

**U.S. AGENCY FOR
INTERNATIONAL DEVELOPMENT**

**Budget Justification
CENTRAL PROGRAMS**

**Annex V
Fiscal Year 2001**



NOTICE

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The United States Agency for International Development

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CENTRAL DEVELOPMENT PROGRAMS

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The central programs of USAID advance U.S. national interests in economic development, democracy building and protection of human rights. These programs contribute to U.S. foreign policy objectives through concrete program actions that enhance and complement country programs. Central programs address specific global issues, such as combating infectious diseases; advancing the Agency's research agenda; strengthening technical capacity; responding to humanitarian crises; developing best practices; setting Agency policy directions; and overseeing PL 480 Title II programs. Central programs also strengthen overseas educational and medical institutions that promote American ideas and practices; and enhance development partnerships with other donors, U.S. private voluntary

organizations, U.S. universities and community colleges, the U.S. private sector, and other U.S. government agencies. Three separate, but interrelated, bureaus within USAID manage central programs: [Global Programs](#), [Field Support and Research](#); [Humanitarian Response](#); and [Policy and Program Coordination](#). These bureaus oversee the central program core budget of Development Assistance (DA) \$406,029,000, Child Survival and Disease (CSD) \$171,514,000 and Economic Support Fund (ESF) \$5,000,000.



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Global Programs

- ▶ [Democracy and Governance](#)
- ▶ [Economic Growth and Agricultural Development](#)
- ▶ [Environment, Energy and Urban Development](#)
- ▶ [Human Capacity Development](#)
- ▶ [Population, Health and Nutrition](#)
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- ▶ [Program Development and Strategic Planning](#)
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[Humanitarian Response](#)

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Bureau for Global Programs, Field Support and Research

The Bureau for Global Programs, Field Support and Research (Global) addresses worldwide issues, such as environmental protection, population growth and infectious diseases; and supports USAID's six goal areas. Global has five Centers of Excellence: [Democracy and Governance](#); [Economic Growth and Agricultural Development](#); [Environment](#); [Human Resources Development](#); and [Population, Health, and Nutrition](#); and the [Office of Women in Development](#). Global is the home bureau for the Agency's technical expertise and provides much of the Agency's capacity to (1) conduct research and provide technical leadership; (2) liaise with the State Department, National Security Council and Congress on policy issues and major new initiatives; (3) support for field missions; and (4) advance partnerships with U.S. groups.

Home to technical professionals: Global backstops the Agency's technical staff and helps recruit new technical experts, assign technical officers, and provide in-service training to keep technical officers up-to-date in their fields. Global has been very active this year helping the Agency's Human Resource Office bring on and train those selected for USAID's New Entry Program.

Research and technical leadership: Global supports the development, testing, and dissemination of new technologies that address technical problems to program implementation in developing countries. Global manages over 80

percent of the Agency's research activities in population, health, nutrition, and education, and all agricultural research conducted through the international research centers and U.S. universities.

Liaison with others: As part of its technical leadership function, Global helps shape new USG initiatives within the executive branch, such as recent increased funding for HIV/AIDS and basic education to combat abusive child labor and coordinates these with Congress and other donors. Global also provides Congress with extensive annual reports on a wide-variety of subjects, such as the Agency's child survival and micro-enterprise activities.

Field support: Global backstops technical officers overseas and assists USAID's field missions access technical expertise through a wide variety of contractual mechanisms. Hundreds of millions of dollars of mission funds flow through G mechanisms each year to help design, implement, and evaluate field activities.

Advancing partnerships: Global maintains close relationships with the U.S. university community (land grant universities, historically black colleges, and six major higher education associations) and the cooperative movement.



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Bureau for Humanitarian Response

[Global Programs](#)

Humanitarian Response

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Taking the lead in dealing with humanitarian crises has been the task of USAID's Bureau for Humanitarian Response (BHR). Over the past decade, the Agency has seen a dramatic proliferation of both man-made and natural disasters around the world, causing staggering devastation in large parts of the developing world. In 1998, an estimated 418 million people were affected by humanitarian crises, of which natural disasters accounted for 74%. There were 65 declared natural disasters last year as opposed to 27 the previous year. Although natural disasters affected considerably more people in recent years, complex emergencies still account for the major share of humanitarian resources from USAID and other donors.

Recognizing the need for creative approaches to manage the growing resource base for humanitarian programs, BHR has developed, and in some cases re-enforced, a number of management approaches to address humanitarian assistance activities.

- The bureau continues to rely heavily on PVO/NGO partners since they are able to respond quickly and effectively to changing situations. BHR's intensive use of grants and cooperative agreements in dealing with partners has helped reduce management responsibilities and is thus helping with staffing and OE constraints. These partners represent logical low cost links

to local groups spreading broad-based community participation in dealing with humanitarian crisis and development.

- BHR has made strides in performance monitoring as a tool to strengthen program management and the allocation of resources. All offices have had multiple orientation sessions with partners on Agency reengineering and results reporting. Partners are increasingly responsive to the Agency's changing requirements on monitoring and reporting. BHR is currently pilot testing a promising electronic proposal submission and results reporting program which has been under development over the last year. The program is expected to significantly improve management and results reporting.
- BHR/PVC is leveraging at least one private dollar for every USAID dollar, helping PVOs leverage private sector resources for development programs through its Business PVO Partnerships Initiative, known as CORCOM, and streamlining the management of its programs.
- BHR has initiated a resource management assessment of the development food aid program, to identify innovative means to overcome current management constraints in the food aid program.
- And, finally, the bureau has encouraged field missions to integrate transition and food security programs into country portfolios. As a result, a number of missions have shifted program priorities to prevention and mitigation of natural and man-made disasters.



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OFFICE OF FOOD FOR PEACE

Food for Peace

[Private and Voluntary Cooperation](#)

[American Schools and Hospitals Abroad](#)

[Transition Initiatives](#)

[International Disaster Assistance](#)

Strengthening USAID's Development Partners (BHR)

[962-001/962-002](#) Increased Capacity of Private Voluntary and Cooperative Development Organizations to Enhance their Title II Planning, Implementation and Evaluation Capacities

[U.S. Financing Table for 963-001/960-001](#) (Microsoft Excel Document - 28 kb)

USAID central programs, through the Office of Food for Peace, support sustained improvement in household and agricultural productivity for vulnerable groups served by USAID food aid programs. The program does so through increasing USAID's partners' effectiveness in carrying out Title II development activities with measurable results related to food security and meeting critical food needs in emergencies. Substantial portions of this program address partners' capacity to mount effective nutrition and child survival activities. As a result of these activities, private voluntary organizations (PVOs) and cooperative development organizations (CDOs)

benefit from an increased capacity for Title II planning, implementation and evaluation. Institutional support assistance helps PVOs and CDOs design and implement P.L. 480 Title II programs aimed at fostering food security. Institutional support assistance agreements provide support to PVOs and CDOs to: (1) better target food aid activities; (2) promote increased country (national) food security through better definition of purpose, key elements, trends, data quality and discrepancies, and local government commitment; (3) further develop and implement common, generic food aid performance indicators and mutually acceptable methodologies that cooperating sponsors and USAID can use in measuring the impact of food aid; and (4) establish sound monitoring and evaluation systems.

Program Summary (In Thousands of Dollars)

	FY 1998 Actual	FY 1999 Actual	FY 2000 Estimated	FY 2001 Request
P.L. 480 TITLE II Supplement	837,000	837,000 149,200	800,000	837,000
P.L. 480 TITLE III	30,000	25,000	0	0
Total	867,000	1,011,200	800,000	837,000

U.S. support for overseas food aid was formalized in the Agricultural Trade Development and Assistance Act of 1954, also known as P.L. 480. The basic legislation, which has been modified many times, establishes the U.S. policy of using our abundant agricultural resources and food processing capabilities to enhance food security in the developing world through the provision of culturally acceptable, nutritious food commodities. On a global level, more than 800 million

people today are chronically undernourished and more than 180 million children are significantly underweight. For the United States, reducing the number of chronically undernourished and hungry people throughout the world is both a humanitarian concern and strategic goal. We give our food resources to help those in need and in crisis, as we seek to eliminate the food insecurity that fuels political instability and environmental degradation. P.L. 480 is a people-to-people program, from the people of the United States to people overseas who do not have access to sufficient food to meet their needs for a healthy and productive life.

