overall country program level measurement is through the strategic objectives of the Action Plan. Strategic objectives need to be expressed at a level of focus above project purpose statements to show progress toward goals of sufficient significance to the recipient country to warrant U.S. assistance. At the same time, strategic objectives must be articulated at a level of specificity to remain measurable, to provide a conceptual linkage between projects and overall country

program objectives, and to help shift the focus of implementors to output-to-purpose level hypotheses issues.

- Strategic objectives should be expressed in terms as high above project purpose level as can be measurable.

It is difficult to derive country program level information from projects unless the linkages are first developed in the Action Plan. This would allow and perhaps encourage project impact measurement at the goal level to contribute to Action Plan monitoring.

- Goal level statements for individual projects should be drawn from the Action Plans to develop better country program-to-project linkages.

Although the ABS provides a means of checking Action Plan performance in non-review years, persons interviewed who had field experience with action Plans stated that AID/W interest in measuring performance annually through the ABS was limited to financial data on spending.

- Regular feedback by AID/W on Action Plan objectives as part of annual reviews either at PIR or ABS time could provide more responsive monitoring.

...Targets are defined by Africa Bureau's guidance for Action Plans as "specific, short to medium term outcomes in actions which are to be accomplished in order to initiate or sustain movement toward achievement of strategic objectives." The use of terms "outcomes or actions" in the guidance has caused some missions uncertainty whether targets should be analogous to inputs, outputs, or EOPS conditions.

- Targets should be set in specific enough terms so as to clarify expected results of the assistance strategy, while demonstrating a direct relationship to the strategic objective.

Benchmarks are defined in the Africa Bureau Guidance for Action Plans as "quantitative or qualitative indicators that targets are being or have been achieved." Depending on the type of intervention, benchmarks may be expressed directly as a quantitative measure. In other cases, proxy measures will be needed in order to provide a basis for qualitative assessments used as benchmarks. There appears to be some confusion on what constitutes an appropriate qualitative measure.

Another source of confusion concerns the most appropriate use of country trend indicators as measures of performance. While there may be selected instances, such as in health programs, where trend indicators could be used to measure program performance, generally these indicators are better measures of the problems to be addressed through donor assistance. Country trend indicators are more appropriate measures of contextual variables or assumptions affecting project outcomes.

- Program performance indicators should be distinct from measures of degree of overall development in the country and linked as closely as possible to the objectives of the A.I.D. program (i.e. national life expectancy or decreased infant mortality should not be a country program performance indicator if USAID is only working in one region on health for a specific target population).

Impact data on achievement above purpose-level are typically hard to obtain and therefore measurement of progress at that level is limited. Currently, no independent measures (e.g. those which are not primarily project indicators) are called for in the Bureau's guidance on Action Plans. Rather, measurement of strategic objectives is carried out through targets and benchmarks. (MSI, AFR Report, pp. 21-23).

Again, more discussion on indicators will be offered in subsequent sections.

These short sub-sections have demonstrated the evolving nature of Africa Bureau's efforts at responding to the DFA requirements for improved performance and impact monitoring, evaluation and reporting. USAID/Zaire is to be lauded for its attempts to rationalize its own systems within this dynamic context. Chapters 2 and 3 attempt to establish some common ground on which it can proceed.

Prior to moving to the Mission program, however, the following section offers a review of terms and relationships which serves as a reference for subsequent chapters.

1.4 Review of Terms Used

Sections 1.1-1.3 above include introduction and/or redefinition of numerous terms, some of which are well understood and others of which are not yet in common usage at USAID/Zaire. It is emphasized that some are not yet in common usage in AFR. A short review of current terms is in order:

Project Level

The hierarchy of desirable outcomes at the project level is commonly defined in terms of the A.I.D. Logical Framework, or LogFrame, which should be described in detail in Handbook 3 but unfortunately is still relegated to an Appendix labeled "Reserved". Definitions and guidance from the A.I.D. Project Design Course regarding the LogFrame are presented at Annex D for reference. The LogFrame is an if-then series of design assumptions leading from basic Inputs to Outputs to Purpose to Goal. Each level is defined by a set of measurable indicators, and is based on a set of critical assumptions which are supposed to have a high probability of occurring.

Program Level

The term "program" as used in this report means "the sum of all of the project, non-project and policy dialogue activities undertaken to achieve a given Action Plan objective". (MSI Current Practices, IV. 5.) The term has frequently been used with a modifier, as in "Country Program" or "Sector Program"; this report to the extent possible will use it only as it relates to AP objectives (sectoral or cross-sectoral).

The AFR guidance summarized in section 1.3 above and reproduced in Annexes B and C are evolving towards a program planning, monitoring and evaluation system based on the following terms:

- Strategic Objectives: CDSS and Action Plan objectives are "strategic", which, according to Webster's, means "necessary to or of great value or importance in the initiation, conduct, or completions of a strategic plan; of great or vital importance within an integrated whole or to the taking place of a planned or unplanned occurrence". The CDSS analyzes the given country situation and provides rationale for the proposed strategic objectives. As a CDSS is to cover a 5 year planning period, strategic objectives should be formulated on the basis of at least 5 years, if not longer.

"The strategic objectives around which the Action Plan is formulated are to be based on those in the CDSS. The targets and benchmarks which the Mission will use to monitor progress in achieving the strategic objectives will, however, be more clearly defined and prioritized in the Action Plan than they were in the CDSS" (ref. Annex C).

- Targets are specific, short to medium term outcomes in actions which are to be accomplished in order to initiate or sustain movement toward achievement of strategic objectives. The Strategic Objectives cover a minimum 5 year timeframe. Targets as established in Action Plans could cover only the Action Plan period (2 years) or up to the 5 year CDSS period.

- Benchmarks are quantitative or qualitative indicators that targets are being or have been achieved.

Project and Program Results

- Impact is the ultimate effect on people and can be defined at the project and program level. Performance is the efficiency and effectiveness, again of a project or a program as compared to planned achievements. (The A.I.D. Evaluation Handbook, which forms a supplement to Chapter 12 of A.I.D. Handbook 3, includes more discussion on the use of these terms).

- Indicators are variables whose purpose is to measure change in a given phenomena or process. They are analytical tools which facilitate the measurement of change that may have resulted from developmental interventions, and they can provide summary data useful in project/program design, implementation and evaluation. Indicators must have a point of reference to determine the magnitude of change, if any, over a specified period of time. They can be both direct and/or indirect and qualitative or quantitative. (from Krishna Kumar, unpublished draft report on June 1988 PPC/CDIE workshop on indicators).

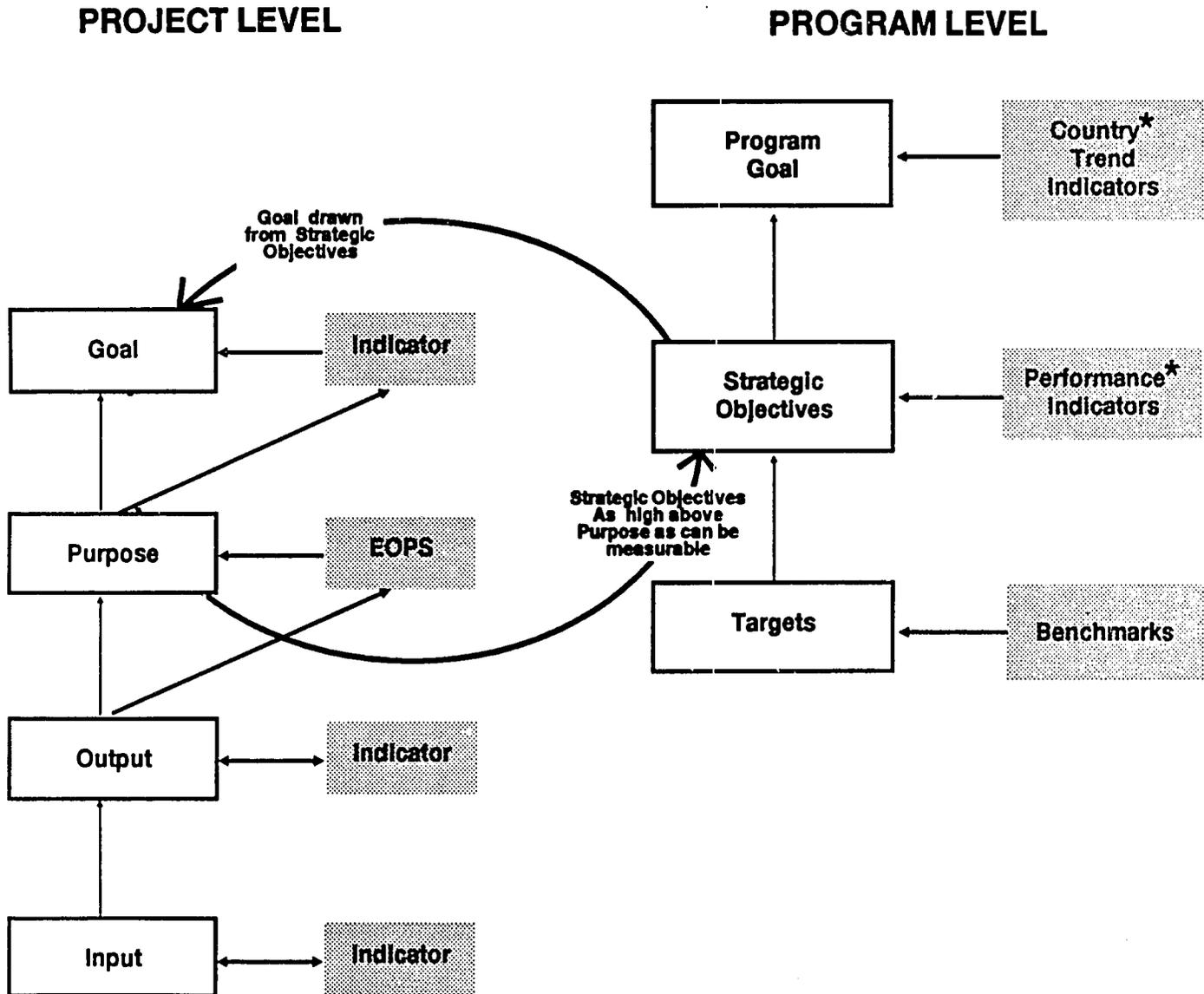
- Monitoring, Evaluation, and Reporting are processes carried out at both project and program levels. "Monitoring ... is a continuous management activity that requires information about (1) the use of assistance resources according to plans and regulations, and (2) the interim results and effects of resources in light of initial or revised objectives... Evaluation [is] undertaken periodically to inform managers about key issues--relevance, effectiveness, efficiency, impact and sustainability--before major decisions are made regarding A.I.D.-funded activities or future program development" (A.I.D. Evaluation Handbook, p. 2). Reporting is the transfer of information, gleaned from monitoring and evaluation activities as well as other sources, for internal and/or external management needs.

Figure 2 overleaf attempts to demonstrate the relationship between and among these different levels of project and program articulation and/or measurement of actions or outcomes. This schematic has been developed to assist USAID/Zaire in articulating its own strategy and performance and impact monitoring/research plan. It represents the closest approximation of AFR practices and plans known to the Consultant at this time. It does not, however, reflect any official acceptance of these relationships. Some comments on the Consultant's assumptions beyond the definitions offered above are in order.

The primary Project Level planning, monitoring and evaluation framework is the Logical Framework, which has been used by the Agency for almost 15 years and which is not discussed in depth herein. It is summarily reflected on the left of the Figure 2, and includes the set of indicators which are generally monitored and evaluated to determine project progress (input, output), performance and impact (purpose). More definition of the different levels of the LogFrame is found at Annex D.

The Figure approximates linkages between the projects and a Program Level framework, which attempts to synthesize the evolving AFR requirements with expressed needs of USAID/Zaire/PRM. Again, AFR/DP is still developing its conventions for the different levels of the framework so the relationships may change. The important new emphasis is on articulating country program achievements in terms greater than individual projects but less than "improved quality of life".

FIGURE 2: REPRESENTATION OF PROGRAM AND PROJECT PLANNING, MONITORING & EVALUATION LINKAGES



* Performance Indicators measure outcomes of A.I.D. assistance while Country Trend Indicators measure broader contextual features. In selected instances of major sectoral involvement Country Trend Indicators may be used as Performance Indicators.

The proposed framework is reflected in the center of the figure. It uses the new Strategic Objective-Target-Benchmark array that AFR is developing and adds two potentially independent measurement categories, Country Trends Indicators and Program Performance Indicators. While the relationship among Project Purpose, Program Strategic Objectives, and Project Goals is relatively clear, the "fit" of the newer "targets" into the scheme is still ambiguous. The Consultant suggests that they should reflect the desirable outcome(s) of major elements within the group of projects/non-project assistance leading towards achievement of strategic objectives. That is, if an outsider were to review only the targets and strategic objectives of a Mission program, s/he would be able to gain a solid understanding of the realm of what the program is actually doing.

In terms of measuring performance and impact at the program level, AFR is currently using the convention that benchmarks are indicators of target achievement and such achievement of targets would collectively demonstrate movement towards achievement of strategic objectives. Because of the interest of USAID/Zaire/PRM, the Consultant has assumed the additional sets of indicators: Country Trend Indicators, which reflect the general level of development of the country, and Program Performance Indicators, which would measure achievement of strategic objectives more precisely than would targets, under the current AFR convention. Impact would continue to be measured through individual projects at the purpose level and through carefully defined studies at the Strategic Objective or Goal level.

The Consultant has adopted the distinction between Country Trend and Program Performance Indicators from A.I.D.'s Bureau for Latin America and the Caribbean (LAC). LAC "...[made] a distinction in the FY 1989-1990 Action Plans between 'Country Development Trends indicators,' which are affected by a number of factors other than A.I.D. policy dialogue and programs, and 'A.I.D. Program Performance indicators,' which should provide a measure of how effective a Mission has been in meeting the specific objectives it regards as achievable through its policy dialogue and program portfolio." (LAC MBO Release, Annex 4).

The AFR-recommended Country Trend Indicators are listed in the CDSS Guidance Cable reproduced as Annex B; more and/or different indicators could be used. The Bureau for Africa, in several different divisions, is attempting to establish common indicators at some level (i.e. sector program performance) and is testing these in several Missions. (See MSI AFR Report for a more detailed discussion). More commonality of terms and levels should become evident in the next few years.

Although the array of terms and levels is currently confusing, it does allow for the flexibility promised by the DFA. LAC, by contrast, has an A.I.D./Washington directed process for its Action Plans in which Missions are provided, from Washington, a "menu" of 4 Bureau goals, 15 Bureau objectives, and 5 Agency-wide problems areas amongst which they must choose in matrix format. Each objective comes with its own set of Country Trend Indicators to monitor and A.I.D. Program Performance Indicators to achieve, thus relieving respective Missions of any program "ownership" whatsoever. It also results in Missions trying to fit a

number of "round" projects into "square" LAC Objectives with occasionally humorous and frequently absurd results.

Africa USAID Missions have an opportunity to tell AFR what they want, maintaining ownership over their program planning, monitoring and evaluation to the maximum extent. The Consultant urges that the Mission work to ensure that the CDSS and subsequent Action Plan exercises state clearly and precisely what the Mission is doing, plans to do, and how it plans to measure the success. Chapters 2 and 3 provide some thoughts on how it should proceed.

2. USAID/ZAIRE PROGRAM OBJECTIVES

2.1 Summary Program Overview

Table 1 overleaf provides a listing of active USAID/Zaire projects by project number, name, year of initial obligation, PACD, and dollar funding level. The projects are categorized according to the sectoral elements of the current Mission Action Plan (May 1987):

- Stabilization and Economic Recovery Support;
- Improved Health Status and Lower Population Growth;
- Increased Agricultural Production; and
- Improved Transportation Infrastructure.

A category labelled "Other" includes participant training and small projects support, which are cross-cutting support to all sectoral elements.

The Stabilization/Recovery and Health/Population activities may be considered national in coverage, although given the size of Zaire this means "selected locations nationwide". Increased Agricultural Production and its close counterpart, Improved Transportation Infrastructure, blend a national and regional focus, with Agricultural Research and Policy and Planning on a national basis being intensively applied in regionally based A.I.D. outreach, production and marketing efforts in selected sub-regions of Shaba and Bandundu. Both the Stabilization/Recovery and Health/Population activities are increasingly emphasizing rural Shaba-urban Lubumbashi and rural Bandundu-urban Kinshasa areas as those of potential higher impact.

The Stabilization/Recovery activities have to date been non-project assistance modes and are generally quick-disbursing mechanisms (CIP, AEPRP, etc.) based on defined macroeconomic and policy conditionalities, frequently in conjunction with related IMF and World Bank efforts. Activities under Health/Population, Agriculture, and Transportation have to date been fairly standard development projects, tackling complex and often interrelated institutional and technical problems with long term commitments of technical assistance, training, commodities and some construction.

TABLE 1: SUMMARY USAID/ZAIRE PORTFOLIO AS OF FEBRUARY, 1989
(US Dollars \$1,000)

PROJECT NUMBER	PROJECT NAME	Init. FY	PACD	LOP Funding
<u>Stabilization/Recovery</u>				
660-0120	Private Sector Support Program (PSSP)	FY89	1995	\$35,000
660-0121	AEPRP	FY86	7/01/89	15,000
660-0126	Fuel Sector & Transport Assistance (AEPRP)	FY89	TBD	15,000
PL 480	Title I	Annual	Annual	26,000
	Title III	FY89	Annual	12,000
<u>Health & Population</u>				
660-0101	School of Public Health	FY84	7/30/94	13,815
660-0107	Basic Rural Health II	FY85	7/30/92	21,700
660-0114	Shaba Refugee Health	FY85	3/31/91	2,500
660-0116	Shaba Refugee Water	FY85	9/30/90	11,156
660-0421	Combat. Childhood Communicable Diseases (CCCD)	FY82	9/30/90	11,156
660-0474	AIDS Prevention & Control	FY88	9/30/91	678
660-0094	Family Planning Services plus numerous central projects	FY82	9/30/89	7,940
<u>Food Production & Transport</u>				
660-0091	Applied Agr. Research and Extension	FY83	9/30/89	15,000
660-0124	Applied Agr. Research II (vice 091)	FY90	TBD	18,000
660-0102	Area Food and Market Development (Bandundu)	FY85	1/31/95	15,000
660-0105	Central Shaba Agr. Development	FY86	9/30/93	33,907
660-0119	Agr. Policy & Planning	FY86	5/31/96	14,500
660-0098	Agr. Marketing Development (Bandundu)	FY84	7/30/94	12,000
660-0115	Shaba Refugee Roads	FY88	9/30/90	2,140
<u>Other</u>				
660-0125	Small Project Support	FY89	9/30/94	6,000
698-0463 & -0455	Participant Training	Ongoing	Ongoing	+2,000 per year

Dollar funding levels of the Health/Population, Agriculture and Transportation sectoral projects are approximately matched by local currency contributions from A.I.D.-generated non-project assistance, frequently almost doubling the size of each project. With the exception of the refugee projects (660-114, 115 and 116) which are considered non-strategic, these large current and proposed technical sector projects are all of 8-10 years duration. Many are follow-ons to previous similar A.I.D. efforts in the specific sector. Because of the long-term, institution-building nature of many of the efforts, the Mission is considering possible use of sector grants in future programming.

The program works through Zaire's historic economic structure of the "three-legged stool" of State, Church and the Private Sector. Indeed, USAID/Zaire was prescient in including specific design for benefitting the private sector (transport) in its Project North Shaba PP as early as 1976, long before the "four pillars" of McPherson's A.I.D. administration were conceived (Rosenthal et. al., 1986, p. B-7). It has continued to strengthen its work with the for-profit private sector in transport, population and other spheres, through CIP, social marketing and other mechanisms, and envisions a large private sector fuel/transport-related AEPRP in FY 89/90. It has traditionally worked with numerous U.S.-based and indigenous NGO's (religious and secular) in health and family planning and has begun to move strongly towards NGO's as the only sustainable means of agricultural outreach in such an enormous and decentralized milieu.

The overall program, in sum, has a large degree of cohesion and continuity which has evolved over the years and which seems to fit the needs of Zaire fairly well. Given this perceived fit, and the difficulties inherent in "...revising the project purpose and outputs to try to ensure consistency..." (SOW, Background) with existing program goals, this chapter proceeds on the assumption that it is the program's goals that should be revised to fit current development needs as can be supported by the project portfolio. Articulation of the program's objectives and demonstration of performance and impact in terms and at levels which A.I.D./Washington and the Congress can understand and use has to date been less cohesive and effective than the potential suggests. The remainder of this chapter will focus on proposing modifications in its articulation in the coming years.

2.2 USAID/Zaire Explicit Program Objectives

Figure 3 overleaf attempts to capture the program strategy articulated by the Mission in its most recent strategic external reporting documents, its FY 89-91 Action Plan. There are two versions of the AP, one from April 1987 and one from May 1987; both have been used to assemble the figure. In the April version, the program included five basic elements: Stabilization, Recovery, Small Farmer Food Production (which included agriculture and transport), Health, and Population. By May, the Program had been conceptualized to include four elements: Stabilization/Recovery, Agriculture, Transport, and Health/Population. The "Operational Objectives" and benchmarks were relatively the same in the two documents, and the figure attempts to capture both versions.