P.L. 480 Title II Emergency Food Aid

The objective of P.L. 480 Title II emergency food aid is to meet critical food needs of targeted vulnerable groups. In particular, the Office of Food for Peace aims to maintain or improve the nutritional status of refugees, internally displaced families, or those who lose their land or livelihoods because of natural or man-made disasters. Emergency humanitarian food interventions are implemented primarily by the United Nations World Food Program (WFP) and U.S. private voluntary organizations (PVOs) with most food going to women and children. The volatile circumstances in which humanitarian assistance is provided pose obstacles to reaching identified targeted groups in need. Access to beneficiaries is often limited due to security constraints or lack of infrastructure. Despite this challenge, Title II programs provided over \$500 million of emergency food aid to an estimated 11 million beneficiaries in 1999. Programs were implemented in 22 countries.

Although beneficiaries include victims of natural disasters, such as drought (Sahelian West Africa) or hurricane (Central America), the majority of programs address complex humanitarian situations frequently caused by civil strife (Kosovo/East Timor.) Most food aid beneficiaries are refugees or internally displaced people, primarily malnourished children, women, orphans, unaccompanied children, and the elderly. The following activities and accomplishments are illustrative:

- In Honduras, the Food for Peace Office provided over 45,000 metric tons (MT) of Title II emergency food aid valued at over \$80 million to Hurricane Mitch-affected groups. The provision of food to school children maintained attendance at the pre-primary and primary school level in the flood-affected areas. One of the program's objectives was to maintain the nutritional well-being of affected populations by providing food aid for use by those in shelters.
- In Kosovo, Montenegro, Albania, and Macedonia, Title II programs initiated in FY 1999 continued to feed 1,250,000 people affected by the war. Besides providing food to the most vulnerable groups, U.S. food aid was used to feed families who volunteered to shelter the refugees. In Kosovo, Title II remains the principal international food aid response for the many returnees as economic recovery begins.
- In Rwanda, Title II emergency food aid programs responded to changing situations as the country drew away from years of war but still struggled with socioeconomic problems and instability. Food-for-work activities rehabilitated rural infrastructure and revitalized agricultural production and farming systems.

The Food for Peace Office has implemented a proactive and very successful advance positioning activity for Title II commodities at U.S. ports. These stocks have permitted immediate and successful response to emergency food aid needs in Sudan, Kosovo, Central America, and East Timor. The Food for Peace Office was able to expedite the response to the Kosovo crisis by setting up storage "relay" points in Greece and Bulgaria. In addition, the office's use of prepositioned stocks reduced the delivery time for commodities to East Timor to less than six weeks.

P.L. 480 Title II Development Food Aid

Title II non-emergency food aid is focused on mitigating food insecurity through activities implemented by private voluntary organizations (PVOs) and the World Food Program (WFP). These organizations utilize Title II food resources to reduce food insecurity in the developing world, primarily through activities that enhance household nutrition or increase agricultural production. During FY 1999, Title II commodity and Section 202(e) resources amounting to approximately \$435 million were provided to our partners in support of non-emergency food aid activities. Of that amount, \$377 million (including ocean freight) were provided through 12 U.S. PVO cooperative sponsors and four local nongovernmental organizations. The balance, approximately \$58 million, was made available to WFP through the inter-governmental donor pledging process to support maternal and child health, school feeding, and nutritionally vulnerable group feeding in over 25 low-income food deficit countries.

The following examples of Title II non-emergency activities demonstrate the variety of non-emergency interventions

that are undertaken and the significant impact on food security that they achieve:

- Half of Bangladesh's 127 million inhabitants do not have access to sufficient food to lead an active and healthy life. Out of these, some 30 million, the ultra poor, consume less than 1,805 kilocalories per day. Historically, Title II supported CARE and World Food Program activities in Bangladesh. With the addition of World Vision Inc., the Title II allocation for Bangladesh in FY 2000 is approximately \$50 million consisting of 201,000 tons of food aid. The CARE intervention, funded by annual sales of 120,000 metric tons wheat, creates jobs for landless laborers on rural roads, plants trees, and protects slopes to mitigate against future flood devastation. As a result, income and crop production, disaster prevention infrastructure, and primary school education are improving for the rural poor. In the World Food Program Vulnerable Group Development intervention, 500,000 destitute women per year are provided with assistance, including credit, food rations and training. Local nongovernmental organizations, which are focused on ensuring gender equality and empowerment of women, constitute WFP's principal project partners.
- Title II development programs play a critical role in Mozambique's successful emergence from war to a peacetime economy. The Title II programs are implemented by six organizations: Adventist Development and Relief Agency, AFRICARE, CARE, Food for the Hungry, Save the Children, and World Vision. Together they are improving rural food security and the health and nutrition of women and children. In FY 2001, over 65,000 metric tons of U.S. wheat and vegetable oil will be sold to generate local currencies to fund these programs. Programs are benefiting over 300,000 rural households by rapidly improving incomes, agricultural production, new enterprises, and new markets. In addition, programs are upgrading nutritional practices and control of diarrheal diseases while creating sustainable organizations for addressing nutrition and food security at the village level.
- Poverty in Guatemala is pervasive and severe. In 1998, two-thirds of indigenous children under five years of age were chronically malnourished. The U.S. Government-funded Title II program is the prime instrument for outreach to the rural indigenous poor. One of the top U.S. Government foreign policy priorities in Guatemala is the success of the 1996 Peace Accords. Title II activities support the peace process. The program's cooperating sponsors, CARE, CRS, Save the Children Federation, and World SHARE will use a total of 73,170 metric tons of commodities in FY 2000. A monthly ration, with an accompanying health and nutrition education program, will be provided to over 85,000 mothers and 100,000 children under the age of three. Food-for-work, benefiting over 80,000 laborers and their dependents, will construct soil conservation structures, community nurseries, watershed protection, and will repair roads, schools, and clinics. A total of 3,000 small loans will be provided to program participants. Furthermore, 16,000 small farmers will be provided with training and technical assistance on agricultural production, small scale irrigation infrastructures, and post-harvest grain storage.

P.L. 480 Title III - Food For Development

Since 1995, P.L.480 Title III programs have been centered on countries most in need of food. Title III programs totaled \$21.7 million in FY 1999 and assisted three least developed countries--Ethiopia, Mozambique and Haiti. The FY 1999 funds originally planned for Eritrea have been carried over into FY 2000 where their obligation will depend on the resolution of issues currently under review. The Administration did not request FY 2000 funding for P.L 480 Title III and is also not requesting funding for FY 2001. Additional allocation of funds by country for FY 2000 will be based on further determination, with the U.S. Department of Agriculture, of the amount of FY 1999 carry-out and FY 2000 carry-in funds.

P.L. 480 Title V - Farmer-To-Farmer Activities

Titles I, II, and III funds are also used to support the Farmer-to-Farmer (FTF) program which provides voluntary technical assistance to farmers, farm groups and agribusinesses to enhance the potential for substantial increases in food production, processing and marketing. Funding for FY 2001 is expected to be about \$10.5 million, about the same as for FY 2000. This is slightly less than the \$10.9 million levels of FYs 1998 and 1999 due to the declines in funding for Titles I and III. The program relies on volunteers from U.S. farms, land grant universities, cooperatives, private agribusinesses and non-profit organizations. Volunteers have been recruited from all 50 states and the District of Columbia. They are not overseas development professionals, but rather individuals who have domestic careers, farms and agribusinesses or are retired and want to participate in development efforts. They spend about a month in the host country on a typical assignment.

In 1991, a special initiative of the FTF program was authorized as one of the first U.S. assistance programs for the New

Independent States (NIS) of the former Soviet Union, and it continues to operate in all of the NIS countries. In the worldwide FTF program, 2,500 volunteer assignments have been completed since 1991 in more than 70 countries, while in the NIS program, more than 3,900 assignments have been completed since 1992.

The FTF program is also having a positive impact on the United States by raising public awareness about foreign assistance, correcting misperceptions of life and attitudes in developing countries and helping inform U.S. businesses of the environment and opportunities overseas. From 1996 through 1998, FTF grantees and their returned volunteers made over 1700 presentations to professional and community groups, and participated in almost 500 media events, including radio shows, television interviews, and newspaper articles to share their experiences.

The FTF program leverages a significant amount of non-USAID resources. In the NIS-FTF program, for example, in-kind contributions by host organizations have been about \$1,500 per volunteer assignment. U.S. in-kind contributions for every volunteer assignment is valued at more than \$7,000. The NIS-FTF program is estimated to leverage additional funding of about 40%.



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OFFICE OF PRIVATE AND VOLUNTARY COOPERATION

[963-001/960-001](#) Increase capability of PVC's PVO partners to achieve sustainable service delivery.

[U.S. Financing Table for 963-001/960-001](#) (Microsoft Excel Document - 28 kb)

USAID central programs, through the Office of Private and Voluntary Cooperation (BHR/PVC), support activities which increase the capabilities of private voluntary organizations (PVOs) and cooperative development organizations (CDOs) to deliver sustainable development services at the grassroots level in priority areas such as child survival, microenterprise development, women's education, and the environment. A key dimension of these programs is strengthening the organizational capacity and programs of PVOs and CDOs to provide cross-cutting support for USAID's six strategic objectives. Increasingly, USAID is encouraging collaborative partnerships

between U.S. PVOs and CDOs and indigenous organizations to promote development at the local level and to enhance program sustainability and impact. Funds are allocated to individual organizations through competitive grants that include a cost-sharing requirement to leverage additional private resources for development. Approved grants are consistent with USAID mission strategic plans. The major central grants programs are the following:

Matching Grants: This competitive program strengthens U.S. PVOs' technical, planning and management capacity to carry out development programs in USAID-assisted countries. U.S. PVOs contribute at least 50% of the total project costs and increasingly implement activities through local organizations and provide them with capacity-building support through technical assistance, training, and information sharing. For example, in India, International Development Enterprises (IDE) promotes the benefits of owning treadle pumps and low-technology irrigation kits for their income-generating potential. Farmers use their own resources to purchase these items in the private market. Under its current grant, IDE has introduced low-cost drip irrigation in India. A typical IDE beneficiary is a widow with five sons who are all marginal farmers. She owns 2.5 acres of land and purchased a low-cost drum irrigation kit for 750 rupees (\$17.18 equivalent) with which she can irrigate 500 plants (tomatoes, eggplants). She expects to receive one kilogram of yield per plant, a total of 500 kilograms, the sale of which will yield from 2,000 to 3,000 rupees (\$45.82 - \$68.73 equivalent.)

For more than 30 years, TechnoServe has been helping entrepreneurial men and women in the developing world to improve their own lives by creating and growing agricultural businesses. These businesses generate jobs and increase family incomes, improving the standard of living in poor communities. With a PVC Matching Grant, TechnoServe in Jinotega, Nicaragua, is assisting five agricultural cooperatives, whose members have united to create a regional produce-trading enterprise. The produce--coffee, vegetables, basic grains and fruits--will be sold directly to buyers, reducing the number of intermediaries in the farm-to-market chain. The enterprise will provide its shareholders with collection, packaging and processing services. Its business plan projects that over five years, income from sales will reach \$6.9 million, yielding a net profit for the period of \$1.5 million.

Child Survival. The PVO Child Survival (CS) Program is designed to improve the capacity of U.S. based PVOs and their local partners in developing countries to carry out effective child survival initiatives that contribute to the improvement of infant and child health and nutrition, and reduce infant and child mortality. USAID currently supports 79 CS programs in 36 countries through 29 PVOs with a portfolio value of \$72.8 million.

These technically rigorous programs focus on immunization, nutrition, breast feeding, diarrheal disease control, pneumonia treatment, maternal and newborn care, malaria control, child-spacing, HIV/AIDS prevention and the integrated management of childhood illnesses. These programs are implemented with an emphasis on improved supervision and training to effect sustained improvements in the health of poor populations. Through the competitive grant process, 21 grants were awarded in 1999. Most new grants are awarded up to \$1 million with a requirement to cost share 25% of the total program cost. New grants and mentoring partnerships are four years in length, while entry grants are awarded up to \$400,000 for two years with a 25% cost share. PVO programs have been very successful in improving the health status of mothers and children throughout the world.

A child survival grant brought vital maternal and child health services to South Delhi, India. In an area with no public utilities or water or sanitation services, and minimal access to any health facilities, a PVO and its partners opened maternal and child health clinics and prepared community health guides to provide information about prenatal care, safe pregnancy and childbirth. As a result of this activity, 96% of pregnant women in this area now receive prenatal care that is vital to the health of their infants, and the percentage of births attended by a qualified health care provider has increased from 34% to 78%.

In only three years, a child survival project in Kean Svay, Cambodia has dramatically surpassed its goals despite tremendous obstacles, including a coup, floods, and epidemics. Through support to mobile health teams, this activity has increased the proportion of fully immunized children from 60% to 94% in the project area. Vitamin A coverage among children increased from less than 1% to 61%, and use of oral rehydration therapy for cases of diarrhea increased from 12% to 81%. Ongoing efforts are focused on ensuring that these project activities and benefits will continue well beyond the end of the grant.

The district of Siaya has Kenya's highest rate of child mortality due to high rates of malaria and pneumonia and a decline in the quality of health care services for children. A project in Siaya has attained a 49% decrease in child mortality by using a groundbreaking strategy of working with community health workers to provide case management for common childhood illnesses. Delivering care for childhood illnesses within the community by health workers has resulted in more rapid care seeking, lower cost to families, and improved outcomes of illness.

The Sylhet District is one of the lowest performing areas in Bangladesh in terms of coverage of basic maternal and child health services. A child survival grant-funded PVO strengthened the capacity of the Ministry of Health and Family Welfare to provide this community with high quality and sustainable maternal and child health services. As a result of this activity, the percentage of completely vaccinated children increased from 16% to 72%, the use of oral rehydration therapy for children with diarrhea increased from 30% to 84%, and the percentage of children receiving high-dose Vitamin A capsules increased from 52% to 74%.

Cooperative Development. USAID's support to U.S. cooperative development organizations (CDOs) enables them to assist cooperative movements in developing and middle-income countries and in new democracies. CDOs provide assistance, training, and investments to local counterpart organizations to serve member and community interests in a broad range of needs, including housing, electrical and telephone services, financial services, and agricultural development. For example, successful credit unions, working with private voluntary organizations in microenterprise development, are expanding membership to include families and women who are independent micro-entrepreneurs. This movement expands and integrates microfinance activities into the financial and legal systems in the host countries. The successful credit union and microfinance programs in Bolivia, El Salvador, the Philippines and Burkina Faso are proven, expanding models that are being studied and duplicated in other developing countries. In Burkina Faso, over 30,000 women in microenterprise activities now have membership in, and services provided by, credit unions. In Bolivia, microfinance activities are fully integrated into the credit and banking systems, and there is competition among them to serve this once-excluded part of the population.

Development Education. USAID's development education program supports U.S. non-profit organizations' activities to educate the U.S. public about developing countries and U.S. development activities abroad, especially as they relate to hunger and poverty. The program has supported curriculum development at the K-12 and post-secondary level, as well as adult education activities targeting farmers, business and labor leaders, teachers, and congregational groups. The strategy requires U.S.-based development organizations to partner with U.S. domestic membership organizations with a

shared sectoral focus, e.g., health, hunger, or agriculture, as the starting point for learning about local-global links and development. For example, Indiana University, in partnership with the National Future Farmers of America organization and Purdue University is developing an innovative CD-ROM-based educational technology to be used in educating future leaders in U.S. agriculture and related fields on issues pertaining to international development and the globalization of agriculture. Topics to be covered include: strengthening civil order, developing new investment opportunities for U.S. agribusiness concerns, and how agricultural development assistance contributes to broad-based economic growth.