FIGURE 3: USAID/ZAIRE EXPLICIT PROGRAM OBJECTIVES
(from FY1989 Action Plan, April 1987)

<p>To improve the living standards of the Zairian population by supporting both rehabilitation of infrastructure and improvements in managerial and technical skills</p>			
<p>Short-Term Stabilization + Economic Recovery Support</p>	<p>Increased Output from Small Farms</p> <pre> graph TD A[Increased Output from Small Farms] --> B[Agriculture] A --> C[Transport] </pre>	<p>Improved Health Status + Lower Population Growth</p>	
<p>To support and encourage the GOZ, IMF and World Bank to maintain the economic liberalization program</p> <p>To facilitate both policy dialogue and promotion of the private sector as the vehicle for economic expansion.</p>	<p>To increase output from small farms with a major focus on food crop production for both increased income and nutrition.</p> <p>To improve access of small farmers to markets for their produce, to information, and to consumer goods in Shaba & Bandundu.</p>	<p>To continue to develop basic health related services infrastructure in rural areas.</p> <p>To reduce morbidity and mortality caused by six vaccine-preventable diseases in children under 5 years of age and to prevent tetanus in pregnant women.</p> <p>To address the malnutrition problem (not explicitly stated but discussed)</p> <p>To increase urban contraceptive prevalence.</p>	
<p>No specific benchmarks given</p>	<ul style="list-style-type: none"> —RFP issued (660-0119) —Long-term contractor selected (660-0102) —5 Participants depart for long-term training (660-0119) —PP amended —Seed enterprise operational —100 km of road rehabilitated in Central Shaba (660-0105) 	<ul style="list-style-type: none"> —Seven family planning operations research projects underway (660-0094) —Transport Drill and compressor to site (660-0116) —Coverage rate at end of FY88 for vaccine preventable diseases and malaria increased to: measles—65%; SCH—75%; DPT 3—60%; Polio 3—60%; Tetanus Toxoid—70%; ORT—70%; Malaria (presumptive treatment) —__%; Malaria (chemoprophylaxis) —30%. 	
<p>Provide balance of payments support (PSSP, AEPRP, Title I/III)</p> <p>Provide budgetary support (counterpart funding)</p>	<p>S-T Training, L-T Training, Research Policy, Production, Bridges, Culverts, Roads, Other (660-0080, 0091, 0100, 0102, 0103, 0105, 0119, and 0121 which under "other" includes \$15 million in agricultural inputs purchased by the private sector).</p>	<p>Health Services Delivery, Training & Technology Transfer, Basic Infrastructure Rehabilitation, Research and Other (0079, 0094, 0097, 0101, 1107, 0114, 0116, 0122, Title II, 698-0421).</p>	

This framework was theoretically the key report against which the Mission and A.I.D./Washington were supposed to measure program performance and impact.

As indicated in Figure 3 and as plainly evident in the complete document, linkages between and among the three levels were not well defined nor applied in terms of ultimate internal or external audience utility. An occurrence such as "RFP issued" or "TA team arrives" is an internal project-level management action which should be monitored as part of a periodic implementation plan and reported out in a PIR, not as a program-level benchmark. Such occurrences are not measures of program (or project) performance or impact. "Coverage rate per year per vaccine preventable disease" is a performance indicator for both the CCCD project (purpose level) and, given health sector objectives, the health program as well, thus making it a program-level benchmark under current definitions.

The inclusion of numerous types of occurrences--ranging from implementation actions to input delivery to output to end-of-project status--in the same category of program-level indicators is not particularly useful to internal management and presents a classic example of why Congress is frequently confused about what A.I.D. does. The new CDSS that USAID/Zaire is just beginning provides an excellent opportunity for the Mission to realign its rhetoric in a more logical and useful way, and this Consultant strongly urges the Mission to do so.

One possible starting point for such a realignment would be to review all project goals and purposes and determine what cohesive threads exist which would adequately represent the program and which could be synthesized and/or restated as "strategic objectives" and "targets". The Statement of Work for this Consultancy requested, in fact, that the Consultant "analyze the consistency between the USAID Action Plan objectives and the individual/project purpose and outputs. Based on this analysis specific changes that are needed will be proposed" (89-KINSHASA 02478, para 3, reproduced as Annex A). Just prior to the Consultant's arrival, however, the Mission produced such a document, "A Report Categorizing the USAID/Zaire Mission Portfolio by Action Plan Elements, Program Goal Achievement Measures, and Types of Outputs" (Edward D. Kiely, January 27, 1989). It lists out all active Mission project LogFrames and attempts some simple sorting and categorizing by Action Plan program objective and types of inputs and outputs delivered. It primarily documents the same sort of "apples and oranges" approach to setting of project objectives and definition of project-level indicators as is found in the program level Action Plan discussed above.

Given these irregularities, the Consultant concluded that comparison of the two explicit objective sets (i.e. the program level Action Plan and the project level LogFrames) or use of one as the explicit "constant" against which to realign the other would not be the best starting point for program clarification, and would not greatly enhance the Mission's ability to measure program performance or impact. Section 2.3 below assesses the implicit objectives of each sector, seeking to restate what the sector program is doing in terms which lend themselves towards aggregation by AFR in the DFA context. Section 2.4 synthesizes the discussion of implicit objectives with the "new" AFR program planning,

monitoring and evaluation framework and offers an illustrative set of benchmarks, targets and strategic objectives for the evolving CDSS. Chapter 3 then reviews on-going information collection and analysis activities to determine the extent they are or are not supplying the demand as defined by the new framework.

2.3 USAID/Zaire Implicit Objectives

Section 2.2 above documents the difficulties associated with defining what USAID/Zaire seeks to do, i.e. its explicit program objectives. The paragraphs below document, at a summary level, what it is doing through looking at implicit sector and some project objectives. These are stated as potential sector program targets, which Chapter 1 notes are still subject to ambiguity in the Bureau for Africa. As stated in Chapter 1.4, the Consultant is using them to reflect the desirable outcome(s) of major elements within the group of projects/non-project assistance leading towards achievement of strategic objectives.

The analysis uses the existing categorization of projects as reflected in Table 1 as a starting point for the analysis. It focusses only on major active projects which are strategically oriented. Thus the refugee projects (which were politically motivated) and the general participant training projects (which support all strategic activities) are not analyzed herein. Where a major project is ending and a major follow-on is under design (i.e. the major Agricultural Research effort) these are taken as one "project" in the continuum.

2.3.1 Health and Family Planning. Matching Agency-wide experience, USAID/Zaire activities in this sector are well designed and articulated at both the individual project and broader sectoral level, allowing for on-going generally high-quality project and program level performance and impact monitoring and evaluation. The sector comprises 3 major bilateral projects, Basic Rural Health II (BRH II, 0107), the School of Public Health (0101), and Family Planning Services (0094), as well as several combined centrally-funded and mission buy-in ventures such as CCCD, HealthCom, Operations Research (Tulane, population), REACH, TIPPS, AIDSTECH, HIV/AIDS Prevention and Control, etc. These projects provide interrelated assistance to the GOZ and private sector (for profit and not for profit) in working towards the following major objectives:

- Increasing access to community-based preventive, promotive and basic curative primary health care (PHC) services. The cornerstone of this effort is the Basic Rural Health II (BRH II) Project which is creating the basic health infrastructure to deliver child survival and other critical PHC services in increasing numbers of rural health zones throughout Zaire. Included in definition of "infrastructure" is furniture and equipment for health posts as well as trained personnel (through the supportive School of Public Health) carrying out a wider variety of interventions, e.g. ORT, measles vaccinations, malaria suppressants, (through the supportive CCCD Project), family planning (in collaboration with Family Planning

Services), etc. The percentage of rural Zairians covered by these newly functional zones increased from 26 percent in 1977 to 46 percent at the end of 1987, although types and levels of "full" services still vary.

- Decreasing incidence of vaccine-preventable disease among children under five years of age. While this can be considered an indicator of improved quality of PHC services, it is also implemented as a major separate and measurable set of interventions with a more specific target population and funding source, the centrally funding Africa Child Survival Initiative/Combating Childhood Communicable Disease (CCCD, 698-0421). Thus both projects, and the School of Public Health Project, contribute to achievement of both objectives of equal importance to effective primary health care. Measurement of target population covered by vaccinations by disease is on-going.

- Decreasing potential (??) for water-borne diseases in selected rural areas. Again, this might be considered an indicator of PHC achievements but is the subject of a large and definable set of interventions in both improvement of village water supplies and sanitation (under BRH II) as well as education and training in ORT (under BRH II and through the School of Public Health and CCCD). Measurement includes the increasing population with access to "safe" water; increase in use of ORT as treatment for diarrhea; and possibly decreased incidence of cholera and/or malaria (CCCD).

- Preventing HIV/AIDS associated transmission among high risk groups. Recent data indicate that in Kinshasa adult seropositivity is in the 3-8 percent range, with other major cities having an estimated 5-6 % of the adults seropositive, making AIDS a major health problem in Zaire. A.I.D. is working through all of its bilateral health/family planning projects and through several centrally-funded mechanisms (HealthCom, AIDSTECH, etc.) to support GOZ efforts to better define the magnitude of the problem and to reduce HIV associated morbidity and mortality. A.I.D. inputs are in numerous fields, primarily focussing on primary and operations research on transmission prevention and on training and education in prevention. Measurement of "prevention" is difficult but may be measured in terms of population covered by education and training programs; research findings on AIDS knowledge-attitude-practice; qualitative assessments of GOZ commitment; etc.

- Increasing couple years of protection in family planning, through public and private sector efforts. This major element of the health/FP portfolio is led by the Family Planning Services Project 0094 in urban areas and complemented by activities under BRH II in rural areas, as well as numerous complementary efforts by centrally-initiated projects. Couple years of protection is not yet measured but can be indicated by

types of protection sold/distributed on a continuing acceptor basis.

The health/family planning portfolio supports numerous other activities, but in terms of aggregation the efforts above probably define the major elements of what it is working towards. USAID/Zaire Health and Population Officers will no doubt change words and possibly add or subtract one or two key objectives, i.e. something on health financing or sustainability might be indicated as it is also a common theme in PIRs above output level.

There are selected indicators, e.g. infant and child mortality and infant and child chronic malnutrition, which are used as AFR Country Trend Indicators but which are also monitored by USAID/Zaire/HPN as "Program Impact Indicators", which could be either or both Country Trends and Performance Indicators in the new program framework. A persuasive argument can also be made for them to be used as program targets, with geographic and/or beneficiary population limitations carefully stated. The Consultant prefers their use as Performance Indicators, with the Targets remaining more directly linked to program elements (projects, policy dialogue, etc.)

2.3.2 Agriculture. USAID/Zaire activities within this rubric combine in a fairly classic A.I.D. agricultural program. National level Agricultural Policy and Planning (0119) and Research (0091) feed into regionally based outreach (extension), production and marketing efforts in Shaba (0105) and Bandundu (0102), with participant and in-country training provided within each project and by other mission training venues. The portfolio focusses on the following efforts:

- Increasing food crop production. The Agr. Research, Shaba and Bandundu projects work directly towards this objective. The Research project is developing technically and culturally appropriate varieties that are disease and pest resistance and result in higher yields. The Shaba and Bandundu projects are directly and indirectly distributing improved seeds/cultivars and training farmers in improved cultural practices. The Policy and Planning Project is tracking overall production and moving towards "creating an enabling environment" for it to occur on a sustainable basis. Measurement of achievement would involve direct production measurement in the impact areas (although cassava production is difficult and costly to measure) as well as monitoring number of farmers using improved varieties of selected crops in each of the impact areas. Finally, in terms of "sustainability", qualitative tracking of financially, technically, managerially viable agricultural input supply institutions and of NGO's engaged in outreach in Central Shaba and Bandundu is important.

- Increasing diffusion of new agricultural technologies on a sustainable basis. The Shaba and Bandundu projects are most prominent in this efforts, through use of NGO's in Bandundu, and TRABEZA and Farmer Leaders in Shaba, testing several different

types of outreach modes in the for profit and not for profit private sector. The Agr. Research Project is also working with selected NGO's in multiplication of new foundation stock. Measurement of achievement would include number of farmers utilizing new seed cultivars and/or agronomic practices, number of viable rural institutions engaged in outreach, etc.

- Improving performance of the GOZ in establishing agricultural and related policies which support and stimulate agricultural production. This effort is supported by the Agr. Policy and Planning Project as well as through policy dialogue at the national level. (There may be some regional level efforts as well??) Measurement of "improved performance" may be made in terms of critical policy issues identified and prioritized on a periodic basis, increased linkage between SEP data collection and analysis efforts and policy issues, etc.

- Increasing efficiency and effectiveness of the national agricultural research system. This is the primary aim of the current Agricultural Research Project and will, in some variation, likely be the purpose of its proposed follow-on project. Its overall effectiveness can be measured within the project and in the context of A.I.D.'s regionally-based projects through numbers of farmers using new varieties in specific areas. Effectiveness would be judged in such terms as number and types of new varieties of maize, cassava and selected legumes identified which are disease/pest resistant, high yielding, culturally acceptable and profitable for farmers to grow. A key long term qualitative measure of efficiency might be formulated around the development and implementation of a plan for institutional (including financial) sustainability of maize, manioc and legume research programs.

Both the Shaba and Bandundu projects emphasize increased marketing of food crop production as desirable outcomes, but it was unclear to the Consultant if this was actually a major program objective or simply an indicator that production had increased. Rehabilitation of roads in Shaba to connect major production areas with railheads is discussed as an output leading to increased marketing, but may also be viewed in the same "enabling environment" context as price liberalization, contributing to increased production. Organization of markets in Bandundu is a more direct set of activities. The treatment of marketing within the agriculture portfolio requires further investigation.

The point is that it is important for the projects, and the agriculture program as a whole, to more carefully and explicitly define its ultimate aim (leaving aside frameworks for a moment). The Consultant suspects that the portfolio is moving towards two primary outcomes, one being increased food crop production (aggregate) and the other being an improved standard of living in selected rural-urban corridors (Central Shaba-Lubumbashi and Central Bandundu-Kinshasa). If "increased food crop production" is indeed the operative aim, then such considerations as "who benefits and how" are not of great importance to project or program success. Marketing of surplus indeed becomes an indicator of high

production and questions such as are raised in the recent WID evaluation regarding impact of cash cropping on household nutrition and income are of lesser importance. If the operative aim is "improved standard of living", then the focus on increasing food crop production as the key means of achieving this needs some improved focussing as to who is benefitting from the increased food (the producers and/or the urban workers ??) and how they are benefitting (or not).

At least two of the Project North Shaba (PNS) evaluations (Rosenthal, et. al. in 1985 and Poulin, et. al. in 1986) documented the tension between just those two ultimate aims--at the purpose level--in that project. The project began as a multi-faceted effort with a "standard of living" goal. By about 1982, it was amended to focus instead on "increased maize production." The Consultant suspects that it was this shift in focus that led, inter alia, to the sharp decrease in efforts with farmer organization and with WID issues (for the latter, see Koopman Henn, et. al., 1988). That is, "who benefits and how" became secondary to producing maize, so that if disbenefits such as decreased producer household nutritional levels or decreased women's production of other food crops occurred the project could legitimately beg off, saying "that wasn't our objective."

The Consultant cannot and has not been asked to resolve this tension in this short Consultancy. It is strongly suggested, however, that the ARD office work internally and with the APAP II team to more carefully articulate its strategy in the coming months. A decision towards one or both of what appear now to be equal strategic objectives would have strong bearing on implementation modes and project/sector assistance efforts in future years. The decision is also necessary in order to define the parameters for "program performance".

2.3.3 Transport. This category includes part of the aforementioned Project 105 in Shaba, a Refugee Roads project which is outside of the strategic emphasis, and Project 098, which has three components: river transport, road transport, and technical and socioeconomic research on transport. The proposed fuel/transport sector AEPRP may be considered part of this category, depending on how it evolves. The focus of the transport activities, however, is somewhat vague beyond 1) specifically supporting agricultural input supply and production marketing in Shaba; 2) supporting increased movement of goods and services in more general terms in central Bandundu; and 3) working with the Office des Routes to get more operating expenses in both locations and, possibly, nationally through the new AEPRP.

The first two sets of activities seem to be operating on the basis of numerous assumptions which may or may not be true in Bandundu and Shaba. Examples include: A competitive market exists and is constrained by transport. If the transport constraint is relieved, the producers will have access to more (competitive) traders. Prices will thus be competitive and producers will benefit. Because of improved transport infrastructure, traders' costs will decrease and the savings will be passed on to the consumer. Both 098, through the amendment in process, and 105, through the new information office, will be investigating a

number of these and related assumptions in the coming months. The Consultant suggests that a better understanding of market dynamics is critical to developing means to increase the effectiveness of USAID/Zaire's transport investments (i.e. program performance).

In terms of the third, more institutional, set of activities, the strategy again needs more precision if performance or impact is to be demonstrated. If the activities under the centrally-initiated Decentralization: Finance and Management (DFM) project get moving in Shaba and Bandundu and the Mission does enact the fuel sector AEPRP with some conditionalities regarding Office des Routes and SNRDA, then this set of transport activities may have more of an identity of its own, meriting a separate CDSS or Action Plan objective and set of targets relating to creating an adequate financial and organizational structure for road rehabilitation and maintenance. As it stands, the 098 and 105 efforts are more project output-level achievements subsumed under the agriculture objectives, and the AEPRP could go there or under the proposed private sector rubric (see 2.3.4 below). If the AEPRP does not come on stream, the Consultant recommends subsuming the transport activities within other strategic pursuits. There simply isn't enough to say about them as they are.

2.3.4 Stabilization/Recovery. This had been a category for the nonproject assistance transfers of previous years, specifically balance of payments and budget support transfers complementing IMF and World Bank efforts. It has been maintained as an interim category for efforts that deal with the macroeconomic environment and do not fit into the health, agriculture or transport sectors. With the approval of the new \$ 35 million Private Sector Support Program (0120) and imminent implementation of a \$ 6,000 Small Project Support Project (0125), which is an NGO Support effort, the Program Office is recasting these and other efforts into a private sector strategic focus.

The Consultant fully supports this focus and offers only two caveats. The first is that both project design documents (the PAAD for 120 and the PP for 125) represent ambitious efforts replete with numerous objectives and indicators and topics to be monitored and investigated. Because they have not yet been implemented they do not have separate explicit and implicit objectives ... yet. As they are staffed up and get underway, they too will begin to shake out and take on their own characteristics. Careful definition now of which elements are most important to the Mission may prevent frustration that "nothing has happened" two years from now.

For 120, PRM and PDO are in the process of establishing roles and responsibilities for both offices and personnel in terms of implementation actions and monitoring conditionalities under the project. During the Consultant's brief interviews, different players discussed different components as high priorities. As the responsibilities are defined, it is important that the team of players work together to come to agreement on priorities.

The second caveat is related to the first, simply, that the Mission shouldn't set itself up for a fall. The PSSP 120 project LogFrame states as a purpose: "to restructure the Zairian commercial banking sector to support productive investment by medium and smaller scale enterprises". This is a well conceived purpose-level statement and appears achievable, given the design of project inputs and outputs. One of the stated indicators (EOPS) that the purpose has been achieved, however, is puzzling to the Consultant: "medium and small scale enterprise employees, consumers and smaller urban and rural producers benefit, respectively, from increased employment, greater supplies of basic consumer goods, and improved urban markets for agricultural and other products". The Consultant suggests that this listing of good things is not a particularly useful set of indicators to measure a restructured commercial banking sector. Also, the project is structured (inputs, outputs, supportive policy dialogue) to support increasing MSE production and profitability, which may be incompatible with increased employment. Given increasing Congressional and A.I.D./W emphasis on demonstrated performance, the Mission should begin thinking in terms of and documenting what it can reasonably expect to achieve with a given set of inputs and not what would be nice to happen.

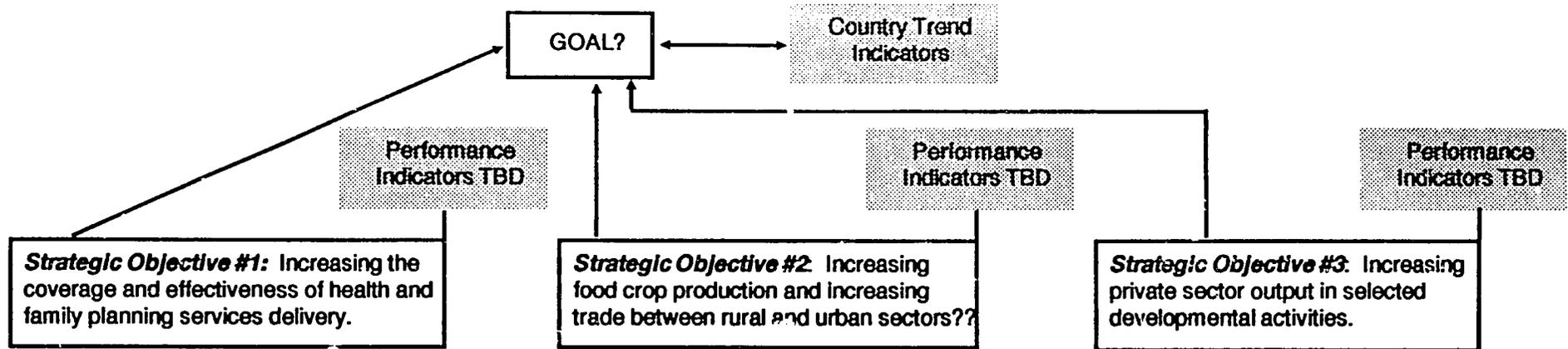
The P.L. 480 Titles I/III program had also been under the Stabilization/Recovery rubric. As the Consultant understands it, it now becomes, like participant training, an element of support for all Mission strategic activities. That is, the self-help measures will evolve to provide sectoral policy dialogue support in agriculture and private sector and possibly health endeavors. Because the DFA encourages more integration of P.L. 480 into overall programming, the Mission should more clearly articulate this support role in the new CDSS.

2.4 Recommended Synthesis

Figure 4 overleaf provides a draft and summary recommended new program "objective tree" which illustrates conceptually and measurably useful Strategic Objectives, Targets and some Benchmarks. Because the Mission is just beginning its CDSS exercise it will likely arrive at a completely different array. It is strongly recommended that whatever wording or sectoral focus the Mission finds more useful be tested for logic by fitting it in the same type of "tree". A detailed explanation of each level follows to facilitate such an exercise.

2.4.1 Goal. The Mission has to date maintained a "standard of living" statement as its primary goal. The CDSS Guidance Cable does not require a goal, and asks for strategic objectives to respond to identified problems. The USAID/Zaire Program Office, however, believes a Goal statement is useful and the Consultant has thus retained it in the recommended Program Planning, Monitoring and Evaluation framework presented in Figures 2 and 4.

FIGURE 4: ILLUSTRATIVE USAID/ZAIRE PROGRAM PLANNING FRAMEWORK



Targets would include:

1.1 Increasing availability of (access to?) community-based preventive, promotive and basic curative primary health care (PHC) services.

Illustrative Benchmarks:

- # of health zones established and equipped;
- # health zones staffed with trained personnel
- % population covered by PHC services;
- # trained persons working in PHC

1.2 Decreasing incidence of vaccine-preventable disease among children under five years of age.

Illustrative Benchmark:

- % coverage rate/disease/year

1.3 Decreasing potential (??) for water-borne diseases in selected rural areas.

1.4 Preventing HIV/AIDS associated transmission among high risk groups.

1.5 Increasing couple years of protection in family planning.

Targets would include:

2.1 Increasing food crop production on a sustainable basis.

Illustrative Benchmarks:

- % increase in maize production in Central Shaba.
- % increase in cassava production in selected areas of Central Bandundu.

2.2 Increasing diffusion of new agricultural technologies on a sustainable basis.
—# of NGO's engaged in agricultural outreach

2.3 Improving performance of the GOZ in establishing agricultural and related policies which support and stimulate agricultural production.

2.4 Increasing efficiency and effectiveness of the national agricultural research system.

2.5 Increasing efficiency and equity (locational spread) of rural agricultural markets.

Targets would include:

3.1 Mobilizing domestic resources and increasing medium and small scale enterprise investment.

3.2 Creating an adequate financial and organizational structure to support more effective rural private sector transport.

3.4 Increasing the developmental effectiveness of non-governmental organizations in a sustainable manner.

Because no Goal statement is required, there is no particular guidance on the relationship of the goal to the Mission program. The LAC allowable goals are summarized as stabilization, reforms/growth, spreading benefits, and democracy, which seem to the Consultant to be of an "intermediate process" order rather than the "end product" standard of living. cursory review of the FY 1990 CP revealed that several AFR Missions didn't claim goals, and those that did focus on more direct outcomes such as "increased rural incomes", "increasing growth on a per capita basis", etc. The Foreign Assistance Act includes an array of 33 objectives from which the Mission could pick and choose. The AFR/DFA goal of "sustainable, broad-based, market-oriented economic growth" would be another option.

The Program Office has stated that it wants a Goal, and several persons seem to believe that the Goal should be oriented towards welfare, i.e. quality of life or standard of living. The Consultant believes there may be a more direct relationship between the program, as constituted, and a statement that would capture the market-oriented economic growth inherent in the private sector and agriculture efforts and the welfare inherent in the health/population efforts. Because no guidance is offered on how direct or indirect the Goal-Strategic Objectives relationship should be, the Consultant leaves it to the Mission to choose whatever it wants.

2.4.2 Illustrative Strategic Objectives, Targets and Benchmarks.
Deriving from the program targets discussed in section 2.2, the Consultant has proposed three strategic objectives that reflect Zaire's needs and the Mission portfolio, supported by the previously stated targets and including selected illustrative benchmarks.

Strategic Objective # 1: Increasing the coverage and effectiveness of health and family planning services delivery.

Targets would include:

1.1 Increasing availability of (access to?) community-based preventive, promotive and basic curative primary health care (PHC) services.

Illustrative Benchmarks:

- # of health zones established and equipped;
- # health zones staffed with trained personnel;
- % population covered by PHC services;
- # trained persons working in PHC;

1.2 Decreasing incidence of vaccine-preventable disease among children under five years of age.

Illustrative Benchmark:

- % coverage rate/disease/year

1.3 Decreasing potential (??) for water-borne diseases in selected rural areas.

1.4 Preventing HIV/AIDS associated transmission among high risk groups.

1.5 Increasing couple years of protection in family planning.

Strategic Objective # 2: Increasing food crop production and increasing trade between rural and urban sectors??

Targets would include:

2.1 Increasing food crop production on a sustainable basis.

Illustrative Benchmarks:

- % increase in maize production in Central Shaba.
- % increase in cassava production in selected areas of Central Bandundu.

2.2 Increasing diffusion of new agricultural technologies on a sustainable basis.

- # of NGO's engaged in agricultural outreach.
- # of seeds sold by TRABEZA at a given price relative to TRABEZA's cost of production; etc.

2.3 Improving performance of the GOZ in establishing agricultural and related policies which support and stimulate agricultural production.

2.4 Increasing efficiency and effectiveness of the national agricultural research system.

2.5 Something on marketing, not simply increasing access. Maybe "Increasing efficiency and equity (locational spread) of rural agricultural markets." ???

Strategic Objective # 3: Increasing private sector output in selected developmental activities.

Targets would include:

3.1 Mobilizing domestic resources and increasing medium and small scale enterprise investment.

3.2 Creating an adequate financial and organizational structure to support more effective rural private sector transport

3.4 Increasing the developmental effectiveness of non-governmental organizations in a sustainable manner.

As objectives and targets are developed, the Mission should continuously think in terms of practical benchmarks even though those are not necessary for the CDSS. This will help provide the link between projects--what they are achieving and able to report--and program more easily.

3. USAID/ZAIRE INFORMATION ACTIVITIES

The Consultant's Statement of Work included the requirement to "...compare the past and current research activities to the research priorities required or implied to measure achievement of USAID's individual project outputs, purposes as well as the USAID Action Plan. This comparison will identify the extent to which the present system is providing needed program impact and evaluation data and the necessary shifts in activities to improve the research system." Given time available and devoted to defining the proposed program framework in Chapters 1 and 2, the Consultant has only made a very summary review of past and current research activities as compared to needs. This summary is presented below. As the Mission reaches consensus on its Program Goal, Strategic Objectives, and Targets, it will better be able to make such a comparison.

Given the large and varied portfolio summarized in Chapter 2, USAID/Zaire clearly has multi-level information needs for project and program monitoring, evaluation and reporting. As discussed in Chapter 1, these needs can be classified by use, as those for internal, generally project-related management purposes, and those for external, project and program management purposes. The following sections summarize the Mission's current and planned efforts for collection, analysis, dissemination and use of both types of information and identifies some potential gaps and redundancies.

3.1 Current & Planned Information Activities to Meet Project Level and USAID Internal Needs

Information necessary for project management is generally collected, analyzed, disseminated and used on both a formal and informal basis. The informal system comprises frequent dialogue and sharing of qualitative data between and among the USAID Project Officer and implementing agency, the Contractor/Grantee and/or relevant Zairian organization(s). In the informal system, USAID or Zairian supervisors are called upon on an ad hoc basis for specific problem solving needs. Although the Consultant did not (and was not asked to) assess this system in any depth, it appears to form the key basis for most USAID project management decision-making.

The more formal system comprises semi-annual Project Implementation Reports (PIRs), Contractor/Grantee Quarterly Reports, Contractor/Grantee Monthly and/or Quarterly Financial Reports, Local Currency Budgets and financial reports, evaluation reports (using the USAID/Zaire system of start-up, mid-term, threshold and final) and other ad hoc data collection for special inquiries, etc. Two of these, the PIRs and the Evaluations,

are also sent to A.I.D./Washington and frequently generate project-specific feedback to the Mission. The Mission itself also has rigorous reviews of these documents with substantive participation by senior management. Because of their importance as bridging documents PIRs and Evaluations are discussed at more length in the following sub-sections. A third sub-section, on project baselines and special studies, offers some comments on the use of such modes at the internal level.

3.1.1 Project Implementation Reports. All informal and formal information venues at the project-internal level focus primarily on delivery of inputs and achievement of outputs. The output-to-purpose level of a project is only occasionally assessed in PIRs. This is not surprising nor unusual, in that Project Officers and Contractor/Grantees in environments such as Zaire generally spend well over 50 percent of their time just getting inputs in place. Indeed, the Consultant was told that many Project Officers at USAID/Zaire spend approximately 30 percent of their time on local currency budgets alone, in that they must co-sign checks. Adding time spent on dollar procurements in a Mission that has until recently retained much of the commodity procurement responsibility itself, and on monitoring basic implementation actions (has the training session been planned? have the materials been ordered? were the goods cleared at Matadi? etc.), it is clear that Project Officers rarely have time to devote to thought of higher level achievements.

The PIR format itself, at section C. Project Progress and Status, asks that purpose-level achievement be considered on a six-monthly basis. Question # 23 requires restatement of the project purpose and question # 24 requests "Progress towards meeting EOPS". The USAID/Zaire PIRs reviewed for this report, covering third and fourth quarter FY 88, all satisfied the requirements of question 23 by stating the project purposes but responded to question 24 in varying ways. Few actually listed out EOPS and reported concisely on results to date, as is competently done for outputs under question 25. Many instead finessed the EOPS by restating outputs in a narrative fashion. A.I.D./Washington itself doesn't seem to miss the linkage; in its reporting cable for the FY 88 first and second quarter PIR review it noted:

...[Project Committee] recognized that Mission uses PIR detail as part of Mission internal management process, but wonders whether formal reporting length could be reduced. One suggestion is to delete item 24 which compares scheduled and major implementation actions since any repeat of an activity in item 29, Major Actions Planned, would indicate activity had not been achieved and was delayed. (88-STATE 185424, para 2.B.)

This is not to say that A.I.D./Washington is not interested in higher order linkages. The cable cited above went on to state:

C. Project-Program Linkage: Project Committee appreciated format of overall summary and congratulates Mission on overall quality of PIR content. Zaire Mission viewed as forerunner within AFR Bureau in demonstrating project-program linkage.

[Project Committee] would, nevertheless, appreciate future overview statement attempt to better describe the estimated progress to date in attaining predetermined strategic objectives. For example and as noted below, program assistance and macroeconomic policy reform section could more fully describe how Mission continues to remain committed to World Bank/IMF structural reform program by discussing conditionality activities supported in AEPRP and future PSSP project as well as discuss status of reform initiatives. Better cohesion between child survival strategy would also seem appropriate.

Tying strategy to sector implementation status for cited examples and other portfolio sectors considered of increasing importance in AID/W especially in view of Congressional mandate to evaluate program impact. (88-STATE 185424, para 2.C., emphasis by the Consultant).

Thus A.I.D./Washington tacitly recognizes that Project Purpose statements may not offer the linkage now desired and is instead asking for a separate statement tying portfolio progress at a more aggregate level to strategic objectives. The Consultant does not under any circumstances recommend amending PPs so that purpose statements demonstrate that linkage more closely, but does recommend that Project Officers devote some of their scarce time every 6 months to assessing higher order progress through the PIR. One way to do this is to state EOPS and report on progress, as is requested in the PIR at question 24. Where stated EOPS do not accurately reflect what the project is implicitly accomplishing, this can be finessed ("to be studied in Evaluation planned for 3/91", etc.) and a new listing of implicit EOPS developed and reported on. To the extent that these include some of the program-level benchmarks and, occasionally, targets developed in the CDSS/AP process, so much the better.

3.1.2 Evaluations. USAID/Zaire's Evaluation efforts are well planned and organized, and appear to be used primarily for internal project management and sectoral program focus. Indeed, the one complaint the Consultant heard from several sources was that "we do too many evaluations at this Mission", yet most Project Officers seem to want as many as possible. The Mission follows a standard procedure of Start-Up, Mid-Term and Threshold evaluations for each project, with Impact evaluations undertaken where indicated. Scopes of Work for each type are relatively standard, asking evaluators to assess progress towards stated objectives, etc.

Project-specific evaluations are utilized by project managers and decision-makers to adjust implementation actions and schedules and to resolve constraints to progress where possible. For numerous reasons, they frequently focus on the input-output level of design. While this is understandable in that it is this level that takes up most of the managers' time, it can be an opportunity lost. An evaluation is an excellent time for implementors to pause and look at the project in the greater development context, retesting basic assumptions and assessing where the project purpose and goal remain attainable. If assumptions have changed, changes should be documented and corrective revisions to the

project taken. The Consultant realizes that outside teams tend to take on their own momentum, but urges managers and the Evaluation Officer to continue to impress upon evaluators the need to look at the whole project, including design assumptions, in the current development context.

Project-specific evaluations are also reviewed by the A.I.D./- Washington external audience and follow-up of evaluation recommendations is now mandated in PIRs. Responsibility for A.I.D./Washington review rests with AFR/PD. Backstopping PDOs read evaluation reports submitted and correspond with the appropriate Technical Office to determine if formal A.I.D./W review is necessary. In fact, because evaluations are less time-sensitive than documents tied to funding cycles (PPs, PAADs, etc.), AFR/PD recently indicated that only 5-10 percent of completed evaluations are expected to be reviewed by A.I.D./W independent of the PIR process (MSI AFR Report, p. 10).

The Annual Evaluation Plans as presented in the ABS appear to be followed by the Mission but little feedback from A.I.D./W is received on these plans. They basically serve as funding earmarks from various categories.

In summary, although project-specific evaluations are sent to A.I.D./W and might serve as an excellent means of reporting "Mission performance", in fact they receive limited external circulation and are in fact more useful as internal management tools. As the Mission's strategic objectives are developed, the Consultant recommends that attention be given both to more emphasis being placed on relationship of the projects to Mission strategy, and to more judicious use of cross-project topical evaluations in order to monitor achievement of program targets. Some ideas are presented in subsequent sections.

3.1.3 Baselines and Special Studies. Each project in the portfolio has a number of pre-project studies covering varying topics and of varying utility. Sometimes these studies are called "Baselines", sometimes they are later combined to become "Baselines", and sometimes "Baselines" are undertaken two or three years into the project. In addition, many of the projects have supported numerous topical studies or surveys of interest to implementors. These are again of varying utility. Some are frequently cited and others are put on shelves and forgotten. Because of staff turnover within projects and at USAID/Zaire, some very good studies are rarely consulted, and "lessons learned" are lost.

The Consultant was not able to make the desired exhaustive list of such research, and indeed, questions the utility of an outsider doing so. Three specific recommendations are, however, offered:

- 1) Each Project Officer, in collaboration with project contractors/grantees, should be directed by the Mission Director to develop and maintain a list of all project-generated reports, with dates produced and last known location of a copy of the report indicated, whether they are Contractor Quarterly Reports or Baselines or topical studies. These listings should be maintained on diskette so that they can be

updated periodically. This exercise would serve the immediate purpose of cataloguing for USAID what it had recently funded, and might serve a medium-term purpose of providing new officers who arrive a relatively simple way to bring themselves up to snuff on the project.

2) The existing Bandundu bibliography should be up-dated and hard copies of existing documents put in two locations, the USAID and PROCAR offices. Thus, if one document is lost or portion of the library erroneously mailed to A.I.D./W (as has happened), another set will exist. If a Shaba bibliography does not yet exist either in Lubumbashi or at USAID, one should be developed. This should include a listing of all reports done under PNS as well as relevant Central and South Shaba documentation. Both regional "libraries" should be augmented by USAID and contract teams as implementation progresses. Walter West of PROCAR and Art Westneat of Central Shaba should be charged with these tasks and given adequate resources to ensure that they are carried out.

3) USAID/Zaire or the respective projects should, as time permits, contract with known Zairian researchers (from the University) to assemble non-A.I.D. material on Bandundu and Shaba if this has not yet been done. New researchers or Consultants should not have to "recreate the wheel" each time a question is asked.

The Consultant is not a believer in collecting information for information's sake nor in overly centralized information centers. A.I.D. has enough of a past and projected future investment in the two regions that small documentation centers (locked cabinets, at the least) are merited. As they are developed, gaps and major inconsistencies can be identified that will better focus future information analysis efforts.

The question of more centralized information collection has been raised as well, in the name of efficiency. That is, some USAID professionals have suggested that if, for example, an agriculture project is doing primary data collection exercise, shouldn't it collect health data as well? In the case of USAID's specific sub-regional foci in Central Bandundu and Central Shaba, the Consultant would tend to agree. In other cases, however, the Consultant suggests that enumerator training, length of the instrument and potential informant confusion/fatigue might be problematic if too many subjects were covered at the same time. The Consultant recommends simply that such decisions be made on a case by case basis with the guide being need to know.

3.2 Current & Planned Information Activities to Meet Program Level and External Reporting Requirements

Two figures from the recent AFR Report cited in Chapter 1 are reproduced on the following pages to provide the Mission a context for its own proposed Program Impact Evaluation system.

FIGURE 5: CURRENT STATUS OF EFFECTIVENESS

Functions Levels	Monitoring	Evaluation	Reporting
Project/Non-project	<ol style="list-style-type: none"> 1. Progress checked through PIR's mainly at input/output levels. 2. Project monitoring, i.e. quarterly implementation reports, focuses on inputs and outputs not EOPs. 	<ol style="list-style-type: none"> 1. Most projects have mid-term evaluations. 2. Some projects have final evaluations. 3. Some lessons learned are incorporated into design and implementation. 	<ol style="list-style-type: none"> 1. All levels of Logframe are reported in PIRs. 2. Ad hoc reports for special needs. 3. Financial data collected regularly and analyzed for decisions.
Country Program	<ol style="list-style-type: none"> 1. Impact data are often hard to obtain. 2. Measurement at purpose level and above is limited. 3. Country program and country trend indicators are mixed so attribution is sometimes limited. 	<ol style="list-style-type: none"> 1. Evaluated through action plan. 2. Sectoral decisions made based on aggregate or single measures from projects. 3. Action plan objectives are measured through benchmarks only. 	<ol style="list-style-type: none"> 1. Project financial data has to be re-analyzed to meet earmark reporting needs. 2. Action Plan program assessment subjectively interpreted in reporting. 3. No odd year reporting.
Bureau	<ol style="list-style-type: none"> 1. Project level data used to monitor overall portfolio. 2. Very limited use of country specific independent data. 3. Data quality often dependent on state of data gathering subject country. 4. Data quality varies by sector or type of intervention (e.g., agriculture vs. health). 	<ol style="list-style-type: none"> 1. Evaluated by Congress in funding decisions. 2. Variety of program and project level information used to determine overall funding priorities for continent. 3. Bureau concerns drive CDSS not vice versa. 	<ol style="list-style-type: none"> 1. Many Congressional requirements are prepared ad hoc. 2. Too much information has to be digested for decision. 3. Quarterly reports to Congress on DFA.

FIGURE 6: POTENTIAL STANDARD OF EFFECTIVENESS

Functions Levels	Monitoring	Evaluation	Reporting
Project/Non-Project	<ol style="list-style-type: none"> PIRs monitor purpose level achievement and sustainability concerns from project start-up. (Output attainment is not only factor in purpose achievement.) 	<ol style="list-style-type: none"> All projects have mid-term evaluations which examine basic premise as well as design. Final evaluations focus on answering sustainability issues as well as measuring project accomplishments. Mid-term and final evaluation provide supplemental country program level (Action Plan/CDSS/PIR) information. 	<ol style="list-style-type: none"> PIRs report output level and above only. (Input issues are addressed on an exception basis.) PIRs reflect progress on sustainability. Relationship between financial data and project progress is analyzed beyond pipeline reporting needs.
Country Program	<ol style="list-style-type: none"> Measures for strategic objectives are identified in Action Plan. Purpose levels of projects and target levels of objectives are measured every 2 years. Country program indicators are articulated separately from country trend as needed. 	<ol style="list-style-type: none"> Action plan evaluates progress on strategic objectives as well as benchmarks. Some benchmarks require data collection efforts outside of projects to provide independent measures at country level. Country trend indicators evaluate overall development progress which may or may not be affected by A.I.D. programs. 	<ol style="list-style-type: none"> Project and program financial data provide earmark information without special aggregation. Basic standards for qualitative and quantitative action plan reporting provide some basis for comparison. Strategic objective progress is reported annually in 1st PIR for FY.
Bureau	<ol style="list-style-type: none"> Action plan reports used to monitor and compare progress across continent in A.I.D. prime areas of intervention. Country trend information provides context for program progress monitoring. Other donor data sources are used to monitor and compare progress. As data gathering and analysis is improved, in-country new data sources are used. 	<ol style="list-style-type: none"> Congress presented data which includes perspective on A.I.D. intervention levels vis-à-vis other donors and by sector emphasis. Similarities in CDSS and AP objectives are used to evaluate progress in key sectors by bureau (TR&DP). Decisions on priority countries are informed by country as well as project data and are made in complete donor context. 	<ol style="list-style-type: none"> Many Congressional requirements are foreseen and regular data gathering captures 75% routinely. Top leadership has summary reports in easy format for resource and program decisions.

The figures demonstrate that although the PIR process seems to provide information necessary at the project level, little progress has been made on articulating desired standards for country program performance or impact reporting. In sum, there is very little guidance from A.I.D./Washington on any "standard" for such an effort.

The projected demand for such information appears to be at a level that is somewhat greater than respective project purpose achievement but less than overall quality of life of the poor majority. Chapter 1 attempts to establish a framework to articulate such a level and meet the demand, bridging the gap between project inputs and outputs and ultimate impact of the overall program. It mentions progress and lack thereof in AFR's establishing standards and indicators for gauging program performance and impact, but recommends that USAID/Zaire consider use of independent Program Performance Indicators and Program Impact Indicators. Chapter 2 includes illustrative Strategic Objectives, Targets and some Benchmarks to make the framework more operative.

Based on these two chapters, the Consultant should logically be able to come up with recommended substantive Program Performance Indicators and Program Impact Indicators. Given the illustrative nature of Chapter 2's synthesis, however, she doesn't feel it would be useful and might instead distract the Mission from the task at hand. This task consists of working through the Strategic Objectives and targets with respective divisions and Project Officers to ensure that (a) the strategy captures what the divisions are planning to do at a level greater than discrete projects; and (b) that the targets and objectives represent measurable achievements. Articulation of assumptions made, between the target and strategic objective level, and between strategic objectives and goal, is important.

As the Consultant understands the schedule, this exercise needs to be undertaken prior to the April 15, 1989 target for the CDSS Concept Paper outline. It should be coordinated by the Program Office but, in the interest of program "ownership", should heavily involve sector offices.

Once the Strategic Objectives and Targets are articulated and consensus in their use is reached, selected Performance Indicators can be developed that will begin to feed into the Research Agenda for the CDSS period. The rule of thumb for developing indicators to be measured is that what might be "nice to know" should not be pursued unless the Mission can establish a clear "need to know" through the framework and assumptions. The "need to know" at the program level should be established based on: (a) demand for information from A.I.D./W (ABS, CDSS, Action Plan, CP, ad hoc requests); (b) specifically identified demand by USAID/Zaire (DIR, projects, tests of critical assumptions). Because of the work yet to be done at the Program Performance, or strategic objective, level, the Consultant suggests that demonstrating A.I.D.'s total program impact--i.e. achievement of the Country Program Goal--in Zaire in an aggregate sense is less important. This development of priorities, however, is up to the Mission.