Ocean Freight. Through the Ocean Freight Reimbursement (OFR) program, USAID reimburses registered PVOs for the costs of shipping equipment and supplies to developing countries in support of development and humanitarian assistance activities in the following areas: agriculture and rural development, health care, education training, disaster assistance and relief, and rehabilitation. In FY 1999, the Agency funded 51 PVOs in the OFR program. These organizations shipped 7,411 tons of commodities valued at \$113 million at a cost of \$2.6 million to the program. This represents a ratio of 43:1 of the value of commodities shipped to USAID dollars spent.



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OFFICE OF AMERICAN SCHOOLS AND HOSPITALS ABROAD

964-001: Strengthen overseas institutions that demonstrate American ideas and practices.

[U.S. Financing Table for 964-001](#) (Microsoft Excel Document - 28 kb)

USAID, through the American Schools and Hospitals Abroad (ASHA) program, provides grants to overseas universities and secondary schools, libraries and medical centers that are founded or sponsored by U.S. organizations. These institutions serve as demonstration and study centers for American ideas and practices in education and medicine. The administration plans to allocate \$15,000,000 for a competitive ASHA grants program in FY 2001.

ASHA grants provide resources that improve the quality of education and health services and institutional standards. These grants finance buildings and equipment and improve the physical infrastructure to strengthen institutional services, and in a few cases support educational and medical

programs. Grants provide secondary benefits in mobilizing resources, attracting students and increasing scholarship support. These private, non-profit institutions meet operating expenses primarily from tuition, fees, private contributions from U.S. and in-country sources, endowments, and the sale of services. USAID, through the ASHA program has (1) provided foreign nationals the benefits of American ideas and practices in education and medicine; (2) served as demonstration and study centers which foster interchange, mutual understanding and favorable relations with the U.S.; and (3) promoted civil society. Approximately one million people benefit from educational and health training research and services at ASHA-assisted institutions each year. These include full and part-time students, hospital in-patients, and outpatients. ASHA grants are contributing to improved professional skills, standards, and services as well as leadership development in public service and private enterprises while spreading American ideas and values.



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OFFICE OF TRANSITION INITIATIVES

[Food for Peace](#)

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[938-4497. Indonesia Transition Program](#)

[U.S. Financing Table for 938-4497](#) (Microsoft Excel Document - 27 kb)

After suffering natural disasters that destroyed croplands and a crippling economic crisis, Indonesia lost much of its capacity to provide for even basic needs of millions of citizens. The civil unrest that followed took a turn for the worse when nation-wide riots erupted after security forces killed several students following three months of peaceful demonstrations in early 1998. National and international pressure led to the resignation of President Suharto on May 21, 1998. On that USAID's Office same day, after 32 years of authoritarian rule, Suharto transferred the power of the presidency to B.J. Habibie. On July 9, 1998, the U.S. Ambassador to Indonesia declared that an economic and political emergency existed nationwide. He requested disaster assistance from of Transition Initiatives (OTI) and an OTI/Indonesia program was immediately established. Subsequently, \$3 million of IDA funds were obligated for OTI programs in 1998. In FY 1999, an additional \$1.7 million of International Disaster Assistance (IDA) funds were obligated

for OTI/Indonesia programs, as well as \$15 million of Development Assistance (DA) funds in response to a Congressional earmark. In the summer of 1999, Wahid was elected and East Timor's independence was assured by an Act of Parliament in the Fall of 1999. The DA funds were used to help jump-start the transition toward peaceful democratic change in response to more volatile and frequent demonstrations and rioting.

[968-6613. Transition to Peace](#)

[U.S. Financing Table for 968-6613](#) (Microsoft Excel Document - 21 kb)

The U.S. Government has been, and expects to continue to be, the largest donor of humanitarian relief assistance to Sierra Leone. In 1997 USAID's Office of Transition Initiatives (OTI) began a program in Sierra Leone, funded with \$1.0 million in Development Fund for Africa (DFA), to help Sierra Leoneans address the root causes of the conflict through political reform and reconciliation. OTI operations were suspended in June 1997 following the Armed Forces Revolutionary Council (AFRC) coup, but resumed in June 1998 after the reinstatement of democracy. Since then, OTI's programming has been focused on two primary areas: Leadership, Dialogue, and Communication for peace through targeted support to civil society organizations; and Technical Assistance to the Government of Sierra Leone (GOSL). OTI activities are now supporting implementation of the Lome Peace Agreement through: (1) Continued support to civil society organizations to enhance dialogue, build confidence among stakeholders, and create an enabling environment for reintegration and reconciliation; (2) Provision of technical assistance to the GOSL on the implementation of specific aspects of the Peace Accord; and (3) Development of a nationwide, non-formal education campaign for disenfranchised youth to support demobilization, reintegration, and reconciliation. OTI's total funding to Sierra Leone in FY 1999 was \$1,031,811. Planned funding for FY 2000 is \$2,750,000.

It is important to note that USAID's ongoing relief and recovery programs also directly support the demobilization and

reintegration of former combatants to the communities to which the former combatants will return. Relief food, food-for-work projects, seeds and tools programs, and other USAID assistance will be expanded into previously insecure areas and will assist the people of Sierra Leone, including former combatants, as they work to rebuild their communities and their lives. USAID programs will help reunify children with their parents and will assist in facilitating dialogue and confidence among communities, former enemies, and all of the stakeholders to the Lome Accord.



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INTERNATIONAL DISASTER ASSISTANCE

Program Summary (In Thousands of Dollars)				
	FY 1998 Actual	FY 1999 Actual	FY 2000 Estimated	FY 2001 Request
Office of U.S. Foreign Disaster Assistance Supplement	160,298	160,000 178,038	152,014*	165,000
Office of Transition Initiatives Supplement	30,000	40,000 10,000	50,000	55,000
Total	190,298	388,038	202,014	220,000

The International Disaster Assistance program provides relief, rehabilitation and reconstruction assistance to victims of natural and man-made disasters through the [Office of U.S. Foreign Disaster Assistance \(OFDA\)](#). The International Disaster Assistance account also funds activities of the [Office of Transition Initiatives \(OTI\)](#), which focuses on the special needs of countries emerging from crises caused by political and ethnic conflict. The FY 2001 funding request of \$220 million is an increase of \$18 million over the \$202 million level in FY 2000. The FY 2001 request includes \$165 million for disaster relief and mitigation activities and \$55 million for innovative, post-crisis transition initiatives. The first priority in utilizing International Disaster Assistance resources will be given to life-saving, emergency assistance.



Budget Justification FY 2001

Bureau for Humanitarian Response Summary Tables

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Program Summary

(In Thousands of Dollars)

Category	FY 1998 Actual	FY 1999 Actual	FY 2000 * Estimated	FY 2001 Request
Development Assistance	44,690	57,673	42,786	45,420
Development Fund for Africa	0	0	0	0
Child Survival & Disease Fund	24,368	23,600	26,856	27,991
Freedom Support Act Funds	3,500	3,500	0	0
SEED Act Funds	0	0	0	0
Economic Support funds	0	250	0	0
P.L. 480 Title II	0	0	0	0
P.L 480 Title III	0	0	0	0
Total Program Funds	72,558	85,023	69,642	73,411
Operating Expenses*	2,245.0	2,373.5	2,325.3	2,532.0
Trust Funds	0	0	0	0
Total Operating Costs	2,245.0	2,373.5	2,325.3	2,532.0

*For FY 2000 includes \$50,000 in SEED funding for Kosovo emergency travel.

Work Force Data**

Category	FY 1998 Actual	FY 1999 Actual	FY 2000 * Estimated	FY 2001 Request
OE Funded*				
U.S. Direct Hire	97	90	92	92

Other U.S. Citizen	2	2	2	2
FSN/TCN	0	0	0	0
Subtotal OE Funded	99	92	94	94
Program Funded*				
U.S. Citizen	81	132	118.5	120.5
FSN/TCN	4	30	29.5	20.5
Subtotal Program Funded	85	162	148	141
Other				
TAACS	0	0	0	0
Fellows	7	8	8	8
IDIs/NEPs	0	0	0	0
Subtotal Other	7	8	8	8
Total Work Force	191	262	250	243

* Excludes Technical Advisors for AIDs and Child Survival (TAACS), Fellows, and International Development Interns (IDIs)/ New Entry Participants (NEPs)

** Includes workforce requirements for P.L. 480 and Disaster Assistance accounts, discussed in separate chapters.

Program/Sector Summary

(In Thousands of Dollars)

USAID Strategic and Special Objectives	Economic Growth & Agriculture	Population & Health	Environment	Democracy	Human Capacity Development	Humanitarian Assistance	TOTALS
962-001/962-002 Increased Capacity of Private Voluntary and Cooperative Dev. Organizations to Enhance their Title II Planning, Implementation and Evaluation Capacities							
- DA	3,978	0	0	0	0	0	3,978
- DFA	0	0	0	0	0	0	0
- CSD	0	1,562	0	0	460	0	2,022
- FSA	0	0	0	0	0	0	0
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0
963-001/960-001 Increase Capability of PVC's PVO Partners to Achieve Sustainable Service Delivery							
- DA	21,180	0	1,049	3,500	713	0	26,442
- DFA	0	0	0	0	0	0	0
- CSD	0	25,969	0	0	0	0	25,969
- FSA	0	0	0	0	0	0	0
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0

964-001 Strengthen Overseas Institutions that Demonstrate American Ideas & Practices

- DA	15,000	0	0	0	0	0	15,000
- DFA	0	0	0	0	0	0	0
- CSD	0	0	0	0	0	0	0
- FSA	0	0	0	0	0	0	0
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0

Totals

- DA	40,158	0	1,049	3,500	713	0	45,420
- DFA	0	0	0	0	0	0	0
- CSD	0	27,531	0	0	460	0	27,991
- FSA	0	0	0	0	0	0	0
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0

Hugh Parmer
Assistant Administrator



Budget Justification FY 2001

Bureau for Policy and Program Coordination

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Policy and Program Coordination

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PPC enhances USAID's development results by providing clear and coherent guidance and technical support for the Agency's front line staff. In fulfilling these duties, PPC is primarily a "wholesaler" of products and services, providing direct support to individual operating units and staff.

PPC serves the USAID by meeting Agency-wide strategic planning and management requirements. In addition, staff assist USAID senior managers directly by assessing development and foreign policy priorities, analyzing development experiences, identifying issues and developing policy and guidance, monitoring the implementation of strategic policy decisions, and facilitating effective development partnering. The following are PPC's objectives:

- Policy Framework Improved: USAID's development policies, strategies, and approaches are consistently, coherently, and effectively implemented and reflect the best development knowledge, innovations, and practices.
- Program Management Improved: "Rules of the game" are developed and implemented, breadth and depth of development information is increased, USAID's experience is shared, and improved systems are in place for communicating rules and information.
- External Stakeholders are Engaged: There is a common strategic vision among bilateral and multilateral donors and NGO's and mechanisms in place for policy and program coordination.



The United States Agency for International Development

Budget Justification FY 2001

Policy and Program Framework

BUREAU FOR POLICY AND PROGRAM COORDINATION

The Policy and Program Framework (PPC)

[930-001. Learning from Experience](#)

[U.S. Financing Table for 930-001](#) (Microsoft Excel Document - 28 kb)

Any organization of USAID's size and complexity requires certain core functions, which cut across bureau and office lines and ensure that it operates as an integrated whole. These include:

- the development and communications of a clear, shared mission, and an overall strategic and policy framework;
- standard setting and monitoring to assure consistency and efficiency across units;
- coordination and oversight to develop and maintain an information base on the organization as a whole (for management oversight and reporting);
- an institutional memory for the organization and the capacity to distill lessons (learned) from previous experience;
- a capacity to make (or cause to make) authoritative decisions and to communicate these quickly and effectively to all units; and
- an ability to speak authoritatively on behalf of the entire organization to external groups.

The Agency's central Bureau for Policy and Program Coordination (PPC) is the organizational unit within USAID that primarily performs these functions through its responsibilities for policy development and coordination, operational program guidance and oversight, donor coordination, program evaluations, and development information services.

The extraordinary effort that the Agency has made over the past several years to streamline and improve its operations has required PPC to give highest priority to developing and putting in place program operations and management policies and systems. These range from guidance on strategic planning and Government Performance and Results Act (GPRA) reporting to the implementation of the Agency's comprehensive reform plan. It now must turn to other important work like that of updating Agency policy in such areas as the environment or gender. Other work has had to be postponed including evolving new policy issues like child labor, non-presence and conflict mitigation.

USAID is facing new challenges, and given the central program's unique role within USAID, these challenges will necessarily help shape priorities for the future. For example:

- The formal reorganization of foreign affairs agencies is complete, but myriad details still need to be worked out, and coordination between the U.S. Department of State (DOS) and USAID needs to be improved. Working out the operational details and making sure that both DOS and USAID fulfill agreements reached will be a major priority in the coming two years.
- The increased focus on policy coherence requires both better coordination among the operational units of the Agency and clearer policy on USAID's role in supporting U.S. policies including trade, climate change, and conflict. This, too, will demand greater attention in the coming years.

- The Agency is facing a major challenge in maintaining a focused mission and the expertise to execute that mission. Adding to this challenge is the fact that many of the issues on which USAID has taken the lead within the U.S. Government (e.g., population, the global HIV/AIDS pandemic, global climate change) are now being viewed as mainstream foreign policy issues. Meeting these challenges, finding new opportunities for program efficiencies, and making the difficult choices among policy priorities will also be a critical job for USAID central programs.
-



The United States Agency for International Development

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Bureau for Policy and Program Coordination Summary Tables

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Program Summary

(In Thousands of Dollars)

Category	FY 1998 Actual	FY 1999 Actual	FY 2000 * Estimated	FY 2001 Request
	Actual	Actual	Estimated	Request
Development Assistance	6,887	5,666	6,359	5,520
Development Fund for Africa	0	0	0	0
Child Survival & Disease Fund	288	581	2,123	3,272
Economic Support funds	0	0	0	0
P.L. 480 Title II	0	0	0	0
P.L. 480 Title III	0	0	0	0
Total Program Funds	7,175	6,247	8,482	8,792
Operating Expenses	2,144	1,975	1,604	1,780
Trust Funds	0	0	0	0
Total Operating Costs	2,144	1,975	1,604	1,780

Work Force Data

Category	FY 1998 Actual	FY 1999 Actual	FY 2000 * Estimated	FY 2001 Request
OE Funded*				
U.S. Direct Hire	71	56	57	57
Other U.S. Citizen	2	2	2	2

FSN/TCN DH	3	3	2	2
Subtotal	76	61	61	61
Program Funded*				
U.S. Citizen	6	4	6	6
FSN/TCN	0	0	0	0
Subtotal	6	4	6	6
Total Direct Hire Work Force	82	65	67	67
TAACS	0	0	0	0
Fellows	0	0	0	0
IDIs	0	0	0	0
Subtotal	0	0	0	0
Total Work Force	82	65	67	67

* Excludes Technical Advisors for AIDs and Child Survival (TAACS), Fellows, and International Development Interns (IDIs)

Program/Sector Summary

(In Thousands of Dollars)

USAID Strategic and Special Objectives	Economic Growth & Agriculture	Population & Health	Environment	Democracy	Human Capacity Development	Humanitarian Assistance	TOTALS
Learning from Experience, 930-001							
- DA	2,252	1,400	1,033	835	0	0	5,520
- DFA	0	0	0	0	0	0	0
- CSD	0	2,799	0	0	473	0	3,272
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0
Totals	2,252	4,199	1,033	835	473		8,792

Thomas H. Fox
Assistant Administrator



Budget Justification FY 2001

CENTER FOR DEMOCRACY AND GOVERNANCE

Democracy and Governance

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Strengthening Democracy and Governance (G/DG)

The continuing global transition toward democratic, accountable and representative governance has shown that political change is rarely a linear process. The overall global trend remains favorable, but democratic gains are often fragile and can be reversed. Most recently, while new opportunities emerged in Indonesia, Nigeria, and Slovakia, disappointing elections occurred in Kazakhstan, and progress in the Congo and Liberia has again stalled. Democratization is a long-term process, and progress will inevitably be uneven as countries grapple with how to transform their political, economic and social welfare systems.