Research "in the pipeline" that will likely meet some reporting needs on "performance" and "impact" in the near term includes the following:

- For Agriculture, the March 1989 Agr. Research Impact Assessment should provide information on project performance in meeting research objectives and may provide some indication of impact on beneficiary populations, however impact may be defined in the course of the work. In terms of the Program Framework proposed in this report, it will provide some information on USAID/Zaire's performance in meeting its agricultural targets and hence strategic objective. Depending on the goal chosen by the Mission, the study may or may not provide information useful to overall program impact as defined through Country Trends.

- Also for Agriculture, the proposed guidelines for the 105 Information Office will be amplified in a workplan to be developed over the next three months which should carefully lay out project research. ARD should ensure that this meets any to-be-developed program-level needs at the same time. The 102 Information Division workplan has already been developed, but it is likely that the Division can add selected additional analyses if required.

- For the new Private Sector rubric, the soon-to-be initiated Cornell study is to "estimate the impact of structural adjustment on incomes, consumption, and nutritional status of the poor in Zaire." (Preliminary Draft Scope of Work, February 28, 1989). This study is part of an eight-country effort by Cornell supported by A.I.D. While several of the proposed intermediate outputs will be useful to USAID and will certainly contribute enormously to knowledge about the economy, because it is studying the impact of structural adjustment in general it will not be specifically useful for A.I.D. program performance or impact reporting. That is, the World Bank and IMF have been the leading supporters of structural adjustment and it is unlikely that Cornell will (or should) be able to isolate A.I.D. impact from that of the IMF/Bank. The research will, however, be useful in future program planning.

- Also for the new Private Sector rubric, the \$ 950,000 of planned studies under PSSP (0120) will provide useful information at the target and, possibly, Strategic Objective level on A.I.D. performance. The Consultant suggests that the illustrative list of studies Annexed to the PAAD be reviewed after the CDSS Concept Paper is prepared to ensure that performance indicators for the private sector objective are covered.

- The Health office supports numerous on-going data collection and analysis efforts which will provide timely information on whatever targets and strategic objective it chooses. Of particular interest are two studies on infant and child mortality underway, one through CCCD and one under BRH II. As these are analyzed, the Mission should have a wealth of both project and program-related performance and impact data for forward planning purposes.

- The Tollens work in Bandundu and the proposed IQC or APAP II study under 0098 should complement existing data so that the Bandundu Impact Assessment proposed in the Annual Evaluation Plan actually has some hard data with which to work. In addition, the PROCAR team has proposed numerous short term studies on some of its outreach efforts that may provide information for target and strategic objective performance of that project.

These are some isolated cases of work being undertaken that will contribute to forward planning as well as performance reporting in the short and medium term. Those listed appear to be useful to both project and program related information needs.

3.3 Summary and Conclusions

It is important that prior to generating more research or studies, the Mission more clearly determine its own "need to know" in terms of internal and external needs. Section 3.1 above demonstrates that project internal information at the input, output and selected purpose level is collected, analyzed and used on a regular basis in response to both internal and external demand. The supply of project purpose and goal information is more limited, but to this Consultant appears to be meeting demand.

The larger question is the supply of and demand for program level information. The Consultant, in Chapter 1 and the introduction to Chapter 3, has documented the current state of supply of and demand for such information at the Bureau for Africa level, and has described the evolving efforts in the Bureau to more precisely document A.I.D. performance and impact in terms that can be aggregated and are understandable to the Congress. USAID/Zaire has determined that it would like to document the impact of its overall program primarily for internal program planning purposes but also presumably for future AFR reporting requirements.

Based on this supply/demand analysis, the following steps should contribute to establishment of a mission research agenda and research budget, and eventual design of a full program impact evaluation system:

At the Project Level:

- Project Officers should be required to respond to Question # 24 of PIRs by directly stating EOPS and discussing progress towards their achievement. Where EOPS are no longer relevant, draft implicit EOPS should be used. (NOTE: Since A.I.D./Washington has suggested eliminating Question # 24 from the PIR altogether, it will likely not notice the difference.)

- Scopes of Work for planned and new Mid-Term Evaluations should include a specific requirement for development of a revised Project LogFrame, with specific emphasis on development of operational and measurable End of Project Status indicators (EOPS) which are compatible with newly developed

program targets. Changing EOPS would not require a PP amendment unless a drastic change in purpose is also undertaken. Where indicated, institutional EOPS should be stated separately from project performance EOPS so that different approaches to measurement can be used. Development of new EOPS should be accompanied by listing of the specific data source that will measure its accomplishment (not simply "project reports"; which project report and when?) This slow realignment of Purpose-level measurement and reporting will be phased in over the CDSS period.

- Scopes of Work for Mid-Term and other evaluations (including Start-Up) should require assessment of output-to-purpose and purpose-to-goal level assumptions, to ensure that projects are reviewed in the total development context.

- The Mission should use its internal PIR review process to identify common topics for cross-project research and evaluation. Of potential interest to the Mission and to A.I.D./Washington are the following:

- o "USAID/Zaire and NGO's: Ten (or More?) Years of Partnership". The review would consist of two phases, the first simply cataloguing the Mission's direct and indirect work with NGO's (by year, region, sector, type and amount of assistance, duration, etc.) and the second evaluating the experience through specific case studies and developing "lessons learned" for future programming. The review would be of particular interest to AFR/DP/PPE in terms of responding to the DFA concerns regarding working through NGO's and of use to the Mission in implementation of 0125 and other projects. The Consultant has been informed that AFR/DP is in fact planning a multi-mission PVO review; USAID/Zaire should assure that its Scope of Work is compatible with the issues to be reviewed in the regional work.

- o Household income and expenditure patterns in Central Shaba and Central Bandundu, with particular attention to variation by ethnicity and class and to gender- and possibly age-specific responsibilities. This topic follows from the Koopman Henn WID evaluation and appears to be essential in terms of targeting interventions in both agriculture and health/family planning in Zaire. This would initially be undertaken by a locally hired economic anthropologist through secondary research, but should also involve some focus group work to verify dated or dubious research. The expert would work closely with the information offices of projects 105 and 102; secondary sources reviewed would be contributed to the recommended "documentation centers" for Bandundu and Shaba. USAID/Zaire could ask PPC/WID to undertake a search of U.S. literature through the new WIDTECH project to complement the effort.

- o Market flows and relationships in the Central Shaba-Lubumbashi corridor and the Central Bandundu-Kinshasa corridor. This is being undertaken piecemeal through the Cornell Study and work under 105, 102 and 098; it needs to be tied together if findings are to be applied in future evaluations and program planning. S&T/RD (Eric Chetwynd) might have some centrally-

funded resources with which to assist the Mission in this effort.

At the Program Level:

- Senior Mission management should agree as soon as possible on the key Strategic Objectives to be used in the CDSS concept paper. The possibility of a Mission retreat to accomplish this was raised during the Consultant's exit briefing; the Consultant fully supports this approach as a way to reach closure while still developing program "ownership" throughout the staff.

- Once the key Strategic Objectives are agreed upon, the relevant sector offices should be given a timeframe within which to develop Targets and Benchmarks. It is strongly recommended that for each Benchmark developed the sector office be required to list the specific data source. This latter requirement must be rigorously enforced; offices should not be allowed to use the rubric "project reports" but rather to state specifically which report will provide the required information and at what periodicity.

- The two steps above will in essence result in a full draft Section 2 of the Mission's Action Plan, approximately one year ahead of schedule. This could be appended to the CDSS or held until AP submission time. It simply doesn't seem efficient to develop only the Strategic Objectives now if measurable benchmarks will prove impossible later.

- Once the draft Section 2 is developed the Research Officer should work with respective sectors to determine useful and realistic Program Performance Indicators for each Strategic Objective. This exercise will involve articulating critical assumptions that combine to make the portfolio lead to achievement of the objective. Where indicated, as in Health/Family Planning, Program Performance Indicators might well be considered Targets and/or Benchmarks and no new measurement would be required. In other cases, specific research hypotheses would be developed which would need to be tested. It is important that this exercise involve articulation of critical assumptions and other research questions and not simply a listing of indicators that can be measured.

- The latter effort should provide the Mission with a rich research agenda and budget for the CDSS period. Should it wish to pursue aggregate program impact, the Consultant strongly recommends limiting inquiries to selected districts in the Central Shaba-Lubumbashi and Central Bandundu-Kinshasa areas of impact. These geographic areas are where the whole program comes together and where some causality with A.I.D. inputs might be shown. Attempting to isolate A.I.D.'s performance or impact at a "greater than project" level elsewhere would likely result only in finding that too many variables are involved to claim any direct relationship.

Once the questions are more precisely asked, the means of answering them can be determined. The development of an agreed upon set of objectives for the CDSS is the recommended first, and major, step.

ANNEX A
SCOPE OF WORK
(UNCLAS KINSHASA 02478 dtd. 15 February 1989)

Purpose

To provide USAID/Zaire with a synthesis of the Mission's project materials for use in establishing a mission research agenda, research budget, and designing a program impact evaluation system. These are being developed for inclusion in the CDSS to be reviewed in January 1989 [sic].

Background

Under the Development Fund for Africa USAID/Kinshasa needs to be able to show the impact of the resources it receives. A critical choice of the Mission is to decide what impact to measure. This choice will determine the characteristics of the Program Impact Evaluation (PIE) system that the Mission must establish.

The Mission Action Plan tells Washington what our program objectives are and is the standard that Washington uses to judge performance. Thus a PIE system must measure Mission accomplishments in meeting our program objectives as stated in the action Plan. However, a PIE system as part of the Mission Research Program should do more. It should provide information for project management decision making, insight for new project development/review, and guidance for modification of Action Plans.

Projects are the basic vehicle by which USAID achieves program impact. Therefore it is necessary to ensure that project purposes are empirically show to be consistent with the program goal and that purpose achievement can be measured and quantified. To install a PIE system we need to evaluate whether our present projects are directed toward meeting our program goal as stated in the Action Plan. If they are not, then we need to revise the project purpose and output to try to ensure consistency.

After empirically showing that our projects are directed toward the program goal it is necessary to evaluate our present ability to measure achievement of our program goal. This requires determining what standards will be used, what data will be needed, and how it should be collected. This requires reviewing the Mission Research Program and ensuring that it is flexible enough to not only measure final impact but also provide information for project management decision making.

The Consultant will work with Mission staff to 1) examine the extent to which the Mission Action Plan objectives are consistent with DFA objectives; 2) to examine the Mission project portfolio for consistency between the individual project purposes and output and the Action Plan, and 3) to review Mission Research activities to determine the extent they are providing the necessary information required for measuring project outputs, purpose achievement and the impact of Mission's Action Plan.

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Statement of Work

In particular the consultant will:

1) Review USAID/Kinshasa program objectives as stated in the Action Plan and relate them to the Africa Bureau objectives stated for the DFA. Where there are inconsistencies the Consultant will work with Mission management to propose modification in our program objectives and Action Plan to make them consistent with those of the Bureau.

2) Review the consistency between our revised program objectives and the purpose level statements of our projects and propose change where needed. This review will be completed in two stages. First the Consultant will document inconsistencies between explicit logical frameworks in Project Papers and implicit logical frameworks actually being implemented. Second the Consultant will analyze inconsistencies and critical linkages in implicit logical frameworks of Mission project.

The Consultant will identify project purposes that are not clearly contributing to any of the selected program impacts. This will require an analysis of the project purpose statements in the context of selected program goal achievement measures. The analysis will determine whether the project purpose is inappropriate or whether additional program impact measures are needed to cover the Mission's project portfolio.

3) Consult project documents and staff to estimate for 1988, 1989 and 1990, a research budget by sub-categories within each action plan element and program goal achievement measure (the sub-categories will be developed during the consultancy).

The Consultant in collaboration with Mission staff will then compare the past and current research activities to the research priorities required or implied to measure achievement of USAID's individual project outputs, purposes, as well as the USAID Action Plan. This comparison will identify the extent to which the present system is providing needed program impact and evaluation data and the necessary shifts in activities to improve the research system.

Outputs Expected

The Consultant will prepare a report that identifies and describes inconsistencies between the DFA Action Plan and that of USAID/Zaire. In addition the report will analyze the consistency between the USAID Action Plan objectives and the individual/project purpose and outputs. Based on this analysis specific changes that are needed will be proposed. Finally the report will describe USAID's research program, its annual activities and budget for 1988 through 1990, and will propose needed redirection in the program for 1990. As part of this last task the report will propose to the Mission how each category of research should be tasked to appropriate units within the Mission.

Reporting Requirements

The Consultant will work closely with the Mission Research Officer in developing a workplan by the third day of the Consultancy. Draft reports including the research budgets, explicit logical framework, and implicit logical framework of the Mission project portfolio will be produced by the end of the third week. Based on this draft report the Consultant will make a presentation to the Mission research Committee and incorporate this committee's recommendations into the final report to be produced by the end of the fourth week of the consultancy. A final report based on discussions with mission staff will be submitted at the end of the fourth week.

The firm Management Systems International (MSI) was contracted to carry out the Statement of Work under its on-going Indefinite Quantity Contract for Development Information and Evaluation. An MSI Senior Associate in Development Management spent three weeks in Zaire in February-March 1989 working with the Mission in the stated tasks. The Workplan and preliminary outline of the final report was presented to PRM staff on the third day of the Consultancy. A draft of Chapter 1 of the report was presented on the 7th workday and of Chapter 2, including discussions of implicit and explicit objective trees, on workday 11. (Use of the full formal Logical Framework format for these discussions was not viewed as useful by the Consultant, a decision which was accepted by the Mission). The full report was provided to the Mission on the 18th workday, prior to the Consultant's departure.

ANNEX B

**State 340629, 31/10/87,
General CDSS Guidance**

and

**State 030918, 2/2/88,
Africa Bureau Supplemental CDSS
Guidance on Concept Papers**

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SUBJECT: FY 1988 CDSS GUIDANCE

THIS MESSAGE IS COMPOSED OF TWO PARTS. PART ONE PROVIDES GENERAL GUIDANCE FOR DRAFTING THE COUNTRY DEVELOPMENT STRATEGY STATEMENT (CDSS); IT IS CONCERNED WITH BACKGROUND ANALYSES, THE GENERAL RATIONALE, STRUCTURE AND LOGIC OF THE CDSS. PART TWO IDENTIFIES SPECIAL PRIORITIES AND ONGOING AND NEW AGENCY POLICIES THAT ARE TO BE TAKEN INTO ACCOUNT IN DRAFTING THE DOCUMENT.

PART ONE: GENERAL CDSS GUIDANCE

1. INTRODUCTION.

SUCCESSFUL ECONOMIC DEVELOPMENT IS ESSENTIAL TO THE ACHIEVEMENT OF U.S. FOREIGN POLICY GOALS IN LESS DEVELOPED COUNTRIES. ULTIMATELY, RESPONSIBILITY FOR DEVELOPMENT LIES WITH THE COUNTRIES THEMSELVES. HOWEVER, THE INTERNATIONAL COMMUNITY, BOTH PRIVATE AND PUBLIC, CAN CLEARLY PLAY AN IMPORTANT SUPPORTING ROLE. A KEY TO

EFFECTIVE U.S. PARTICIPATION IN THAT PROCESS IS THE ESTABLISHMENT OF A WELL THOUGHT OUT DEVELOPMENT ASSISTANCE STRATEGY.

THE STRATEGY MUST BE GROUNDED IN THE DEVELOPMENT NEEDS OF THE COUNTRY, OUR OPPORTUNITIES FOR MAKING EFFECTIVE INTERVENTIONS, AND THE RESOURCES AVAILABLE TO ACHIEVE OUR FOREIGN POLICY OBJECTIVES. FOR THE PERIOD COVERED BY THE CDSS GUIDANCE, THE U.S. WILL BE ENGAGED IN AN EFFORT TO REDUCE ITS STRUCTURAL BUDGET DEFICITS. AS A CONSEQUENCE, RESOURCES AVAILABLE TO CARRY OUT FOREIGN ASSISTANCE

PROGRAMS MAY BE REDUCED. WE WILL BE UNDER INCREASING PRESSURE TO FULLY JUSTIFY ECONOMIC ASSISTANCE INVESTMENTS REQUIRED TO ACHIEVE U.S. FOREIGN POLICY GOALS IN LESS DEVELOPED COUNTRIES. IN THIS CONTEXT, THE ANALYSIS PRESENTED IN THE CDSS WILL BE CRITICAL TO MAKING FUNDAMENTAL CHOICES OF RESOURCE ALLOCATIONS WITHIN AND AMONG COUNTRY PROGRAMS. IT IS IMPERATIVE THAT THE CDSS SUCCESSFULLY ADDRESS THE BASIC ISSUES OF WHETHER AN ECONOMIC ASSISTANCE PROGRAM CONTINUES TO BE IMPORTANT TO THE U.S. INTEREST IN A PARTICULAR COUNTRY AS WELL AS IDENTIFYING THE HIGHEST PRIORITY INVESTMENTS WHICH THE U.S. CAN UNDERTAKE IN PURSUIT OF OUR DEVELOPMENT AND FOREIGN POLICY GOALS.

ACCORDINGLY, THE GEOGRAPHIC BUREAUS AND PPC STAND READY TO SUPPORT THOSE MISSIONS PREPARING CDSS'S IN ADVANCE OF FINAL SUBMISSION AND REVIEW - BY POUCH, TELEPHONE OR TOY, AS NEEDED PARTICULARLY IN THOSE COUNTRIES WHERE THE OVERALL SUCCESS OF THE DEVELOPMENT EFFORT IS DETERMINED TO BE IN JEOPARDY. WHERE THE OVERALL DEVELOPMENT EFFORT IS FOUND NOT TO BE SUCCEEDING, THE FINAL DETERMINATION OF THE DEVELOPMENT STRATEGY, AND OF POSSIBLE DIPLOMATIC EFFORTS IN ITS SUPPORT, MUST BE CONSIDERED A PRIORITY MATTER OF FOREIGN POLICY CONCERN FOR THE HIGHEST LEVELS OF SENIOR MANAGEMENT IN THE MISSION, THE AMERICAN EMBASSY, AID/WASHINGTON AND THE DEPARTMENT OF STATE, AND THE CDSS PROCESS SHOULD BE CONDUCTED ACCORDINGLY.

THIS MESSAGE PROVIDES OVERALL GUIDANCE FOR FY 1988 CDSS'S FROM DESIGNATED MISSIONS. DETAILED INFORMATION ON AGENCY POLICY AND PROGRAMMING PROCEDURES IS AVAILABLE IN POLICY PAPERS, SECTORAL AND BUREAU STRATEGIES, THE BLUEPRINT FOR DEVELOPMENT (JUNE 1985), AND OTHER RELATED SOURCES; NEW, AND PARTICULARLY IMPORTANT, POLICY CONCERNS ARE NOTED IN PART TWO OF THIS MESSAGE. MISSIONS ARE EXPECTED TO DRAW UPON THESE SOURCES IN DEVELOPING THE CDSS. REGIONAL BUREAUS MAY ISSUE SUPPLEMENTARY GUIDANCE TO TAILOR

REQUIREMENTS TO THE CIRCUMSTANCES OF INDIVIDUAL COUNTRIES, SPECIFYING THE TIMING AND REVIEW SCHEDULES OF FIELD SUBMISSIONS AS WELL AS MORE PRECISE COVERAGE, FORMAT, AND CONTENT.

CDSS PREPARATION SHOULD BE A COLLABORATIVE PROCESS, INVOLVING, TO THE EXTENT POSSIBLE, KEY HOST COUNTRY ANALYSTS AND DECISION-MAKERS, THE U.S. EMBASSY, STATE AND AID/W. THE MISSION SHOULD ALSO SEEK THE VIEWS OF THE PEACE CORPS, INTERESTED MEMBERS OF THE PVO AND INTERNATIONAL DONOR COMMUNITY, AND REPRESENTATIVES OF LOCAL PRIVATE ENTERPRISE GROUPS. THE CDSS PROCESS SHOULD PLAY AN IMPORTANT ROLE IN DETERMINING HOW THE U.S. GOVERNMENT SHOULD GO ABOUT ACHIEVING ITS BASIC FOREIGN POLICY OBJECTIVES IN EACH RECIPIENT COUNTRY. THE CDSS SHOULD BE APPROVED BY THE U.S. AMBASSADOR BEFORE SUBMISSION TO AID/W.

UNDER NORMAL CIRCUMSTANCES THE CDSS IS UNCLASSIFIED. HOWEVER, IT IS CRITICAL THAT THE DOCUMENT BE FRANK; THUS, IF NECESSARY IT MAY BE CLASSIFIED.

2. PURPOSE OF THE CDSS.

THE PURPOSE OF THE CDSS PROCESS IS TO PROVIDE AN ANALYTICAL BASIS FOR THE PROPOSED ASSISTANCE STRATEGY. A THOROUGH, REALISTIC AND INSIGHTFUL ANALYSIS OF THE HOST COUNTRY'S DEVELOPMENT PROSPECTS AND PROBLEMS, BOTH MACROECONOMIC AND SECTORSPECIFIC, IS THE KEY TO A SUCCESSFUL STRATEGY. IT PROVIDES THE MISSION AN OPPORTUNITY TO THINK THROUGH ITS ASSESSMENT OF THE BASIC

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DEVELOPMENT PROBLEMS AND OPPORTUNITIES FACED BY THE MOST
COUNTRY AND THE ROLE THAT A.I.D. CAN PLAY.