Even in those cases where transitions from authoritarianism have occurred, considerable obstacles remain to permanently reforming political institutions and systems. This is the continuing challenge of USAID's strategy in democracy and governance: to strengthen public and private institutions of democratic governance, to make integrity, accountability, transparency and responsiveness to citizens at all levels of governance the norm, to overcome the insidious legacies of authoritarian rule, and to facilitate a deepening of citizen participation and cultural commitment to democratic norms.

By building on USAID's own experience and by tapping into the strength of this nation's democratic institutions and nongovernmental organizations, central programs increase the overall effectiveness of activities in this area of development work. Central programs managed by the Global Bureau's Center for Democracy and Governance provide the technical and intellectual leadership to help shape USAID and other U.S. Government democracy

programs worldwide and to influence the assistance policies of other donors in the areas of rule of law, elections and political processes, civil society, and governance. Central programs work in collaboration with other USAID organizational units to provide strategic guidance in achieving the following objectives:

932-001. Legal systems operate more effectively to embody democratic principles and protect human rights (Rule of Law).

[U.S. Financing Table for 932-001](#) (Microsoft Excel Document - 27 kb)

Respect for the rule of law and development of a well defined and functioning justice system are essential underpinnings of a democratic society and modern economy. Effective rule of law programs curb the abuse of power and authority, provide the means to equitably resolve conflicts, and foster social interaction in accord with legal norms, and gender equality. Rule of law consolidates the social contract between the government and the governed in a form that upholds democratic institutions and provides for sustained capability to serve and protect citizens. Central program resources are dedicated to the development of strategic approaches for building appropriate legal frameworks, strengthening justice

sector institutions, improving access to justice, and promoting human rights.

932-002. Political processes, including elections, are competitive and more effectively reflect the will of an informed citizenry (Elections and Political Processes).

[U.S. Financing Table for 932-002](#) - (Microsoft Excel Document - 27 kb)

Free and fair elections are indispensable to democracy. Although other elements of democracy can develop before competitive elections are held, a country cannot be truly democratic until its citizens have the opportunity to choose their representatives and hold them accountable. Elections can be a primary tool to expand political openings and increase citizens', including women's, political participation. Elections also offer political parties and civil society organizations, such as labor unions and other advocacy groups, an opportunity to mobilize and organize supporters and develop alternative platforms with the public. For an election to be free and fair and a step towards democratization, fundamental civil liberties such as freedom of speech, association, and assembly are required. Central programs provide technical personnel and resources to develop strategic approaches to voter education, political participation, and administration of elections. Indonesia, Kosovo, Mexico and Nigeria have been recent beneficiaries of centrally supported programs.

932-003. Informed citizens' groups effectively contribute to more responsive government (Civil Society).

[U.S. Financing Table for 932-003](#) - (Microsoft Excel Document - 27 kb)

Civil society is emerging as a major democratic force in countries that suffer from a legacy of authoritarian government. These pro-reform groups are composed of religious leaders, human rights groups, business and labor federations, women's and environmental groups, legal activists and other civic groups. Civil society also, indeed predominantly, often operates independent of governments. Nongovernmental organizations (NGOs) implement hundreds of programs and undertake a myriad of activities. Central programs help to democratize NGOs internally and assist them in achieving a democratic role in society at large. USAID supports pro-democracy groups in the interest of wider citizen participation in policy formulation and greater government transparency and accountability.

932-004. National and local government institutions more openly and effectively perform public responsibilities (Governance).

[U.S. Financing Table for 932-004](#) - (Microsoft Excel Document - 27 kb)

A primary challenge in building democracy within developing countries is to increase the effectiveness of government institutions in ways that go beyond mere efficiency. Sustainable democratic governance must encompass various aspects of transparency and accountability, such as responsiveness, accessibility, and citizen involvement. In support of the objective of transparent and accountable governance, the Center for Democracy and Governance's program resources are dedicated to a five-item agenda: (1) encouraging government practices and procedures that oppose and combat government corruption; (2) encouraging centralized regimes to devolve genuine authority for decision-making to local governments and assisting local governments to be more participatory, responsive, and effective; (3) improving the representative, lawmaking, and oversight functions of legislatures; (4) promoting civilian oversight of military functions in a manner that is supportive of democracy; and (5) assisting partners to implement policy change in a strategic manner that promotes the democratic principles of accountability, transparency, and participation. USAID's central program work in the governance area is carried out through new technical assistance mechanisms, instructional materials, and in assisting field missions to carry out democracy and governance assessments, design programming strategies, and support reform efforts. Collaborative efforts are underway in Bangladesh, Benin, Bulgaria, Guatemala, El Salvador, Ukraine, Senegal, and Uganda.

Central democracy programs support training of world-wide staff, provide direct technical support and maintain specialized grants, cooperative agreements, interagency agreements and contracts in support of country and regional programs. Central programs guide the conduct of country political sector assessments and the development of country program strategies. Regional trends are analyzed annually, and individual country initiatives are continually assessed for identification of "best practices" that might be replicated elsewhere. Based on this kind of research and analysis, resource allocation recommendations are formulated; country strategies critiqued; and technical guidance is produced for in-country use by development practitioners and beneficiary populations. As a result, expertise is growing and USAID programming in democracy and governance has become increasingly sophisticated. Technical knowledge has

been amassed and guidance has been prepared and distributed on preferred program methodologies for anti-corruption, civil-military relations, democratic decentralization, legislative strengthening, implementing policy change, alternative dispute resolution, rule of law, political party development, elections administration, civil society, the media, and measuring the impact of democracy and governance programs. Additional case work is being conducted in many of these subjects to add further depth of analysis and increased understanding, while initial studies are being completed and documentation prepared on the topics of legal case management, post-election assistance, civic education, civil society strategies, labor strategies, and civic advocacy.

Equally important are on-going efforts which aim to identify and promote cross-sectoral synergies. For example, central programs continue to explore ways to better focus democratic processes that may improve the quality of economic policies and programs, enable civil society organizations to serve as catalysts for economic reform, strengthen the rule of law to enhance property rights and enforcement of contracts, and build transparency and anti-corruption activities that improve both citizen participation and conditions for economic growth. Central programs also are working to ensure that USAID activities supporting democratic decentralization and improved provision of urban services complement each other to the benefit of broader development objectives.

A centrally funded grant to the American Center for International Labor Solidarity (Solidarity Center) emphasizes the development of free, independent, and democratic trade unions, their role and participation in political and economic processes and the fostering of democracy. In Indonesia, Solidarity Center efforts are assisting in consolidating and expanding the country's free trade union movement following a long period of government control. Solidarity Center support for the efforts of Indonesian unions to push for the ratification of International Labor Organization Convention 87 was instrumental in bringing about a presidential decree of accession as one of the first acts of the new government. This was fundamental in changing the environment for independent, representative trade unions to function outside a government-controlled monopoly union. In Nigeria, the Solidarity Center is promoting a democratic and participatory trade union culture, and coalition-building efforts between labor and other civic organizations to strengthen advocacy efforts for governmental reform.

In cooperation with the Departments of Labor and State, USAID central programs are supporting a complementary effort to that of the White House Voluntary Apparel Industry Partnership and public and private aims to eliminate sweatshops. Central program activities include the administration of assistance awards to the International Labor Rights Fund and the Fair Labor Association.

Assistance from the Center for Democracy and Governance to Transparency International (TI), an international non-governmental organization, has been acknowledged as the catalyst to TI's five-fold growth of the past three years. Budgetary resources have expanded and the number of national chapters has risen to more than 70. TI is now established as the world's leading NGO dedicated to the issues of corruption and integrity. Awareness of these issues is rising steadily. TI's country-focused work includes surveys, workshops and programs in regulatory reform, ethics guidelines, financial management systems, advocacy training and civic education. Country-level results from USAID supported initiatives are being attained in Benin, Bangladesh, Bulgaria, Colombia, and the Dominican Republic. Corruption assessments have resulted in new program initiatives in Morocco, Madagascar, Thailand, the Philippines, Indonesia, Lebanon, and Paraguay. A journalism training program and an anti-corruption public relations program in Lebanon are examples of approaches employed to effect change. On another front, USAID partnered with the Organization of Economic Development and Cooperation in co-funding and organizing anti-corruption forums in Istanbul, Manila, and Washington, D.C. over the past year.

A pilot program to explore means by which USAID might improve civilian oversight of the military is underway. In partnership with the National Democratic Institute for International Affairs (NDI), the central program focuses on civilian audiences. The program promotes approaches to military accountability and civic advocacy for military transparency and accountability.

Two new agreements were recently awarded in the area of rule of law and human rights. The recipients are Freedom House, in partnership with the American Bar Association and NDI, and the International Foundation for Election Systems, in partnership with the International Human Rights Law Group. The purpose of the awards is to institutionalize arrangements with relevant partner organizations at the central level to build capacity both within and among the partnering organizations and to facilitate bilateral mission access to leading human rights organizations. For USAID the ability to respond rapidly on rule of law issues as they arise, particularly those concerning human rights in a country of foreign policy significance, has become increasingly evident. A relevant example was the deployment of American Bar Association-secured lawyers to assist in the collection of evidence of possible war crimes from Kosovo refugees at Fort Dix in 1999. A promising longer-term activity is under development in Morocco where leadership in

the Ministry of Justice is being consulted on the matter of judiciary reform, starting with commercial courts.

NDI, the International Republican Institute, and the International Foundation for Election Systems are recognized authorities in democracy and governance programming and are USAID's major partners for the delivery of assistance for electoral and political processes strengthening. The rapid response capacity of these organizations continues to be particularly critical to the timely delivery of U.S. support for democratic processes in fast-changing political environments around the world. Assistance for elections and political processes was widespread over the past year. Among examples of critical foreign policy interest, assistance was provided in Nigeria, Indonesia, and Kosovo from USAID's central programs last year.

In countries where USAID has little or no presence, activities of short duration and limited scope may be managed through central programs. These programs are typically planned jointly with the U.S. Department of State and funded through Economic Support Funds (ESF) to respond to important foreign policy needs. Much of the ESF managed by central programs goes to assist post-conflict situations or to help democratic elements in authoritarian states, for example, Algeria, Cote d'Ivoire, and Laos.



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Center for Democracy and Governance Summary Tables

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Program Summary

(In Thousands of Dollars)

Category	FY 1998 Actual	FY 1999 Actual	FY 2000 * Estimated	FY 2001 Request
Development Assistance	12,373	11,099	10,968	13,829
Development Fund for Africa	0	0	0	0
Child Survival & Disease Fund	0	0	0	0
Freedom Support Act Funds	0	0	0	0
SEED Act Funds	0	0	0	0
Economic Support funds	0	2,167	0	0
P.L. 480 Title II	0	0	0	0
P.L 480 Title III	0	0	0	0
Total Program Funds	12,373	13,266	10,968	13,829
Operating Expenses	121	121	123	123
Trust Funds	0	0	0	0
Total Operating Costs	121	121	123	123

* Excludes \$3 million being transferred from the Africa Bureau.

Work Force Data

Category	FY 1998 Actual	FY 1999 Actual	FY 2000 * Estimated	FY 2001 Request
OE Funded*				
U.S. Direct Hire	24	20	24	24

Other U.S. Citizen	0	0	0	0
FSN/TCN	0	0	0	0
Subtotal OE Funded	24	20	24	24
Program Funded*	0	0	0	0
U.S. Citizen	3	4	6	6
FSN/TCN	0	0	0	0
Subtotal Program Funded	3	4	6	6
Other				
TAACS	0	0	0	0
Fellows	6	5	7	7
IDIs	0	0	0	0
Subtotal Other	6	5	7	7
Total Work Force	33	29	37	37

* Excludes Technical Advisors for AIDs and Child Survival (TAACS), Fellows, and International Development Interns (IDIs)

Program/Sector Summary

(In Thousands of Dollars)

USAID Strategic and Special Objectives	Economic Growth & Agriculture	Population & Health	Environment	Democracy	Human Capacity Development	Humanitarian Assistance	TOTALS
932-001 Legal systems operate more effectively to embody democratic principles and protect human rights.							
- DA	0	0	0	2,800	0	0	2,800
- DFA	0	0	0	0	0	0	0
- CSD	0	0	0	0	0	0	0
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0
932-002 Political processes, including elections, are competitive and more effectively reflect the will of an informed citizenry							
- DA	0	0	0	3,329	0	0	3,329
- DFA	0	0	0	0	0	0	0
- CSD	0	0	0	0	0	0	0
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0
932-003 Informed citizens' groups effectively contribute to more responsive government							
- DA	0	0	0	5,000	0	0	5,000

- DFA	0	0	0	0	0	0	0
- CSD	0	0	0	0	0	0	0
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0
932-004 National and local government institutions more openly and effectively perform public responsibilities							
- DA	0	0	0	2,700	0	0	2,700
- DFA	0	0	0	0	0	0	0
- CSD	0	0	0	0	0	0	0
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0
Totals							
- DA	0	0	0	13,829	0	0	13,829
- DFA	0	0	0	0	0	0	0
- CSD	0	0	0	0	0	0	0
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0
Center Total	0	0	0	13,829	0	0	13,829



Budget Justification FY 2001

CENTER FOR ECONOMIC GROWTH AND AGRICULTURE DEVELOPMENT

Encouraging Broad-Based Economic Growth and Agricultural Development (G/EGAD)

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Economic growth translates into overall improvements in the economic and social well-being of people in developing countries. Better incomes result in increased food consumption and, often, diets of better quality; greater opportunities for micro and small enterprises to flourish; and improvements in health, education, mortality and morbidity. Growth also brings increased trade flows and opens markets to U.S. exports.

Agriculture development is the engine for economic growth in many countries. Widespread increases in agricultural productivity not only result in larger food supplies but in increased rural incomes. These increases in turn support growth in local trade and off-farm employment as well as improved rural-urban linkages.

Through Global's Center for Economic Growth and Agricultural Development, USAID's central programs promote broad-based economic growth and agricultural development by providing technical leadership, managing field support mechanisms, developing partner organizations with special expertise in effective approaches, and funding and monitoring global activities implemented by international organizations and networks. Efforts focus on achieving five objectives.

[933-001](#). Improved access to financial and business development services, particularly to the microenterprises of the poor.

[U.S. Financing Table for 933-001](#) (Microsoft Excel Document - 27 kb)

Helping poor entrepreneurs start and build viable, productive businesses is a key element of USAID's economic growth strategy. USAID's central programs have been providing technical leadership and operational support to the successful Agency-wide Microenterprise Initiative launched in 1994. (This initiative will be renewed in FY 2000 to provide a challenging framework for the next generation of USAID-funded microenterprise development efforts.) Central programs provide: competitive grant funding to private voluntary organizations (PVOs) and nongovernmental organizations (NGOs) for business and financial services for microentrepreneurs; and strategic, policy and program support to field missions on their microfinance and microenterprise development efforts. Central programs also conduct research, training, and capacity-building activities to improve the quality of programming and routinely disseminate information on the best practices for microenterprise development.