THE CDSS IS BASED ON THE CONCEPT OF COUNTRY PROGRAMMING.
IT PROVIDES THE STRATEGY FRAMEWORK FOR TAILORING EACH
A.I.D. PROGRAM INTERVENTION TO THE PARTICULAR MOST
COUNTRY DEVELOPMENT ENVIRONMENT. THE CDSS IS THE KEY
DOCUMENT FOR DESIGN OF A PROGRAM OF U.S. BILATERAL
ASSISTANCE FOR EACH COUNTRY. ONCE APPROVED BY THE
AGENCY, THE CDSS WILL GUIDE AID/W ASSESSMENT OF ACTION
PLANS, POLICY AGENDA AND PROJECT PROPOSALS, INFORM
CHOICES AMONG ALTERNATIVES, AND PROVIDE MEASURES OF
PROGRESS TOWARD OBJECTIVES. IT SHOULD BE STRESSED THAT
THE ACTION PLAN DOCUMENT DOES NOT SUBSTITUTE FOR THE
STRATEGIC FRAMEWORK PROVIDED BY THE CDSS AND SHOULD NOT
BE USED TO SUPPLANT THE CDSS.

MOST IMPORTANTLY, THE CDSS SHOULD PROVIDE REASONS FOR

FOLLOWING A PARTICULAR ASSISTANCE APPROACH. IT IS NOT
MERELY A DESCRIPTION OF MISSION INTENTIONS. IT IS
ESSENTIALLY AN ANALYTICAL ARGUMENT IN FAVOR OF A COURSE
OF ACTION, AND AS SUCH, IT MUST DESCRIBE ALTERNATIVES AND
PROVIDE REASONS FOR THE RECOMMENDATIONS MADE.

THE AGENCY-WIDE REQUIREMENT IS THAT A CDSS MUST BE DONE
AT LEAST ONCE EVERY FIVE YEARS, OR SOONER IF REQUIRED BY
CHANGING COUNTRY CONDITIONS. THE PROCESS SHOULD EMBODY A
FRESH LOOK AT THE A.I.D. PROGRAM IN THE CONTEXT OF
EVOLVING COUNTRY CONDITIONS AND AN IMPROVED UNDERSTANDING
OF THE NATURE OF THE DEVELOPMENT PROBLEMS AND
CONSTRAINTS. THE JUSTIFICATION FOR CONTINUING AN
EXISTING STRATEGY MUST INCLUDE EVALUATIVE EVIDENCE THAT
IT IS HAVING THE DESIRED EFFECTS. MOREOVER, THE BASIS
FOR SIGNIFICANTLY ALTERING A STRATEGY IN A PARTICULAR
SECTOR MUST BE A THOROUGH ANALYSIS OF THAT SECTOR. IN
THIS REGARD, AN OBJECTIVE, THOROUGH ANALYSIS OF PROBLEMS
IN A GIVEN SECTOR INVOLVING A FRESH LOOK AT POSSIBLE
SOLUTIONS TO PROBLEMS MAY BEST BE ACCOMPLISHED BY A TEAM
COMPOSED PARTLY OF INDEPENDENT, OUTSIDE EXPERTS.

3. GENERAL FRAMEWORK OF THE CDSS.

THE BASIC DEVELOPMENT PROBLEM FOR A.I.D. IS INADEQUATE
ECONOMIC GROWTH. ECONOMIC GROWTH IS A FUNCTION OF HOW
THE ECONOMY ALLOCATES RESOURCES. OTHER KEY PROBLEMS OF
CONCERN INCLUDE HUNGER, HEALTH DEFICIENCIES (ESPECIALLY
INFANT AND CHILD MORTALITY), LACK OF EDUCATION, AND
UNMANAGEABLE POPULATION PRESSURES. PROGRESS IN THESE
AREAS IS THE BASIC GOAL OF THE A.I.D. ASSISTANCE
PROGRAM. INTERVENTIONS OUTSIDE THESE BASIC PROBLEM AREAS
REQUIRE A CONVINCING RATIONALE, BUT MAY BE PROPOSED IF
COUNTRY-SPECIFIC REQUIREMENTS ARE COMPELLING. IN LATIN
AMERICA, FOR INSTANCE, A COMPELLING RATIONALE HAS BEEN
ESTABLISHED FOR SIGNIFICANT ASSISTANCE EFFORTS TO IMPROVE
DEMOCRATIC INSTITUTIONS AND THE ADMINISTRATION OF
JUSTICE.

THE FOUNDATION OF SUCCESS, HOWEVER, MUST BE BOTH
BROAD-BASED ECONOMIC GROWTH THAT PROVIDES PRODUCTIVE
EMPLOYMENT AS WELL AS HIGHER PER CAPITA INCOMES FOR AN
INCREASING PROPORTION OF THE POPULATION. WITHOUT THIS
FOUNDATION, PROGRESS IN THE OTHER ELEMENTS OF THE
FRAMEWORK (HUNGER, HEALTH, POPULATION AND EDUCATION)
CANNOT BE SUSTAINED AND OUR FOREIGN POLICY OBJECTIVES
CANNOT BE ACHIEVED.

THE CDSS MUST FIRST OF ALL, THEREFORE, ANALYZE THE RECENT
ECONOMIC HISTORY AND CURRENT SITUATION OF THE MOST

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COUNTRY (AS INDICATED IN PARTS I AND II.A OF THE FORMAT
OUTLINE BELOW) TO DETERMINE WHETHER THIS BASIC ECONOMIC
FOUNDATION FOR SUSTAINED DEVELOPMENT HAS BEEN PUT IN
PLACE. IF IT HAS NOT, THE SUBSEQUENT ANALYSIS AND
STRATEGY FORMULATION ARE TO BE GIVEN SPECIAL, HIGH-LEVEL
ATTENTION TO DETERMINE HOW THE U.S. GOVERNMENT SHOULD
BEST PROCEED TO ACHIEVE ITS OBJECTIVES.

4. SCOPE AND FORMAT OF THE CDSS.

THIS YEAR'S CDSS WILL FORM THE BASIS FOR THE 1990-94
PLANNING PERIOD. IT SHOULD ASSESS THE OVERALL POLITICAL
AND ECONOMIC ENVIRONMENT OF THE COUNTRY, DETERMINE THE
RECENT SUCCESSES AND/OR FAILURES, AND THE STRENGTHS AND
WEAKNESSES, OF DEVELOPMENT EFFORTS, IDENTIFY KEY
DEVELOPMENT PROBLEMS, AND PROPOSE A STRATEGY THAT WILL
ASSIST THE MOST COUNTRY ACHIEVE AND SUSTAIN SPECIFIC
DEVELOPMENT OBJECTIVES. IT SHOULD SUMMARIZE A THOROUGH
ANALYSIS OF THE KEY DEVELOPMENT PROBLEMS AND CONSTRAINTS
TO THEIR SOLUTION, DESCRIBE MOST COUNTRY AND OTHER DONOR
PLANS AND EFFORTS TO ADDRESS THOSE PROBLEMS, AND EXPLAIN
THE RATIONALE BEHIND THE MISSION ASSISTANCE STRATEGY.
THE MISSION SHOULD ENSURE THAT ALL AVAILABLE A.I.D. AND
A.I.D.-GENERATED RESOURCES, INCLUDING DA, PL 480, ESP,
N6'S AND LOCAL CURRENCY FUNDS ARE FOCUSED ON PRIORITY
OBJECTIVES.

IN ORDER THAT MISSION REASONING BE PRESENTED IN AN
ACCESSIBLE MANNER, IT IS REQUESTED THAT CDSS SUBMISSIONS
USE THE FOLLOWING OUTLINE:

EXECUTIVE SUMMARY (SEPARATE NO MORE THAN 3 PAGES)

I. OVERVIEW OF THE ENVIRONMENT FOR DEVELOPMENT (NO MORE
THAN 5 PAGES)

II. PROBLEM DESCRIPTION AND ANALYSIS

A. INADEQUATE ECONOMIC GROWTH

1. BASIC ECONOMIC GROWTH

2. INCOME OF LOW INCOME GROUPS

B. HUNGER

C. HEALTH DEFICIENCIES, ESPECIALLY INFANT AND CHILD
MORTALITY

D. LACK OF EDUCATION

E. POPULATION PRESSURES

III. STRATEGY

A. EXPLANATION OF PROBLEM SELECTION

B. STRATEGIES FOR SELECTED PROBLEMS

IV. RESOURCES AND OTHER DONORS

A. OTHER DONORS

B. U.S. RESOURCES

THIS OUTLINE IS NOT INTENDED TO SUGGEST THAT MISSION
PROGRAMS SHOULD ADDRESS ALL OF THE PROBLEM AREAS IN
ADDITION TO THE NEED FOR BASIC ECONOMIC GROWTH. NEITHER
IS IT TO SUGGEST THAT MISSIONS ARE STRICTLY LIMITED TO
THE CORE PROBLEM AREAS; PROPOSED INTERVENTIONS OUTSIDE OF

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THESE PROBLEM AREAS ARE PERMITTED IF COUNTRYSPECIFIC REQUIREMENTS ARE COMPELLING, BUT WILL NEED A CONVINCING RATIONALE. IN ANY CASE, ONE OF THE MAJOR STRATEGY CHOICES IS THE SELECTION OF PROBLEM AREAS AND MISSIONS WILL NEED TO BE SELECTIVE ABOUT THOSE CHOICES. MISSIONS SHOULD MAKE EXPLICIT THEIR REASONING WITH RESPECT TO CHOICES MADE AND THOSE REJECTED.

THE BODY OF THE COSS, EXCLUSIVE OF THE EXECUTIVE SUMMARY, SHOULD NOT EXCEED 60 PAGES, DOUBLESPOCED. ANNEXES ARE NOT ENCOURAGED BUT MAY BE SUBMITTED IF NECESSARY ON ISSUES OF PARTICULAR IMPORTANCE. AS OUTLINED ABOVE, SECTIONS SHOULD HAVE THE FOLLOWING FOCUS:

EXECUTIVE SUMMARY

THIS SECTION IS INDEPENDENT OF THE 60-PAGE DOCUMENT. IT SHOULD PROVIDE A BRIEF SUMMARY OF THE THE ENTIRE COSS, BUT SHOULD NOT PROVIDE ANY NEW MATERIAL. LIMIT TO THREE PAGES.

I. OVERVIEW OF THE ENVIRONMENT FOR DEVELOPMENT

THIS SECTION SHOULD PROVIDE A BRIEF OVERVIEW OF THE POLITICAL, SOCIAL AND ECONOMIC ENVIRONMENT WITHIN WHICH DEVELOPMENT OCCURS. IT SHOULD OFFER A SUMMARY ASSESSMENT OF THE POTENTIAL FOR DEVELOPMENT SUCCESS OR FAILURE,

PROJECTED 10 OR 20 YEARS INTO THE FUTURE, AS INDICATED BY RECENT ECONOMIC AND SOCIAL TRENDS. IT SHOULD DESCRIBE, IN SUMMARY FORM, THE KEY DEVELOPMENT PROBLEMS FACING THE COUNTRY. IT SHOULD IDENTIFY RECENT DEVELOPMENT SUCCESSSES AND FAILURES. IT SHOULD ADDRESS THE STRENGTHS AND WEAKNESSES IN THE EFFORTS OF FOREIGN DONORS, AND THE EXTENT TO WHICH FOREIGN ASSISTANCE IS A COORDINATED PROCESS MOVING TOWARDS COMMON GOALS. THE POINT OF THIS SECTION IS TO PLACE THE SPECIFIC PROBLEM ANALYSES WHICH FOLLOW WITHIN A BROAD OVERALL CONTEXT AND ASSESSMENT.

II. PROBLEM ANALYSIS AND DESCRIPTION:

IN THIS SECTION THE MISSION SHOULD MAKE USE OF QUANTITATIVE COUNTRY TREND INDICATORS AND A.I.D. QUANTITATIVE STANDARDS OF ACHIEVEMENT. IN PARTICULAR THE STANDARDS OF ACHIEVEMENT SHOULD BE USED IN MAKING JUDGMENTS AS TO THE RELATIVE SEVERITY OF PROBLEMS (I.E., LEVELS SIGNIFICANTLY BELOW STANDARD LEVELS CONSTITUTE MAJOR PROBLEMS). COLLECTIVELY THESE STANDARDS OF ACHIEVEMENT PROVIDE AN OPERATIONAL DEFINITION OF DEVELOPMENT SUCCESS.

WHEREVER POSSIBLE, DATA SHOULD BE DISAGGREGATED ON A GENDER BASIS. IN ALL CASES, -THE PROBLEM DESCRIPTION SHOULD NOTE WHERE COUNTRY DATA SOURCES ARE INADEQUATE TO SUPPORT THE DESIRED LEVEL OF ANALYSIS. WHERE DATA ARE NOT AVAILABLE, MISSIONS SHOULD MAKE THE BEST POSSIBLE SUBSTITUTIONS. IF THE LACK OF RELIABLE AND TIMELY DATA ON KEY AREAS OF CONCERN OR MEASURES OF OVERALL PROGRESS, SUCH AS ON AGRICULTURAL PRODUCTIVITY OR ON THE LABOR FORCE AND EMPLOYMENT, PREVENTS AN ADEQUATE ANALYSIS, THE MISSION SHOULD CONSIDER HOW IT COULD EFFECTIVELY ASSIST THE HOST GOVERNMENT IN IMPROVING ITS CAPACITY TO COLLECT AND ANALYZE SUCH DATA.

THOUGH THE FORMAT BREAKS OUT FOR SEPARATE DISCUSSION EACH OF THE PROBLEM AREAS, THESE PROBLEMS ARE INTIMATELY TIED TO OVERALL ECONOMIC GROWTH. THE DISCUSSION SHOULD REFLECT THIS FACT. THE MISSION SHOULD NOT LIMIT DISCUSSION TO JUST THE INDICATORS BELOW; IT SHOULD PRESENT THE BEST TOTAL PICTURE OF THE PROBLEM SITUATION.

DISCUSSION OF EACH PROBLEM AREA SHOULD INCLUDE AN ASSESSMENT OF WHAT IS BEING DONE BY MOST COUNTRY AND FOREIGN DONORS, AND THE OVERALL ADEQUACY OF THOSE EFFORTS.

A. INADEQUATE ECONOMIC GROWTH

1. BASIC ECONOMIC GROWTH.

THE ANALYSIS SECTION SHOULD LEAD OFF WITH AN ASSESSMENT OF THE MACROECONOMIC ENVIRONMENT AND COUNTRY PERFORMANCE, RECENT TRENDS AND PROSPECTS FOR MEDIUM AND LONG-TERM STABILITY, STRUCTURAL CHANGE (NEEDED), AND SUSTAINABLE ECONOMIC GROWTH. IT SHOULD TAKE A HARD LOOK AT THE IMPLICATIONS OF RECENT (5-10 YEAR) MACROECONOMIC TRENDS, PROJECTED INTO THE FUTURE, FOR THE SUCCESS OF THE OVERALL DEVELOPMENT EFFORT. KEY INDICATORS FOR THIS PURPOSE ARE:

GROWTH OF REAL GDP - IS GDP INCREASING WITHOUT DETRIMENTAL ENVIRONMENTAL IMPACTS, UNIQUE DEBT OR IMPORT DEPENDENCY, OR UNSUSTAINABLE GROWTH IN THE PUBLIC SECTOR? IS GROWTH AT A LEVEL TO BECOME SELF-SUSTAINING AT LEAST IN THE MEDIUM TERM?

PRODUCTIVE EMPLOYMENT - IS PRODUCTIVE EMPLOYMENT INCREASING FASTER THAN THE LABOR FORCE THROUGH THE GENERATION OF NEW JOBS AND/OR BY INCREASING THE PRODUCTIVITY OF THOSE ALREADY EMPLOYED?

REAL FOREIGN EXCHANGE EARNINGS ARE THEY INCREASING AT LEAST AS FAST AS GDP, AND IS THE DEFICIT ON CURRENT ACCOUNT EITHER DECLINING OR STABLE AT A SUSTAINABLE LEVEL?

IF THE ANSWER TO THESE THREE BASIC QUESTIONS IS NEGATIVE, THE OVERALL DEVELOPMENT EFFORT MAY NOT BE SUCCEEDING AND THE MISSION SHOULD ESTABLISH THE ROOT CAUSES OF THESE NEGATIVE TRENDS AND WHAT IT WOULD TAKE TO TURN THE SITUATION AROUND. THIS MAY REQUIRE OUTSIDE ASSISTANCE. SUCH AN ANALYTICAL EFFORT COULD WELL TAKE MORE THAN A FEW MONTHS TO COMPLETE, AND THE MISSION MIGHT WISH TO SEEK GEOGRAPHIC BUREAU PERMISSION TO SUBMIT AN INTERIM COSS THIS YEAR AND A COMPLETED EFFORT NEXT YEAR.

2. INCOME OF LOW INCOME GROUPS:

FOR THE OVERALL DEVELOPMENT EFFORT TO BE SUCCEEDING IT IS NECESSARY THAT THE INCOME OF LOW INCOME GROUPS BE EXPANDING AT LEAST AS FAST AS THE AGGREGATE LEVEL. A.I.D.'S STANDARD FOR INCOME GROWTH IS 2 PERCENT PER CAPITA GDP, AND IT IS DESIRABLE THAT LOW INCOME GROUPS REACH AT LEAST THAT STANDARD. THIS SECTION REFLECTS A.I.D.'S GENERAL COMMITMENT TO A PROCESS OF EQUITABLE GROWTH. AS SUCH, IT SHOULD BE CONSIDERED IN ALL DISCUSSIONS OF THE INCOME GROWTH ISSUE. IT SHOULD INCLUDE A DISCUSSION OF PROBLEMS OF UNEMPLOYMENT, UNDEREMPLOYMENT AND GENERAL ECONOMIC PARTICIPATION SPECIFICALLY ADDRESSING PROBLEMS OF RISK SHARING AND PROFIT PARTICIPATION. MISSIONS SHOULD, TO THE EXTENT POSSIBLE, CONCEPTUALIZE AGRICULTURE SECTOR PROGRAMS IN TERMS OF THIS PROBLEM: AS WELL AS IN RELATION TO THE HUNGER PROBLEM.)

B. HUNGER:

THE AGENCY HAS ADOPTED TWO INDICATORS:

1. PERCENTAGE OF POPULATION WITH F.A.O. CRITICAL LEVEL OF CALORIC INTAKE. STANDARD OF ACHIEVEMENT IS 80 PERCENT.

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2. PERCENTAGE OF CHILDREN UNDER FIVE WITH CHRONIC AND SEVERE UNDERNOURISHMENT (LESS THAN 80 PERCENT OF WEIGHT OR HEIGHT FOR AGE NORM, OR 2 STANDARD DEVIATIONS BELOW THE MEAN WEIGHT/HEIGHT FOR AGE). A.I.D.'S STANDARD IS FOR THE PERCENTAGE OF SUCH UNDERNOURISHED CHILDREN TO BE LESS THAN 20 PERCENT OF AGE GROUP.

IN ADDITION ALL A.I.D. POSTS USING FVA FOOD NEEDS ASSESSMENT METHODOLOGY TO TRACK OVERALL FOOD NEEDS AND AVAILABILITIES SHOULD UTILIZE THAT DATA IN DESCRIBING AND ANALYZING SERIOUS CYCLICAL OR STRUCTURAL FOOD DEFICIT SITUATIONS.

MISSIONS MAY FIND THIS AN APPROPRIATE PLACE TO CONSIDER NATURAL RESOURCE SUSTAINABILITY/BIOLOGICAL DIVERSITY ISSUES DISCUSSED IN PART II.

C. HEALTH DEFICIENCIES, ESPECIALLY INFANT AND CHILD MORTALITY:

AGENCY INDICATORS ARE:

1. INFANT MORTALITY; STANDARD IS 75 DEATHS PER 1000 BIRTHS.
2. CHILD MORTALITY AGES 1-4; STANDARD IS 10 DEATHS PER 1000
3. LIFE EXPECTANCY AT BIRTH; STANDARD IS 60 YEARS.

D. LACK OF EDUCATION:

- AGENCY INDICATORS ARE:

1. PRIMARY SCHOOL ENROLLMENT FOR BOTH BOYS AND GIRLS; STANDARD IS 80 PERCENT.
2. COMPLETION OF 4 YEARS OF PRIMARY SCHOOL FOR BOTH BOYS AND GIRLS; STANDARD IS 70 PERCENT OF AGE GROUP.
3. ADULT LITERACY FOR BOTH MEN AND WOMEN; STANDARD IS 50 PERCENT.

E. POPULATION PRESSURES:

INDICATOR IS PERCENTAGE OF COUPLES WITH ACCESS TO A WIDE RANGE OF ACCEPTABLE VOLUNTARY FAMILY PLANNING SERVICES; STANDARD IS 80 PERCENT.

III. STRATEGY.

THE STRATEGY SECTION SHOULD FLOW FROM THE PRECEDING ANALYSIS AND INDICATE FIRST OF ALL, WHAT THE COUNTRY SHOULD BE DOING TO ACHIEVE A SUCCESSFUL OVERALL DEVELOPMENT PATH AND/OR TO OBTAIN MORE RAPID AND SUSTAINED PROGRESS. IT SHOULD THEN LOOK AT WHETHER OR NOT CURRENT HOST COUNTRY ECONOMIC POLICIES AND DEVELOPMENT PLANS, TOGETHER WITH CURRENT AND EXPECTED ASSISTANCE FROM OTHER FOREIGN DONORS, ARE ADEQUATE TO THE TASK AND HOW THE U.S. CAN BEST HELP WITH THE RESOURCES LIKELY TO BE AVAILABLE IN ITS ASSISTANCE PROGRAM.

A. EXPLANATION OF PROBLEM SELECTION:

THE MISSION SHOULD EXPLAIN THE RATIONALE FOR ITS SPECIFIC CHOICE OF PROBLEMS TO BE FOCUSED ON IN THE PROPOSED STRATEGY. THE MISSION SHOULD BE AS CANDID AS POSSIBLE. RELEVANT FACTORS INCLUDE SEVERITY OF PROBLEMS, ATTITUDE OF THE HOST COUNTRY, PROGRAMS OF OTHER DONORS, MISSION RESOURCES AND CAPABILITIES, LIKELIHOOD OF SUCCESS, ETC.

DISCUSSION OF THE ROLE, AND LEVEL OF EFFORT, OF OTHER DONORS IS NECESSARY IN EXPLAINING MISSION PROBLEM SELECTION.

B. PROBLEM SPECIFIC STRATEGIES:

WITH RESPECT TO EACH PROBLEM OF MISSION FOCUS, THE COSS SHOULD IDENTIFY SPECIFIC DEVELOPMENT OBJECTIVES - SHORT OR LONG TERM, POSSIBLY EXTENDING BEYOND THE COSS PERIOD - AND MEASURABLE DEVELOPMENT BENCHMARKS. THE DISCUSSION SHOULD HIGHLIGHT THOSE CONSIDERED MOST IMPORTANT, EXPLAIN THE MISSION RATIONALE FOR ITS CHOICES AMONG POSSIBLE ALTERNATIVES, AND INDICATE EXACTLY WHAT THE PROPOSED PROGRAM IS EXPECTED TO ACCOMPLISH IF ALL GOES AS PLANNED, SPECIFYING WHICH GROUPS IN THE POPULATION ARE EXPECTED TO

MAKE PROGRESS TOWARDS THE BENCHMARKS, SPECIFICALLY ADDRESSING THE IMPACT ON DEMOGRAPHIC CATEGORIES SUCH AS THE POOR AND WOMEN. TO THE EXTENT POSSIBLE THESE PROJECTED A.I.D. ACCOMPLISHMENTS SHOULD BE SITUATED WITHIN THE LARGER TASK OF ACHIEVING QUANTITATIVE STANDARDS CITED ABOVE AND IN REF A. THE DISCUSSION OF ANTICIPATED ACCOMPLISHMENTS SHOULD EXPLICITLY INDICATE THE LIKELY PROSPECTS OF PROGRESS AGAINST THE PROBLEM, WITH AND WITHOUT THE PROPOSED A.I.D. ASSISTANCE PROGRAM, AND ANY SPECIAL DIPLOMATIC EFFORTS THAT MIGHT BE REQUIRED, SUCH AS IN SUPPORT OF MACROECONOMIC POLICY CHANGES AND/OR A STRUCTURAL ADJUSTMENT PROCESS, TO ASSURE SUCCESS.

MISSIONS SHOULD BE AWARE THAT JUSTIFICATIONS FOR STRATEGIES INVOLVING SUBSTANTIAL RESOURCE TRANSFERS THROUGH PROGRAM OR PROJECT ASSISTANCE (INCLUDING PL 480) WILL BE REVIEWED PARTICULARLY CLOSELY, TAKING INTO ACCOUNT THE POLICY OBJECTIVES TO BE ACHIEVED, OTHER DONOR RESOURCE AVAILABILITIES, AND THE COUNTRY'S OWN SELFHELP EFFORTS.

MISSION OBJECTIVES SHOULD INCLUDE POLICY CHANGE OBJECTIVES, AND THUS THE STRATEGY SHOULD INCLUDE A DISCUSSION OF HOW THE MISSION WILL SEEK TO BRING ABOUT IDENTIFIED POLICY CHANGES.

IN THE PRESENTATION OF EACH PROBLEM SPECIFIC STRATEGY, MISSION MUST EXPLAIN HOW THE A.I.D. EFFORT RELATES TO ACTIVITIES OF OTHER DONORS. IN PARTICULAR WE WANT TO KNOW IF THE DONORS SHARE A COMMON CONCEPTION OF THE PROBLEM AND OF WHAT NEEDS TO BE DONE, AND THAT THE COLLECTIVE ASSISTANCE EFFORT MEETS A TEST OF SUSTAINABILITY (E.G. IT DOES NOT COMMIT HOST COUNTRY TO RECURRENT COSTS THAT ARE BEYOND ITS CAPACITY).

IV. RESOURCES AND OTHER DONORS

A. OTHER DONORS

THE STRATEGY SHOULD BE SET IN THE CONTEXT OF TOTAL RESOURCE AVAILABILITY FOR DEVELOPMENT -- FROM OTHER DONORS, FROM THE HOST COUNTRY, AND FROM MULTILATERAL DEVELOPMENT INSTITUTIONS TAKING INTO ACCOUNT THE STRATEGIC PRIORITIES ASSOCIATED WITH THOSE OTHER RESOURCES, AND SHOULD INCLUDE CONSIDERATION OF WAYS TO HELP THE HOST COUNTRY MAKE THE BEST USE OF TOTAL AVAILABLE DEVELOPMENT RESOURCES IN ACHIEVING THE GOALS OF THE STRATEGY.

THIS SECTION SHOULD PROVIDE A QUANTITATIVE OVERVIEW OF ALL DONOR ACTIVITY. THIS SHOULD BE SET AGAINST THE BACKGROUND OF HOST COUNTRY INVESTMENTS. IT SHOULD BE DISAGGREGATED BY SECTOR OR PROBLEM AREAS. THE TEXT

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SHOULD INCLUDE A TABLE LAYING OUT ABSOLUTE LEVELS AND PERCENTAGES OF TOTAL INVESTMENT FROM EACH SOURCE.

OF THIS GUIDANCE CONTAINS A SUMMARY OF THESE CROSSCUTTING THEMES FOR MISSION ATTENTION.

B. U.S. RESOURCES

THIS SECTION SHOULD CALL ATTENTION TO THE BUDGETARY OPTIONS THE MISSION FACES AND EXPLAIN HOW THE MISSION PROPOSES TO ALLOCATE RESOURCES AMONG PROBLEM AREAS. IT SHOULD PROPOSE A GENERAL MAGNITUDE FOR SECTORAL AND SUB-SECTORAL ASSISTANCE AND INDICATE WHAT KINDS OF PROJECTS, WITH WHAT GENERAL AMOUNTS OF FUNDING, THE MISSION EXPECTS TO INITIATE OVER THE PLANNING PERIOD. MISSIONS SHOULD INDICATE PLANNED USE OF CENTRAL BUREAU RESOURCES TO IMPLEMENT THE PROGRAM.

IN SO DOING, MISSIONS SHOULD TAKE INTO ACCOUNT THE REALITIES OF THE DOMESTIC U.S. BUDGET SITUATION. PROSPECTS ARE NOT OPTIMISTIC FOR INCREASED RESOURCE AVAILABILITIES TO THE AGENCY OVER THE PLANNING PERIOD. THE PRESIDENT RECENTLY SIGNED LEGISLATION REVIVING GRAMM-RUDMANHOLLINGS BUDGET BALANCING PROVISIONS, WITH THE REQUIREMENT FOR A BALANCED BUDGET TO BE ACHIEVED BY 1993. THUS, IN PREPARING THE CDSS, MISSION STRATEGY SHOULD REFLECT THE ASSUMPTION THAT BUDGET LEVELS WILL CONTINUE TO BE SERIOUSLY CONSTRAINED.

BESIDES CONSIDERATIONS OF THE TOTAL LEVEL OF RESOURCE AVAILABILITIES, THE STRATEGY SHOULD TAKE INTO ACCOUNT TYPES OF U.S. ASSISTANCE RESOURCES AVAILABLE, AND POTENTIAL CONSTRAINTS THEREON, AS WELL AS MANAGEMENT AND PERSONNEL CAPACITIES. IN THIS REGARD, MISSIONS SHOULD REVIEW EXISTING PIPELINES OF ASSISTANCE TO DETERMINE WHETHER THEY ARE CONSISTENT WITH THE STRATEGY BEING PROPOSED OR WHETHER THEY COULD BE MORE EFFECTIVELY DEPLOYED TO SUPPORT THE RECOMMENDED STRATEGY. THE INCREASING TENDENCY OF CONGRESS TO EARMARK FUNDS FOR VARIOUS PURPOSES IS PERFORMING REDUCING BUDGET MANAGEMENT FLEXIBILITY. SHARP REDUCTIONS IN CERTAIN FUNCTIONAL DEVELOPMENT ASSISTANCE ACCOUNTS HAS SEVERELY LIMITED THE AGENCY'S ABILITY TO MOUNT SOME OF ITS PRIORITY PROGRAMS. GIVING EQUAL PRIORITY TO NUMEROUS SECTORS AND ACTIVITIES WILL BECOME INCREASINGLY DIFFICULT TO THE EXTENT THAT THIS TREND CONTINUES.

SPECIFICALLY WITH REGARD TO FOOD AID, MISSIONS SHOULD DESCRIBE HOW THE PROPOSED FOOD AID COMPONENTS OF THEIR PROGRAM ADDRESS SPECIFIC STRATEGY OBJECTIVES. THIS DISCUSSION SHOULD ADDRESS VARIOUS ELEMENTS OR SPIGOTS (PL 480/TITLE I/III, TITLE II, SECTION 206, ETC.) AND HOW THE PROPOSED COMMODITY MIX FITS WITHIN PROGRAM OBJECTIVES AND RECIPIENT COUNTRY NEEDS.

MOREOVER, PERSONNEL IMPLICATIONS OF THE STRATEGY MUST BE DISCUSSED AND ALTERNATIVES IDENTIFIED. FRAGMENTING STRATEGY INTO MULTIPLE SECTORS PRODUCES PROGRAMS WHICH STRETCH MISSION MANAGEMENT AND PERSONNEL CAPACITIES TO THE LIMIT. THEREFORE, IN ASSESSING POSSIBLE STRATEGIC INTERVENTIONS, MISSIONS ARE REQUESTED TO FOCUS THEIR STRATEGIES ON THOSE FEW SECTORS WHERE MEANINGFUL AND EFFECTIVE CONTRIBUTIONS ARE PLAUSIBLE WITH AVAILABLE PERSONNEL, AVOIDING PROJECT PROLIFERATION AND SEEKING TO CONCENTRATE RESOURCES IN THE MORE EFFECTIVE PROJECT OR PROGRAM AREAS.

IN THE PROCESS OF MAKING HARD STRATEGIC CHOICES AND CONCENTRATING RESOURCES ON KEY SECTORS, MISSIONS WILL BE EXPECTED TO CONSIDER, AS APPROPRIATE, OTHER CROSSCUTTING THEMES WHICH MAY BE CRITICAL TO ACHIEVING OUR OBJECTIVES AND MEANINGFUL DEVELOPMENT PROGRESS. THE RECOMMENDED STRATEGY IS TO REFLECT THOSE THAT ARE RELEVANT. PART TWO

PART TWO: SPECIAL AGENCY CONCERNS AND NEW POLICY DEVELOPMENTS

POLICY REFORM, A HEALTHY PRIVATE SECTOR, TECHNOLOGY TRANSFER, AND INSTITUTIONAL DEVELOPMENT REMAIN CRUCIAL INGREDIENTS FOR A SOUND ECONOMIC SYSTEM CONDUCTIVE TO SUSTAINABLE DEVELOPMENT. HOWEVER, SUSTAINED LONGTERM DEVELOPMENT IS ULTIMATELY THE RESPONSIBILITY OF THE LDC'S THEMSELVES AND THE IMPROVEMENT OF THE INDIGENOUS CAPABILITY TO CONCEIVE, ANALYZE, PLAN AND IMPLEMENT SOUND DEVELOPMENT POLICIES, STRATEGIES AND PROGRAMS IS ESSENTIAL TO SUCCESS. THIS MUST INCLUDE AN ENHANCED INSTITUTIONAL CAPACITY TO GENERATE, ADAPT AND TRANSFER TECHNOLOGY APPROPRIATE TO LOCAL ENVIRONMENTS AND RESOURCES.

III PREPARING THE DOCUMENT, MISSIONS SHOULD BE CAREFUL TO RESPOND TO THE FOLLOWING POLICY GUIDELINES:

I. MISSIONS SHOULD BE AWARE THAT THE PRIVATE SECTOR

INITIATIVE IS INEXTRICABLY LINKED WITH PRIVATIZATION, FINANCIAL MARKETS AND MICROENTERPRISE DEVELOPMENT. MISSIONS SHOULD ALSO BE AWARE THAT AFR/PRE, LAC/PS, S AND Y/RR, AND PRE/PD HAVE RESOURCES AVAILABLE FOR ASSISTING MISSIONS IN DEVELOPING PRIVATE SECTOR ACTIVITIES.

A. PRIVATE SECTOR. MISSIONS SHOULD ENDEAVOR TO HAVE THE PRIVATE SECTOR TAKE A STRONGER ROLE IN IMPLEMENTATION OF DEVELOPMENT PROGRAMS AND THE DELIVERY OF SOCIAL SERVICES. IN THE PAST, THE SOA AND ARDM ACCOUNTS HAVE BEEN ESPECIALLY EFFECTIVE FOR CHANNELING RESOURCES TO THE PRIVATE SECTOR. PROGRAM INITIATIVES SHOULD ENCOURAGE THE PRIVATE SECTOR TO TAKE ON THE MANAGEMENT AND FINANCIAL RESPONSIBILITY FOR DEVELOPMENT EFFORTS. MORE ATTENTION SHOULD BE GIVEN TO IMPLEMENTING POPULATION, HEALTH, CHILD SURVIVAL, AND EVEN EDUCATION AND HUMAN RESOURCES ACTIVITIES THROUGH PRIVATE SECTOR CHANNELS. THE USE OF THE PRIVATE SECTOR IN THESE AREAS SHOULD BE ADDRESSED IN THE CDSS AS AN INHERENT PART OF THE PROBLEM SPECIFIC STRATEGIES.

B. PRIVATIZATION. POLICY DETERMINATION 14 (SEE 1986 STATE 189086) DEFINES PRIVATIZATION AND EXPLAINS ITS MANY FORMS, DISCUSSES THE TYPE OF ASSISTANCE THAT A.I.D. COULD OFFER TO FACILITATE PRIVATIZATION, PRESENTS SOME OF THE MAJOR FACTORS THAT SHOULD BE CONSIDERED IN PURSUING PRIVATIZATION, AND DESCRIBES SOURCES OF TECHNICAL ASSISTANCE FOR PRIVATIZATION. MISSION IMPLEMENTATION ACTIVITIES SHOULD BE DESCRIBED IN THE CDSS. PRE CAN PROVIDE ASSISTANCE IN PRIVATIZATION THROUGH ITS CENTER FOR PRIVATIZATION; MISSIONS SHOULD AVAIL THEMSELVES OF ITS SERVICES.

C. FINANCIAL MARKETS. A REVIEW OF A.I.D.'S FINANCIAL MARKETS ACTIVITIES (PRIMARILY CREDIT PROJECTS) SUGGESTS A NUMBER OF IMPORTANT DESIGN FEATURES IN WHICH ASSUMPTIONS, CONVENTIONAL WISDOM, OR ANALYSIS HAVE RESULTED IN PROJECTS SOMEWHAT ISOLATED FROM THE BROADER POLICY AND INSTITUTIONAL ISSUES AND PROBLEMS IN THE LDC'S FINANCIAL SECTOR. MISSIONS SHOULD BE AWARE THAT THE DRAFT FINANCIAL MARKETS DEVELOPMENT POLICY PAPER, UNDERGOING SENIOR STAFF REVIEW IN AID/W AT PRESENT, REQUIRES THAT MISSIONS CONTEMPLATING FINANCIAL MARKETS ACTIVITIES DEVELOP A COMPREHENSIVE FINANCIAL MARKETS DEVELOPMENT STRATEGY FOR A.I.D. ACTIVITIES BEFORE OR IN CONJUNCTION WITH PURSUING ADDITIONAL FINANCIAL MARKETS PROJECTS.

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MISSIONS PURSUING THESE ACTIVITIES MAY WISH TO INCLUDE A PRELIMINARY FINANCIAL MARKETS ANALYSIS IN THEIR CDS. PRE/PO AND S AND ST/RO HAVE SPECIALIZED CONTRACTS IN

FINANCIAL MARKETS DEVELOPMENT AND RURAL SAVINGS MOBILIZATION, RESPECTIVELY; MISSIONS SHOULD SEEK TO UTILIZE THESE WHEN POSSIBLE.

B. MICROENTERPRISE. LEGISLATION CURRENTLY BEING CONSIDERED BY CONGRESS IS LIKELY TO DESIGNATE APPROXIMATELY DOLLARS 50 MILLION FOR MICROENTERPRISE ASSISTANCE. MISSIONS SHOULD DISCUSS IN THE CDS HOW THEY PLAN TO ADDRESS THIS SECTOR DURING THE NEXT SEVERAL YEARS. THIS COULD BE PART OF THE SECTIONS ON INCOME OF LOW INCOME GROUPS.

2. WOMEN IN DEVELOPMENT. WOMEN IN DEVELOPMENT IS A CROSS CUTTING SUE. WID SHOULD BE ADDRESSED IN THE PROBLEM DESCRIPTION AND ANALYSIS SECTION AND IN EACH OF THE STRATEGY SECTIONS. IN THE PROBLEM DESCRIPTION SECTION, WOMEN AND GIRLS SHOULD BE ADDRESSED NOT ONLY AS POTENTIAL BENEFICIARIES OF DEVELOPMENT PROGRESS BUT ALSO AS PARTICIPANTS IN THE DEVELOPMENT PROCESS. SIMILARLY, THE STRATEGY SECTION SHOULD DESCRIBE HOW EACH OF THE PROPOSED PROBLEM SPECIFIC STRATEGIES WILL EFFECTIVELY ADDRESS WOMEN'S AND GIRLS' ISSUES.

3. AGRICULTURE, RURAL DEVELOPMENT AND NUTRITION (ARDN). MISSIONS SHOULD BE GUIDED BY THE AGENCY'S AGRICULTURAL FOCUS STATEMENT, AS TRANSMITTED 3/1/87 (STATE 131187), WHICH EMPHASIZED THAT THE FOCUS OF THE AGENCY'S AGRICULTURAL, RURAL DEVELOPMENT AND NUTRITION PROGRAM IS TO INCREASE THE INCOME OF THE RURAL POOR AND EXPAND THE AVAILABILITY AND CONSUMPTION OF FOOD, WHILE MAINTAINING AND ENHANCING THE NATURAL RESOURCE BASE. ASSISTANCE TO SUPPORT AGRICULTURAL EXPORT DEVELOPMENT MUST BE CONSISTENT WITH PD 15 (3/13/86) REGARDING THE BUMPER'S AMENDMENT.

4. BIOLOGICAL DIVERSITY/TROPICAL FORESTS. AMENDMENTS TO THE FOREIGN ASSISTANCE ACT IN 1986 REQUIRE, REPEAT, REQUIRE THAT EACH COUNTRY DEVELOPMENT STRATEGY STATEMENT CONTAIN AN ANALYSIS OF (1) THE ACTIONS NECESSARY FOR THE COUNTRY TO CONSERVE BIOLOGICAL DIVERSITY AND THE EXTENT TO WHICH THE ACTIONS PROPOSED FOR SUPPORT BY A.I.D. MEET THE NEEDS THUS IDENTIFIED AND (2) THE ACTIONS NECESSARY FOR THE COUNTRY TO CONSERVE AND SUSTAIN MANAGEMENT OF TROPICAL FORESTS AND THE EXTENT TO WHICH ACTIONS PROPOSED FOR SUPPORT BY A.I.D. MEET THE NEEDS THUS IDENTIFIED. ASPECTS OF BIOLOGICAL DIVERSITY MUST BE ANALYZED FOR ALL COUNTRIES, BUT ONLY COUNTRIES WHICH HAVE TROPICAL FORESTS NEED TO INCLUDE THEM. STATE 118324 PROVIDES INFORMATION ABOUT THESE REQUIREMENTS AND AID/W IS NOW PREPARING MORE

DETAILED GUIDANCE AND A SUGGESTED OUTLINE FOR MISSION USE. COPIES OF EXEMPLARY STUDIES SUBMITTED IN FY 1987 WILL ALSO BE MADE AVAILABLE. SOME TECHNICAL ASSISTANCE IS AVAILABLE FROM S&T/PNR AND THE REGIONAL BUREAUS.

5. CHILD SURVIVAL. THE AGENCY CHILD SURVIVAL STRATEGY APPROVED IN APRIL, 1986, AND SUBSTRATEGIES APPROVED SUBSEQUENTLY ON MUNIZATION, DIARRHEAL DISEASE CONTROL, NUTRITION FOR CHILD SURVIVAL, AND CHILD SPACING FOR CHILD SURVIVAL, PROVIDE GUIDANCE FOR CHILD SURVIVAL PROGRAMMING. ALTHOUGH CHILD SURVIVAL GOALS FOR 1990 WILL NOT BE MET IN ALL EMPHASIS COUNTRIES, CHILD SURVIVAL REMAINS AN AGENCY PRIORITY. MISSIONS SHOULD PLAN THEIR CHILD SURVIVAL STRATEGIES AND BUDGETS FOR THE PERIOD IT WILL TAKE TO ACCOMPLISH AGENCY GOALS IN THEIR RESPECTIVE COUNTRIES.

6. AIDS. POLICY GUIDANCE ON AIDS HAS BEEN TRANSMITTED (STATE 180930, DATED 4/4/87). MISSIONS SHOULD CONSIDER BUY-INS TO THE CENTRALLY FUNDED AIDS UMBRELLA PROJECT FOR MOST BILATERAL ACTIVITIES. IN ADDITION, ALL MISSION ACTIVITIES SHOULD BE UNDERTAKEN IN THE CONTEXT OF A WMO-APPROVED COUNTRY PLAN OF ACTION, AND SHOULD COMPLEMENT WMO- AND OTHER DONOR-FUNDED ACTIVITIES.

7. POPULATION POLICY GUIDANCE. THE A.I.D. STRATEGIC OBJECTIVE FOR POPULATION IS EXPANDING ACCESS TO FAMILY PLANNING SERVICES TO COUPLES IN THE DEVELOPING WORLD. CURRENT POPULATION POLICY EMPHASIZES THE NEEDS OF INDIVIDUALS AND FAMILIES. A.I.D. SUPPORTS INTERNATIONAL FAMILY PLANNING BECAUSE IT ENABLES COUPLES TO CHOOSE THE NUMBER AND SPACING OF THEIR CHILDREN, IT IMPROVES THE HEALTH OF MOTHERS AND CHILDREN, AND IT REDUCES ABORTION. A.I.D. POLICY ALSO EMPHASIZES PROVIDING INFORMATION ABOUT AND ACCESS TO A RANGE OF SAFE AND EFFECTIVE FAMILY PLANNING SERVICES SO THAT COUPLES MAY CHOOSE THE METHOD APPROPRIATE TO THEIR CIRCUMSTANCES.

THIS IS NOT INCONSISTENT WITH THE NEED IN SOME COUNTRIES TO ACHIEVE A BALANCE BETWEEN ECONOMIC GROWTH AND POPULATION GROWTH. THE SUCCESSFUL EXPANSION OF HIGH QUALITY FAMILY PLANNING SERVICES WILL INCREASE THE PRACTICE OF FAMILY PLANNING AND INEVITABLY LEAD TO LOWER POPULATION GROWTH RATES. THE U.S. SUPPORTS GOVERNMENTS WHICH HAVE DEMOGRAPHIC TARGETS, BUT DOES NOT SET SUCH TARGETS FOR ITS OWN PROGRAMS.

8. LAND TENURE. POLICY DETERMINATION 13 (5/9/86) SETS FORTH A.I.D. POLICY REGARDING ASSISTANCE TO LDC PROGRAMS

AND PROJECTS IN LAND TENURE DEVELOPMENT, LAND TENURE SECURITY AND RELATED ACTIVITIES. A.I.D. IS PREPARED, IN SELECTED CASES AND AS RESOURCES MAY BE AVAILABLE, TO ASSIST DEVELOPING COUNTRIES TO ESTABLISH OR IMPROVE MARKETBASED LAND TENURE SYSTEMS SO THAT PRODUCERS ARE ABLE TO OBTAIN LAND OR ADJUST THE AMOUNT OF LAND UTILIZED IN THEIR PRODUCTION PROCESSES. LAND AND OTHER RESOURCE TENURE MATTERS ARE KEY POLICY CONCERNS IN NATURAL RESOURCE MANAGEMENT. POLICY DIALOGUE AND ACTION PROGRAMS SHOULD EMPHASIZE MARKETORIENTED APPROACHES TO SUSTAINABLE RESOURCE USE.

9. DEMOCRATIC INITIATIVES. DEMOCRATIC INSTITUTION BUILDING HAS BECOME A REFOCUSSED PRIORITY FOR A.I.D. CONSEQUENTLY, AS PART OF OUR APPROACH TO ACHIEVING DEVELOPMENT OBJECTIVES, MISSIONS SHOULD FOCUS NOT ONLY ON ECONOMIC INSTITUTION BUILDING BUT ON DEMOCRATIC INSTITUTION BUILDING AS WELL. THE FAA MANDATES THAT A.I.D. PROGRAMS SHOULD PLACE EMPHASIS, QUOTE ON ASSURING MAXIMUM PARTICIPATION IN THE TASK OF ECONOMIC DEVELOPMENT ... THROUGH THE ENCOURAGEMENT OF DEMOCRATIC PRIVATE AND LOCAL GOVERNMENT INSTITUTIONS, UNQUOTE. PD 12 ON HUMAN RIGHTS OUTLINES A.I.D.'S LEGISLATIVE REQUIREMENTS AND COMMITMENT TO THIS APPROACH, AND OFFERS EXAMPLES OF PROJECTS ENCOURAGED FOR PROMOTING DEMOCRATIC INSTITUTION BUILDING. MISSIONS ARE ENCOURAGED TO INCORPORATE DEMOCRATIC INITIATIVES IN THEIR CDS, AS WELL AS CONSIDER PROJECT IDEAS TO BE IMPLEMENTED THROUGH SECTION 116 (E) OF THE FAA.

10. HOUSING AND URBAN DEVELOPMENT. THE OFFICE OF HOUSING AND URBAN PROGRAMS (PRE/H), IN COLLABORATION WITH THE REGIONAL BUREAUS AND PARTICIPATING MISSIONS, IS ADOPTING A SECTOR LENDING APPROACH TO THE HOUSING GUARANTY (HG) PROGRAM. THE APPROACH EMPHASIZES THE USE OF HG RESOURCES TO LEVERAGE SECTOR POLICY REFORMS WHICH

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WOULD FACILITATE ACCESS BY LOW INCOME FAMILIES TO SHELTER AND RELATED FACILITIES. SUCH PROGRAMS PROVIDE NG DOLLARS WHICH NEED NOT BE DIRECTLY LIMITED TO SPECIFIC PROJECT EXPENDITURES. HOWEVER, THE USE OF THE LOCAL CURRENCY GENERATED BY SUCH PROGRAMS MUST BE SPECIFIED AND MUST FINANCE HOUSING AND RELATED SHELTER ACTIVITIES AFFORDABLE TO FAMILIES BELOW THE MEDIAN INCOME. SECTOR PROGRAMS ARE SOUGHT AS A MORE EFFICIENT VEHICLE FOR ADDRESSING FUNDAMENTAL CONSTRAINTS INHIBITING THE GROWTH OF SECTORAL OUTPUT AND PRODUCTIVITY THAN MORE TRADITIONAL PROJECTIZED ASSISTANCE.

THE CONSTRAINTS WHICH MIGHT BE ADDRESSED COULD INCLUDE,

FOR EXAMPLE, INAPPROPRIATE SUBSIDIES OR SHELTER SECTOR POLICIES AND STANDARDS AND INADEQUATE OR INAPPROPRIATE ALLOCATION OF RESOURCES TO OR WITHIN THE SECTOR. INSTITUTIONAL OR INFRASTRUCTURE CONSTRAINTS IN PARTICULAR MIGHT BE HANDLED BY A COMPREHENSIVE STRATEGY WHICH INCLUDES NONPROJECTIZED DISBURSEMENT WITH RELATED PROJECTS FINANCED WITH LOCAL CURRENCY GENERATED BY THE NG FUNDS. MISSIONS ARE ALSO ENCOURAGED TO CONSIDER THE BROADER IMPLICATIONS OF THE NG RESOURCE IN MISSION PROGRAMMING IN AREAS SUCH AS SUPPORT FOR PRIVATE SECTOR AND INDIVIDUAL HOUSEHOLD EFFORTS, DEVELOPMENT OF MARKET-BASED FINANCIAL INSTITUTIONS, DECENTRALIZATION/LOCAL GOVERNMENT DEVELOPMENT/SECONDARY MARKET TOWN DEVELOPMENT, AND THE ECONOMIC EFFICIENCY OF URBAN INVESTMENTS.

THE REGIONAL HOUSING AND URBAN DEVELOPMENT OFFICERS (RHUC) ARE AVAILABLE TO ASSIST MISSIONS IN EXPLORING THESE NOVEL PROGRAMMING OPPORTUNITIES.

11. INTERNATIONAL DISASTER ASSISTANCE. THE OFFICE OF FOREIGN DISASTER ASSISTANCE (OFDA) HAS DETERMINED DURING THE LAST DECADE THAT MOST-COUNTRY DISASTER IMPACTS ARE BECOMING INCREASINGLY COSTLY BOTH IN ECONOMIC AND HUMAN TERMS. OFDA'S PRIMARY GOAL IS TO SAVE LIVES AND REDUCE HUMAN SUFFERING. HOWEVER, RECENTLY OFDA HAS BECOME INCREASINGLY DRAWN INTO DEVELOPMENT-RELATED ACTIVITIES FOR WHICH MISSIONS SHOULD TAKE GREATER RESPONSIBILITY SUCH AS PESTICIDES MANAGEMENT, FLOOD HAZARDS MITIGATION, RANGELAND/CROP MONITORING, LANDUSE IMPACTS ANALYSES, AND LOCUST INFESTATIONS MANAGEMENT. CONSISTENT WITH DRAFT IG GUIDANCE REGARDING MISSION DISASTER PLANNING, USAIDS SHOULD ADDRESS IN THEIR STRATEGY STATEMENT MISSION DISASTER PREPAREDNESS PLANNING AND SHOULD DOCUMENT EFFORT TO COOPERATE WITH HOST GOVERNMENTS IN ASSESSING THEIR POTENTIAL VULNERABILITY TO EVENTS WHICH CAUSE DISASTERS SUCH AS EARTHQUAKES, LANDSLIDES, FLOODS, DROUGHT, AND TSUNAMIS.

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FPA-02 AFEC-02 AFEO-02 AFPO-04 SERP-01 AFTR-05 FVA-01
SECS-02 OFDA-02 AMAD-01 SETM-01 PPCE-01 PDPR-01 PPPB-02
GC-01 GCAF-01 OL-01 STNE-03 STPO-01 PPR-01 STFN-02
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DRAFTED BY: AID/AFR/DP/PPE:ES/STONS:LM:

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AID/AFR/DP/PPE:EGREELEY

AID/AFR/DP/PAR:JWOLGIN (DRAFT)

AID/AFR/DP/PAB:MHERRILL (DRAFT)

AID/AA/AFR:VLELLIOTT

AID/AFR/GCVA:JCOLES (INFO)

AID/AFR/EA:SHINTZ (INFO)

AID/AFR/SA:FFISCHER (INFO)

AID/AFR/SVA:PDICHTER (INFO)

AID/AFR/PD:CPEASLEY (INFO)

AID/AFR/TR:KSHERPER (INFO)

AID/AFR/PRE:HMUNSON (INFO)

AID/PPC/PB:RMAUSHAMMER (DRAFT)

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AMEMBASSY NIGERIA
AMEMBASSY KHARTOUM
AMEMBASSY KINSHASA
AMEMBASSY LUSAKA
AMEMBASSY BUJUMBURA
AMEMBASSY YAOUNDE
AMEMBASSY ACCRA
AMEMBASSY CONAKRY
AMEMBASSY ANTANANARIVO
AMEMBASSY LILONGWE
AMEMBASSY BAHAMAS
AMEMBASSY MAPUTO
AMEMBASSY NIAMEY
AMEMBASSY KIGALI
AMEMBASSY DAR ES SALAAM
AMEMBASSY KAMPALA
AMEMBASSY HARARE

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E.O. 12958: N/A

TAGS:

SUBJECT: AFRICA BUREAU SUPPLEMENTAL CDSS GUIDANCE AND
GUIDANCE ON CONCEPT PAPERS

REF: (A) REVIEW SCHEDULING (B) STATE 340629 (C) STATE
208421 (D) AFRICA BUREAU PRIVATE SECTOR STRATEGY

1. SUMMARY. MALI AND SUDAN ARE EXPECTED TO PREPARE FULL
CDSS OVER THE NEXT SIX MONTHS; GHANA AND MADAGASCAR
WILL BE SUBMITTING CONCEPT PAPERS WITHIN THE SAME
TIMEFRAME. TANZANIA IS EXPECTED TO PREPARE A FULL CDSS
BY END CY 88. SPECIFIC SCHEDULING INFORMATION SHOULD
ALREADY HAVE ARRIVED IN REF A. AGENCY CDSS GUIDANCE
(REF B) IS SUPPLEMENTED IN THIS CABLE FOR THREE REASONS:
FIRST, AS THE INITIATIVE TO END HUNGER IN AFRICA (REF C)
GAINS MOMENTUM, INDIVIDUAL COUNTRY DOCUMENTATION SHOULD
REFLECT THE OBJECTIVES AND ANALYSES ASSOCIATED WITH THIS
CONTINENT-WIDE EFFORT. SECOND, WE MUST BEGIN TO THINK

NOW WE MIGHT RESPOND TO THE OPPORTUNITIES WHICH THE
DEVELOPMENT FUND FOR AFRICA (DFA) GIVES US. THIRD, WE
WANT TO EMPHASIZE EFFECTIVE MONITORING OF PROGRESS IN
IMPLEMENTING NEW APPROACHES AND ON DEVELOPING ADEQUATE
EVALUATING AND REPORTING SYSTEMS. WE ALSO PROPOSE THAT
CONCEPT PAPERS SHOULD FOLLOW TO THE EXTENT POSSIBLE THE

FORMATS SPECIFIED FOR CDSS. IT IS RECOGNIZED THAT AS
CONCEPT PAPERS ARE MORE IN THE NATURE OF INTERIM
DOCUMENTS, WRITTEN AT TIMES OF SUBSTANTIAL FLUX IN
DEVELOPMENT CIRCUMSTANCES, ANALYSES AND ARTICULATION OF
STRATEGIC CHOICES WILL BE LESS DETAILED AND MORE
TENTATIVE. END SUMMARY.

2. END HUNGER INITIATIVE. THE END HUNGER INITIATIVE
(ENI) REPRESENTS A U.S. COMMITMENT TO THE GOAL OF ENDING
HUNGER IN AFRICA THROUGH MARKET-BASED GROWTH. THE AIM
OF THE INITIATIVE IS TO SUSTAIN ECONOMIC GROWTH, THAT
IS, INCREASED PRODUCTION CAPACITY, OVER SUFFICIENT
PERIODS OF TIME TO END HUNGER AS A SYSTEMIC PROBLEM. IT
IS PROPOSED THAT A MIX OF POLICY REFORM, LONG-TERM
COMMITMENT OF RESOURCES, AND
INSTITUTIONAL/ORGANIZATIONAL DEVELOPMENT IS REQUIRED.
THESE IMPLY: EFFICIENT ALLOCATION OF RESOURCES THROUGH
MARKET MECHANISMS IN A MACROECONOMIC ENVIRONMENT
CONDUCTIVE TO THE OPERATION OF SUCH MECHANISMS;
INCREASING THE EFFICIENCY WITH WHICH RESOURCES ARE USED
BY THE PUBLIC SECTOR IN THOSE ACTIVITIES APPROPRIATE TO
AND NECESSARY FOR THAT SECTOR TO PERFORM; LONG-TERM
COMMITMENT TO FUNDING IN THE MOST FLEXIBLE WAY POSSIBLE,
I.E., THE DEVELOPMENT FUND FOR AFRICA AND MORE
INTEGRATED USE OF DA, ESF, AND PL 480 RESOURCES, RATHER
THAN SIMPLY MORE RESOURCES; BETTER COORDINATION AMONG
DONORS; AND MOBILIZATION OF THE PRIVATE SECTOR --
BUSINESS, PRIVATE AND VOLUNTARY GROUPS, AND INDIVIDUALS.
-- THROUGH EXPANDING THE USE OF THE MARKET SYSTEM BY
AFRICAN SOCIETIES.

IT SHOULD BE RECOGNIZED THAT THE END HUNGER INITIATIVE
GOALS AND APPROACHES UNDERSCORE THE STATEMENTS IN THE
AGENCY CDSS GUIDANCE (PARA 3) THAT QUOTE THE BASIC
DEVELOPMENT PROBLEM FOR AID IS INADEQUATE ECONOMIC
GROWTH. ECONOMIC GROWTH IS A FUNCTION OF HOW THE
ECONOMY ALLOCATES RESOURCES...THE FOUNDATION OF
SUCCESS...MUST BE ...BROAD BASED ECONOMIC GROWTH THAT
PROVIDES PRODUCTIVE EMPLOYMENT AS WELL AS HIGHER PER
CAPITA INCOMES FOR AN INCREASING PROPORTION OF THE
POPULATION. WITHOUT THIS FOUNDATION, PROGRESS IN OTHER
ELEMENTS... CANNOT BE SUSTAINED AND OUR FOREIGN POLICY
OBJECTIVES CANNOT BE ACHIEVED ENDQUOTE. WE THEREFORE
WOULD LIKE TO SEE CDSS DO A THOROUGH JOB OF ANALYZING
THE CONSTRAINTS TO SUCH ECONOMIC GROWTH AND DISCUSSING
THE WAY IN WHICH AID PROPOSES TO ADDRESS THEM. IT IS
ALSO IMPERATIVE THAT ATTENTION BE DEVOTED TO THE
QUESTIONS OF POPULAR PARTICIPATION IN ECONOMIC ACTIVITY
(INCLUDING THE CAPACITY TO ACCEPT OR, THROUGH MARKET

MECHANISMS, SHIFT RISK), THE SUSTAINABILITY OF THE
GROWTH PROCESS, AND POTENTIAL THAT THE COUNTRY BEING
CONSIDERED HAS TO SOLVE ITS HUNGER PROBLEMS THROUGH THE
PROCESS OF GROWTH. THIS WILL ENABLE MISSIONS TO DEAL
WITH THE PROBLEMS SPECIFICALLY MENTIONED IN THE AGENCY
GUIDANCE WHILE EXPLICITLY LINKING THE CONCERNS (HUNGER,
HEALTH DEFICIENCIES, LACK OF EDUCATION, AND POPULATION
PRESSURES) IN A COHERENT ANALYSIS AND STRATEGY. WE
FULLY RECOGNIZE THE SPACE LIMITATIONS AND URGE MAXIMUM
USE OF EXPLANATORY TABLES IN ANNEXES.

3. DEVELOPMENT FUND FOR AFRICA (DFA) CONCERNS. RECOGNIZING THE TREMENDOUS NEED FOR RESOURCES IN AFRICA AT

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THE SAME TIME AS FOREIGN ASSISTANCE FUNDING WAS SHRINKING OVERALL, THE END HUNGER INITIATIVE PROPOSED THAT A SINGLE DEVELOPMENT FUND FOR AFRICA BE ESTAB-

ALTHOUGH OFTEN WITH LESS DATA AND PRIOR ANALYSIS THAN WOULD BE AVAILABLE IN MORE STABLE COUNTRIES, AND TO SKETCH OUT A REASONABLE, ALTHOUGH TENTATIVE, STRATEGY FOR A TWO TO THREE YEAR PERIOD. WHILE AID/W WOULD LIKE FOR EACH USAID REQUESTED TO PREPARE A CONCEPT PAPER TO FOLLOW THE GENERAL GUIDANCE FOR THE CDSS PREPARATION TO THE EXTENT POSSIBLE, AID/W DOES NOT REQUIRE THAT EACH SUBJECT BE DESCRIBED IN THE DEPTH AND DETAIL CALLED FOR IN THE REGULAR CDSS GUIDANCE. IT IS EXPECTED THAT THE CONCEPT PAPER REQUESTED SHOULD BE ABOUT ONE-HALF THE LENGTH OF A REGULAR CDSS, THAT IS, NOT TO EXCEED 30 PAGES. CONCEPT PAPERS WILL BE REVIEWED AS THOUGH THEY WERE CDSSS, BUT THE AA/AFR RATHER THAN A/AID WILL SIGN OFF ON THE APPROVAL CABLE.

CONSOLIDATE THE MAJOR ELEMENTS OF OUR CURRENT PROGRAM INTO A NEW COHERENT LEGISLATIVE FRAMEWORK. THE NEW DFA PERMITS BOTH PROJECT AND NONPROJECT USE OF FUNDS, DEPENDING ON THE NEED IN INDIVIDUAL COUNTRIES AND FOR INDIVIDUAL ACTIVITIES, AND A FOCUS ON ECONOMIC POLICY REFORM AND PRIVATE SECTOR DEVELOPMENT AS WELL AS OTHER EFFORTS DESIGNED TO STIMULATE SUSTAINED ECONOMIC GROWTH. IN ADDITION, THE DFA ENCOURAGES CONTINUED SUPPORT FOR SPECIAL AREAS OF CONCERN SUCH AS POPULATION, CHILD SURVIVAL, NATURAL RESOURCES MANAGEMENT, AND PVOS. FINALLY, THE DFA WILL PROVIDE FLEXIBILITY TO REWARD PROGRESS IN COUNTRIES WHICH HAVE ALREADY EMBARKED ON ECONOMIC REFORM PROGRAMS, AS WELL AS ENCOURAGE OTHER COUNTRIES TO UNDERTAKE SUCH MARKET-ORIENTED APPROACHES. THE IMPORTANCE OF THE DFA FOR THE PREPARATION OF CDSSS AND CONCEPT PAPERS IS THAT MISSIONS CAN DEVELOP THEIR STRATEGIC AND PROGRAMMING OPTIONS WITH FEWER RESTRICTIONS THAN PREVIOUSLY APPLIED. EVEN GREATER CONCENTRATION OF PORTFOLIOS ON A FEW KEY CONSTRAINTS IS PERMITTED; GREATER FLEXIBILITY IN USING NONPROJECT MODES OF ASSISTANCE IS ENCOURAGED. IT IS OUR INTENTION TO EMPHASIZE PERFORMANCEBASED ALLOCATION OF RESOURCES UNDER THE FUND.

4. MONITORING, EVALUATION, AND REPORTING. BOTH THE END HUNGER INITIATIVE AND THE DFA WILL, HOWEVER, REQUIRE THE BUREAU AS A WHOLE TO STRENGTHEN ITS SYSTEMS FOR PERFORMANCE MONITORING, EVALUATION OF NONPROJECT AS WELL AS PROJECT ASSISTANCE, AND REPORTING. SINCE INCREASING OVERALL PROGRAM EFFECTIVENESS AND IMPACT ARE FUNDAMENTAL, SPECIAL ATTENTION WILL BE PAID TO MONITORING, EVALUATION, AND REPORTING ABOVE THE PROJECT LEVEL. AFRICA MISSIONS ARE, THEREFORE, REQUIRED TO

SUPPLEMENT THE AGENCY CDSS GUIDANCE OUTLINE WITH A SECTION V. MONITORING, EVALUATION, AND REPORTING. IN THIS SECTION OF THE CDSS OR CONCEPT PAPER, MISSIONS SHOULD EXPLAIN (A) WHAT THE OBJECTIVES OF THEIR MONITORING, EVALUATION, AND REPORTING SYSTEMS ARE; (B) HOW THEY PLAN TO MANAGE THESE SYSTEMS; AND (C) THE PRINCIPAL BENCHMARKS FOR MEASURING THE OVERALL SUCCESS OF THE CDSS STRATEGY, FOR EXAMPLE, GROSS DOMESTIC PRODUCT (GDP) AND GDP/CAPITA, GOVERNMENT EXPENDITURES AS A PERCENT OF GDP AND THE RATES OF CHANGE OF THESE MEASUREMENTS, MONEY SUPPLY AND CONSUMER PRICES OVER TIME COULD BE USED TO INDICATE GROWTH IN OVERALL ECONOMIC PRODUCTION CAPACITY. THE SYSTEM SHOULD INCLUDE TRACKING OF THE IMPACT OF PROGRAMS AT BOTH THE GRASSROOTS AND NATIONAL, "MACRO", LEVEL IF AT ALL POSSIBLE. THE ACTION PLAN, TO BE PREPARED ONE YEAR AFTER CDSS APPROVAL, SHOULD MORE COMPLETELY ARTICULATE BENCHMARKS AND TARGETS FOR EACH STRATEGIC OBJECTIVE TAKEN FROM THE CDSS. MANAGEMENT APPROACHES CAN ALSO BE MORE CLEARLY DEFINED IN THE ACTION PLAN. HOWEVER, AS MONITORING, EVALUATING, AND REPORTING ON PROGRESS ASSUME NEW IMPORTANCE WITH THE IMPLEMENTATION OF THE ENI AND DFA, BUREAU MANAGEMENT WOULD LIKE TO BEGIN TO UNDERSTAND HOW MISSIONS WILL CONTRIBUTE TO THE OVERALL PROCESS STARTING RIGHT FROM THE CDSS.

5. CONCEPT PAPERS AS INTERIM CDSSS. CONCEPT PAPERS ARE INTENDED TO BE INTERIM STRATEGY DOCUMENTS IN COUNTRIES IN WHICH CONDITIONS ARE STILL ESPECIALLY FLUID. MISSIONS ARE OFTEN NEWLY-ESTABLISHED, DEVELOPMENT POTENTIAL APPEARS TO BE SUBSTANTIAL, AND DONOR SUPPORT IS GROWING RAPIDLY. CONCEPT PAPERS ENABLE THE MISSION TO CONDUCT A SERIOUS APPRAISAL OF THE SITUATION,

6. CDSS OUTLINE AND PAGINATION. THE SUGGESTED OUTLINE AND NUMBERS OF PAGES FOR EACH MAJOR SECTION IS AS FOLLOWS:

- EXECUTIVE SUMMARY (NO MORE THAN 3 PAGES, DOUBLE-SPACED)

-- I. OVERVIEW OF THE ENVIRONMENT FOR DEVELOPMENT (NO MORE THAN 3 PAGES)

II. PROBLEM DESCRIPTION AND ANALYSIS (20 PAGES)

-- III. STRATEGY (20 PAGES)

- IV. RESOURCES AND OTHER DONORS (10 PAGES)

-- V. MONITORING, EVALUATION, AND REPORTING (5 PAGES)

REF B GIVES FULLER OUTLINE FOR SECTIONS I-IV AND DISCUSSES THE CONTENT REQUIRED FOR THESE SECTIONS.

7. REFERENCES AND ANNEXES. TO KEEP THE CDSS ITSELF AS CLOSE TO THE 60 PAGE LIMIT AS POSSIBLE, MISSIONS SHOULD FEEL FREE TO CITE REFERENCES, USE COGENT EXPLANATORY FOOTNOTES, AND ADD SUPPLEMENTARY ANNEXES TO INCREASE THE DEPTH ON PARTICULARLY IMPORTANT ISSUES (MANY OF WHICH ARE CITED IN PART TWO OF THE AGENCY CDSS GUIDANCE). SPECIAL ANNEXES CAN PRESENT ANALYSES OF PARTICULAR SUBSECTORS OR CROSSCUTTING PROBLEMS AND THE CONCLUSIONS OF THESE ANALYSES CAN SIMPLY BE SUMMARIZED IN THE BODY OF THE CDSS ITSELF. THIS SHOULD ENABLE MISSIONS TO RESPOND FULLY TO SPECIFIC CONGRESSIONAL REQUIREMENTS, FOR EXAMPLE, TO INCLUDE AN ANALYSIS OF ACTIONS NECESSARY FOR CONSERVING BIOLOGICAL DIVERSITY AND TROPICAL FORESTS. WHILE GUIDANCE ON THIS PARTICULAR ANALYSIS IS STILL BEING PREPARED, IT IS LIKELY THAT A SPECIAL ANNEX TO THE CDSS AND/OR ACTION PLANS WILL BE RECOMMENDED AS A USEFUL APPROACH TO ADEQUATELY ADDRESSING THESE CONCERNS.

8. TO SUM UP, THIS AFRICA BUREAU CDSS/CONCEPT PAPER GUIDANCE IS INTENDED TO SUPPLEMENT, NOT REPLACE, THE AGENCY CDSS GUIDANCE. WE EXPECT AFRICA MISSIONS TO FOCUS IN PARTICULAR ON THEIR ANALYSES OF CONSTRAINTS TO ECONOMIC GROWTH (INCLUDING VARIOUS RESOURCE GAPS-- FOREIGN EXCHANGE, INVESTMENT, BUDGETARY, ETC.) --AND THE ROLE WHICH U.S. ASSISTANCE FROM ALL SOURCES (ESF, DA, AND PL 480) CAN PLAY IN ENCOURAGING SUSTAINABLE ECONOMIC GROWTH THROUGH THE USE OF MARKET SYSTEMS SO THAT THERE CAN TRULY BE AN END TO HUNGER IN AFRICA. WE ENCOURAGE MISSIONS TO MAKE MAXIMUM USE OF THE NEW OPTIONS WHICH

THE DFA WILL GIVE US. AND, FINALLY, WE ASK THAT ALL REFLECT ON ACTIONS WHICH THE MISSIONS CAN TAKE TO IMPROVE MONITORING, EVALUATION, AND REPORTING ON

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PROGRESS. IF YOU HAVE ANY FURTHER QUESTIONS REGARDING
THE PREPARATION OF YOUR CDSS AND CONCEPT PAPER, PLEASE
CONTACT AFR/DP. SHULTZ

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ANNEX C

**State 378844, 11/28/87,
Africa Bureau Guidance for FY89-91 Action Plans**

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PROMOTE REVISED POLICIES, BETTER REPORTING OF PERSONNEL EXPENDITURES, ETC.) SHOULD BE CITED. WHEN THESE ARE NOT READILY AVAILABLE OR ARE NOT AVAILABLE ON A GENDER-DISAGGREGATED BASIS, MISSIONS SHOULD CONSIDER UNDERTAKING SPECIAL ACTIONS TO IMPROVE MONITORING AND EVALUATION (SEE PART III-B BELOW).

-- B. IMPLICATIONS FOR FUTURE PROGRAM ACTION (2 PAGES)

THE IMPLICATIONS OF THIS ASSESSMENT OF PROGRESS FOR DEFINING RELEVANT STRATEGIC OBJECTIVES FOR THE UPCOMING PERIOD AND PROGRAMMIC IMPLEMENTATION

SHOULD BE BRIEFLY LAID OUT. PREVIOUS OBJECTIVES SHOULD BE EXPLICITLY REAFFIRMED OR REVISED; IF REVISED, THEN RATIONALS FOR REVISIONS SHOULD BE CLEAR.

II. STRATEGIC OBJECTIVES, TARGETS, AND BENCHMARKS FOR NEXT TWO YEAR PERIOD (2 PAGES)

-- THIS SECTION SHOULD PRESENT IN BOTH NARRATIVE AND TABULAR FORMAT A SUMMARY OF THE PRIORITY REPEAT PRIORITY STRATEGIC OBJECTIVES THAT THE MISSION EXPECTS TO ACHIEVE IN THE UPCOMING TWO YEAR PERIOD AND, IN A GENERAL WAY, HOW IT WILL MANAGE AND MONITOR ITS ACTIVITIES.

-- "STRATEGIC OBJECTIVES" ARE DEFINED AS THE MEDIUM TO LONG TERM GOALS FOR THE MISSION ASSISTANCE PROGRAM AS LAID OUT IN THE CDSS OR PREVIOUS ACTION PLAN. THESE ARE ALSO OFTEN REFERRED TO AS PROGRAM OBJECTIVES OR PROGRAM GOALS. AS PART OF THE BUREAU EFFORT TO FOCUS A.I.B. ASSISTANCE, MISSIONS ARE ENCOURAGED TO LIMIT PRIORITY STRATEGIC OBJECTIVES TO THREE OR FOUR.

-- "TARGETS" ARE DEFINED AS SPECIFIC, SHORT- TO MEDIUM-TERM OUTCOMES OR ACTIONS WHICH ARE TO BE ACCOMPLISHED IN ORDER TO INITIATE OR SUSTAIN MOVEMENT TOWARD ACHIEVEMENT OF STRATEGIC OBJECTIVES.

-- "BENCHMARKS" ARE DEFINED AS QUANTITATIVE OR QUALITATIVE INDICATORS THAT THE TARGETS ARE BEING OR HAVE BEEN ACHIEVED.

-- THE LINKAGES BETWEEN OBJECTIVES, TARGETS, AND BENCHMARKS SHOULD BE EXPLAINED TO THE EXTENT NECESSARY TO MAKE THE LOGIC OF THE PROGRAM APPARENT. KEY ASSUMPTIONS REGARDING EXISTING CONDITIONS SHOULD BE NOTED. THE LEVEL OF RISK THAT ASSUMPTIONS MIGHT NOT HOLD SHOULD BE EVALUATED.

-- ALL TARGETS AND BENCHMARKS SHOULD BE DISAGGREGATED BY GENDER.

III. MISSION MANAGEMENT, MONITORING, AND COORDINATION ACTIVITIES

-- A. RESOURCE MANAGEMENT: PLANS AND ISSUES (2 PAGES)

THIS SECTION SHOULD DESCRIBE HOW THE MISSION PLANS

TO MANAGE ITS RESOURCES (FINANCIAL, FOOD AID, AND STAFF) TO ACHIEVE ESTABLISHED PROGRAM OBJECTIVES AND TARGETS. KEY REPEAT KEY ACTIONS REGARDING PROGRAM CONSOLIDATION, PROCEDURAL SIMPLIFICATIONS, STAFF REALIGNMENTS, IMPROVED UTILIZATION OF FCMS AND PICS, COLLABORATION WITH PLACE CORPS VOLUNTEERS AND PWS,

IMPLEMENTATION OF THE BUREAU'S WOMEN IN DEVELOPMENT ACTION PLAN AND THE NATURAL RESOURCE MANAGEMENT PLAN, LOCAL CURRENCY MANAGEMENT, AND PIPELINE/BURNTAGE ISSUES SHOULD BE ADDRESSED AS RELEVANT. NEW INITIATIVES (POLICY DIALOGUE, NONPROJECT ASSISTANCE, PROJECTS, RESEARCH) WHICH ARE PROPOSED OR PLANNED FOR THE UPCOMING TWO YEARS SHOULD BE SUMMARIZED.

-- B. MONITORING AND PERFORMANCE EVALUATION (2 PAGES)

TRACKING AND PERFORMANCE EVALUATION IS AN ONGOING AGENCY PROCESS WHICH THE AFRICA BUREAU IS COMMITTED TO IMPROVING (REF 9) AT BOTH PROJECT AND PROGRAM LEVEL. MISSIONS ARE ALSO REMINDED OF THE REQUIREMENT TO HAVE A SYSTEM TO MONITOR PROJECT OUTPUTS AND PROGRAM IMPACT BY GENDER (SEE REFS E AND F). THIS MUST BE DESCRIBED AS PART OF THE OVERALL PLAN.

THE MISSION'S PLANS FOR MONITORING AND EVALUATION SHOULD BE DESCRIBED IN TWO PAGES OR LESS IN THE ACTION PLAN. WHILE MISSIONS MAY WISH TO PRESENT A BULLETIZED PROJECT EVALUATION SCHEDULE FOR THE UPCOMING TWO YEARS, THE DISCUSSION OF MONITORING AND EVALUATION IN THE ACTION PLAN SHOULD FOCUS PRINCIPALLY AT THE PROGRAM LEVEL, AND BE DIRECTLY RELATED TO THE PART II PRESENTATION OF OBJECTIVES, TARGETS, AND BENCHMARKS. TO THE EXTENT THAT ACHIEVEMENT OF OBJECTIVES OR TARGETS IS SENSITIVE TO CERTAIN ASSUMPTIONS BEING MET, THE MISSION MAY ALSO WISH TO EXPLAIN HOW IT PLANS TO MONITOR OR ASSESS FACTORS WHICH AFFECT THESE ASSUMPTIONS.

IT IS EXPECTED THAT MISSIONS WILL TAKE ADVANTAGE OF THE BIENNIAL PROJECT EVALUATION AND PIR REVIEW PROCESS TO REASSESS, IN A SUMMARY AND QUALITATIVE FASHION, THE DIRECTION OF PROGRESS TOWARD THEIR STRATEGIC OBJECTIVES. THESE PERCEPTIONS CAN BE COMMUNICATED TO A.I.B. EVERY SIX MONTHS THROUGH USE OF THE MISSION DIRECTOR'S OVERVIEW STATEMENT WHICH IS NORMALLY FORWARDED TO WASHINGTON WITH THE WRITTEN PIR. A MORE FORMAL AND QUANTITATIVE ASSESSMENT CAN

PLAN REVIEW SO AS TO PROVIDE A SUBSTANTIVE BASIS FOR PROGRAM WEEH DISCUSSIONS.

-- C. COORDINATION WITH OTHER DONORS (ONE PAGE)

THE MISSION SHOULD DESCRIBE THE RELATIONSHIP BETWEEN ITS PROGRAM OBJECTIVES AND MANAGEMENT PLANS AND THOSE OF OTHER DONORS.

-- D. SPECIAL ISSUES/CONSIDERATIONS (ONE PAGE)

AS APPROPRIATE, SPECIAL ISSUES ON THE MISSION'S VIEW WITH REGARD TO HANDLING SPECIAL CONCERNS, E.G., SPECIAL, CONGRESSIONALLY-MANDATED ACTIVITIES (E.G., BIOLOGICAL DIVERSITY), COLLABORATION WITH TITLE III EDUCATION INSTITUTIONS, ACHIEVEMENTS AND PROSPECTS FOR GRAY AMENDMENT ORGANIZATION CONTRACTING, ETC. MIGHT BE INCLUDED.

NEW PROJECT DEVELOPMENT PLANS CAN BE DISCUSSED HERE IF THEY HAVE NOT ALREADY BEEN CONSIDERED IN EARLIER SECTIONS. THE ADS WILL REMAIN, HOWEVER, THE DOCUMENT IN WHICH NEW PROJECTS SHOULD BE INITIALLY DESCRIBED.

9. PROPOSED SCHEDULE OF DUE DATES FOR FY 88

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SEYDL: ACTION PLAN SUBMISSION BY FEBRUARY 5, 1988;
PROGRAM WEEK, FEBRUARY 29 - MARCH 4

SAFEGOOD: ACTION PLAN SUBMISSION BY FEBRUARY 22; PROGRAM
WEEK, MARCH 21 - 26

SENEGAL: ACTION PLAN UPDATE SUBMISSION BY MARCH 7, 1988;
PROGRAM WEEK, APRIL 4 - 8. NOTE: COMPLETELY NEW ACTION
PLAN IS NOT REQUIRED; ACTION PLAN SUBMITTED IN MAY,
1987, MAY BE UPDATED FOR THIS PROGRAM WEEK.

ZAMBIA: ACTION PLAN SUBMISSION BY APRIL 30; PROGRAM
WEEK, MAY 23 - 27

REUNION: ACTION PLAN SUBMISSION BY APRIL 8; PROGRAM
WEEK, MAY 9 - 13

CHINA: ACTION PLAN SUBMISSION BY MARCH 11; PROGRAM WEEK,
APRIL 11 - 15. NOTE: EARLIER PLAN TO HAVE JUNE PROGRAM
WEEK CONFLICTS WITH ADS REVIEWS.

MISSIONS ARE REQUESTED TO CONFIRM THESE DATES OR TO
PROPOSE ALTERNATIVES. SMUTZ

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ANNEX D

The Logical Framework Approach

The Log-Frame is a required project document which summarizes the project design. The Logical Framework Technique is given only cursory coverage in the Project Design Course.

LOGICAL FRAMEWORK

<u>NARRATIVE SUMMARY</u>	<u>OBJECTIVELY VERIFIABLE INDICATORS</u>	<u>MEANS OF VERIFICATION</u>	<u>ASSUMPTIONS</u>
<p><u>GOAL</u></p> <p>What is the overall reason for the project? To what national program objective will the project contribute?</p>	<p>What indicators will signal achievement of goal?</p>	<p>Specific source of data and method of obtaining it.</p>	<p>What external conditions are essential for the project to make its expected contribution to the program or sector goals?</p>
<p><u>PURPOSE</u></p> <p>Briefly state what the project is expected to achieve, if completed successfully and on schedule.</p>	<p><u>POPS</u></p> <p>Describe the conditions or situation which will exist when the project achieves the stated purpose. Designate an identifiable point (or state) which will be the logical end of the project.</p>	<p>What are the types and sources of evidence to be used in verifying the condition marking end of project status?</p>	<p>What conditions must exist if the project is to achieve its purpose? What are the factors over which the project personnel have little or no control, but which if not present, are likely to restrict progress from output to purpose achievement?</p>
<p><u>OUTPUTS</u></p> <p>What are the major kinds of results that can be expected from good management of the inputs?</p>	<p>What are the specific cumulative targeted indicators for each of the planned outputs? (i.e. How much of what, for whom, by when?)</p>	<p>What are the specific sources of data for each of the indicators, and how are the data going to be obtained? If it doesn't already exist, make provision for funding it under inputs, and require it as a condition, precedent, or as a separate output.</p>	<p>What external factors must be realized to obtain planned outputs on?</p>
<p><u>INPUTS</u></p> <p>What are the key inputs by the U.S. - Other Donors - Cooperating Country</p>	<p>For each category of inputs identify the quantity and/or \$ value, by year.</p>	<p>Specify source documents (records, reports, etc.).</p>	<p>Identify Conditions Precedent to Project Implementation for both AID and Host Government</p>

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DESIGN CHECK LIST FOR LOGICAL FRAMEWORK

Goal Level

1. The goal statement is a single, coherent goal; it does not contain multiple objectives which are causally related.
2. The goal is so stated that progress toward it can be verified.
3. The goal indicators are reasonably comprehensive measures of goal achievement.
4. Goal indicators are objectively verifiable and are targeted in terms of audience/area, quantity/quality, and time.
5. The achievement of the purpose (or subgoal), together with the appropriate assumptions, creates the necessary and sufficient conditions to achieve the goal.
6. Each assumption has a strong probability of occurring.
7. Where feasible, assumptions are stated in operational terms so that appropriate action can be taken to increase the probability of their occurring.
8. Assumptions are cognizant of other projects which immediately and directly affect the success of this project.

Purpose Level

1. The project has a single purpose, not a collection of sequentially linked targets clustered at the purpose level,

or

The project has a limited number of complementary parallel purposes whose relationships (trade-off, etc.) are clearly identified.
2. The purpose is so stated that terminal conditions for success (End-of-Project Status--EOPS) can be identified.
3. Purpose Indicators (EOPS) measure purpose level achievement.
4. The EOPS Indicators are objectively verifiable, and are targeted in terms of audience/area, quantity/quality, and time.

5. The EOPS indicators are not merely a restatement of the Outputs.
6. Given output target dates, it is plausible that the proposed EOPS can be achieved in the targeted time span.
7. The achievement of outputs, together with the appropriate assumption, creates the necessary and sufficient conditions to achieve the purpose.
8. Each assumption has a strong probability of occurring.
9. Where feasible, assumptions are stated in operational terms so that appropriate action can be taken to increase the probability of an assumption's occurrence.

Testing the Project Purpose Against Conditions Expected

Will conditions expected at the end of the project really represent achievement of the project purpose? If these conditions are not achieved, will this be an absolute signal of project failure?

If the answer to either question is "no," more definitive design work is required.

Output Level

1. Outputs are stated functionally, as results, rather than activities.
2. All outputs necessary for achieving the project purpose are listed.
3. No unnecessary outputs are listed.
4. The magnitude of outputs is so stated that progress toward them can be verified, in terms of quantity and time.
5. The provision of inputs, together with the appropriate assumptions, creates the necessary and sufficient conditions to achieve the Outputs.
6. Each assumption has a strong probability of occurring.
7. Where feasible, assumptions are stated in operational terms so that appropriate action can be taken to increase the probability of an assumption occurring.

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Achievement of Conditions Expected with Outputs

Provided: Is the production of the planned outputs likely to lead to the conditions expected at the end of the project?

Necessary: If any specific conditions are not going to be achieved, what (if any) changes need to be made in the project? Is there an alternate strategy that could be employed? Is the alternate strategy feasible? Desirable?

Sufficient: Are any other actions required?

Input Level

1. Inputs are listed as activities which will produce outputs, rather than as passive resources.
2. Input-level indicators make clear what it will cost to achieve the Purpose (e.g., funding, staffing, equipment, other resources).
3. The Inputs necessary for achieving project outputs are listed.
4. It is reasonable to expect that host country managers and AID project officers will transform inputs into outputs.
5. Input assumptions have a strong probability of occurring.
6. Where feasible, assumptions are stated in operational terms so that appropriate action can be taken to increase the probability of an assumption's occurrence.

Testing Assumptions Concerning Output and Purpose Level

On the basis of past experience and familiarity with local developments, are the assumptions relevant and realistic? If not, what can or should be done?

Are assumptions inclusive, i.e., do they cover the range of possible external influences which could substantially affect achievement of project purpose?

Are inputs or outputs needed to assure success?

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Required Data

1. Baseline data have either been collected or explicit provision has been made for their early collection in the implementation plan.
2. The means of verification (MOV) statements indicate where data will be found to support:
 - a. Goal-level Indicators
 - b. Subgoal Indicators (if this level is used)
 - c. Purpose-level Indicators
 - d. Output-level Indicators
3. The MOV defines, at each level, how and from what sources hard-to-gather data or evidence will be collected.
4. The inputs reflect the funding for personnel requirements for any special data gathering efforts.
5. The time and cost of collecting data to support indicators at all levels are proportionate to the nature of the project.
6. In projects which are experimental, provision has been made to collect data from a control area/group to permit comparative measurement of change in the project.

Causality and Consistency

1. The vertical logic of the project is sound: the linkages (Input-Output, Output-Purpose, Purpose-Subgoal-Goal) are plausible both individually and cumulatively.
2. In projects concerned with institutional development, the project hierarchy differentiates between institutional capability (trained staff, budget, equipment, system, and procedures) and institutional performance (delivery of goods and services).
3. The logical framework matrix and project narrative are consistent.

Attainment of Project Purpose

If the EOPS is attained, will the narrative statement be satisfactorily achieved? Are you convinced?

Is there an alternate strategy that could be employed?

Is it feasible?

Is it desirable?

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ANNEX E
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