From a baseline of 331,000 active low-income borrowers in 1994, USAID-supported institutions reached a record number of 3.5 million borrowers with active loans totaling \$1.3 billion in FY 1998. Eighty-four percent of the borrowers

are women, and 83% of the loans were "poverty" loans, (i.e., loans at or below \$300 in the Africa, Latin America and Caribbean, and Asia and Near East regions and at/or below \$1,000 in Europe and Eurasia). USAID has played a leadership role among microfinance practitioners and donors to ensure that best practices for microfinance and business development services are increasingly applied. USAID's field support mechanisms have facilitated microenterprise development work in 62 countries with 654 local and international partners. The operational research program and a comprehensive impact assessment project help to move the frontiers of microenterprise development forward. By working with other international donors in the Consultative Group to Assist the Poorest and with the active U.S.-based Microenterprise Coalition, USAID ensures that its experience is available to other donors and practitioners as well.

The Micro and Small Enterprise Development (MSED) program utilizes guaranty authority to promote the development of micro and small enterprises in USAID assisted countries by entering in risk sharing arrangements with private financial institutions. In FY 2001, the Agency did not request an appropriation to MSED activities. However, a request of \$15 million was made for transfer authority under a new consolidated Development Credit Authority (DCA). It is anticipated that the sector served by current MSED authority will be amply served by having access to the DCA. By continuing to offer a risk sharing guarantee program, banks are encouraged in partner countries to expand their small loan portfolios, while a complementary training program provides skills development for bankers and entrepreneurs for small-scale lending. Innovative mechanisms to provide guarantees for loans to nongovernmental microfinance organizations have also been developed; these facilitate poor entrepreneurs' access to microloans.

933-002. Improved food availability, economic growth and conservation of natural resources through agricultural development.

[U.S. Financing Table for 933-002](#) (Microsoft Excel Document - 28 kb)

Agricultural development is a key component of USAID's sustainable development program. It can ensure increased food supply, generate rural income and employment growth, provide commodities essential to underpin urban income growth, and foster sustainable management of the environment.

Implementing a portfolio of global research activities, USAID central programs support the development of production, processing, and marketing capacity to meet the challenge of providing a growing population with access to a safe and nutritious food supply. Long-term support to the international agricultural research system enhances production of the staple foods of the poor. Since the days of the Green Revolution, this system has helped to achieve a robust growth in productivity that has enabled many countries and families to meet their current food needs. USAID programs promote continued growth in yields, projected at roughly one percent per annum for root crops and three percent annually for grains. These productivity gains will be worth billions of dollars to farmers and developing country economies, and will help to ensure more affordable food for consumers, both for the urban as well as the rural poor.

Collaborative research support programs (CRSPs), implemented with the U.S. land grant university system, complement the work of the international research system by engaging American and developing country scientists in research that returns benefits to both countries in the area of food security and related environmental challenges. USAID programs also link this long-term commitment to improved agricultural productivity with near-term needs by focusing on food access and consumption, and associated nutrition and health benefits. In FY 2001, USAID will continue to introduce and disseminate improved quality (Vitamin A, iron, protein, etc.) crop and vegetable varieties in areas with substantial at-risk populations, especially targeting women and children. Improved high-value products (e.g., livestock, fish) will be introduced, as well as value-added processing techniques to increase both incomes and availability. These gains, which link rural and urban sectors, will be promoted through policy and marketing activities.

Given both the increasing commercialization and importance of trade in agriculture, and the limitations on public resources, USAID is looking increasingly to the private sector - both U.S. and developing world - to address issues of input supply, technology transfer, product processing and marketing. Activities underway seek to encourage and disseminate information on how this process can be enhanced and developing countries brought more effectively into the modern world economy. Central program agricultural activities also seek to identify "win-win" approaches whereby increased agricultural production can be combined with improved, sustainable management of the natural resource base, through a combination of technological and sociological methods.

Growth in the agricultural sector and the economy generally depends on establishing a positive enabling policy environment. Many developing countries continue to suffer from policy and regulatory regimes that act as deterrents to sustainable agricultural productivity. These issues are being addressed largely in the context of trade, food security and agribusiness development (both input supply and output marketing) activities in the developing countries. USAID will

continue to promote increased efficiency through links among its scientific, commercial and policy partners, helping to create new opportunities for businesses and investors.

USAID also contributes directly to helping alleviate hunger and malnutrition for some of the more than 800 million people who are hungry. Continuing in FY 2001, USAID central programs and field missions will contribute directly to relief efforts through agricultural rehabilitation in war-torn countries (e.g., Angola, Mozambique, Rwanda) and regions affected by natural disasters (e.g., Honduras, Nicaragua, Greater Horn of Africa). USAID programs provide advanced technical support, such as satellite-generated environment and infrastructure data and agro-climatically appropriate seeds, to relief operations.

933-003. Appropriate and functioning economic policies, market reforms and institutions are developed to accelerate economic growth in emerging markets and priority countries.

[U.S. Financing Table for 933-003](#) (Microsoft Excel Document - 27 kb)

USAID, through its central programs, manages a portfolio of research and field support activities to identify best practices regarding reforms of economic policy, financial markets, legal and institutional systems, general business, trade, investment, and privatization. Areas of strategic emphasis during FY 2001 include: development of country trade, including the use of e-commerce approaches to trade expansion; increased country competitiveness in globalizing markets, including capacity-building to promote participation in the World Trade Organization; poverty reduction strategies in development assistance; the use of sustainable social safety nets in emerging markets; and workforce development to address the challenges of globalization. Central programs will provide technical leadership to the Agency in these areas by carrying out analyses, developing model programs, and by offering training and technical assistance based upon identified best practices. Central programs will continue to provide technical assistance to regional bureaus and mission programs, both by its own staff, and by mobilizing appropriate consulting teams. Approximately 100 activities totaling \$100 million in 38 countries will be supported during FY 2001.

933-006. Private sector business linkages support U.S. technology transfer in support of development objectives.

[U.S. Financing Table for 933-006](#) (Microsoft Excel Document - 27 kb)

The American economy is the most robust in the world, due in large part to the combination of the drive of American businesses to remain competitive and of continual advances in technology. When businesses in other countries emulate the best of American business practices and develop partnerships with American businesses, the citizens of both countries tend to benefit.

However, linking up with American businesses can be daunting for all but the largest firms in the countries that USAID serves. Small businesses in the United States similarly find that doing business with companies in transitional and developing economies can be a venture into the unknown. Yet, increasing numbers of small businesses are getting involved internationally as they seek out trade and investment opportunities.

Many state governments, often in cooperation with business groups, have set up programs to assist small businesses in their state to enter or expand their international operations. USAID is collaborating with such programs in 26 states. Because USAID has a long history with most developing economies, it is uniquely positioned to help American businesses establish linkages with businesses in these countries. Furthermore, USAID's worldwide programs in technology and management for specific sectors (namely environment, energy, health, agriculture, and information) give the Agency the ability to be particularly helpful in these sectors.

Since 1996, central programs have been building an effective network that links businesses that can contribute to economic development in targeted sectors. Known as the Global Technology Network (GTN), it now has representatives in 17 countries who actively seek out companies that could significantly improve their business by partnering with a U.S. company or a company in certain other participating countries. The representatives prepare "leads" that are forwarded via the Internet to industry specialists who match the lead against a database of close to 2,000 American companies that have joined the Network. When good matches are identified, electronic notices are sent to the companies transmitting the leads. GTN personnel follow up on leads, when appropriate, to facilitate communication until a deal is struck or until it is abandoned. GTN also works in collaboration with numerous federal agencies, including the U.S. Department of Commerce, the Export-Import Bank, U.S. Department of Agriculture, the Small Business Administration, Environmental Protection Agency and Overseas Private Investment Corporation.

Since 1994 and through the end of FY 1998, more than 110 deals have been consummated valued at more than \$125 million. These deals represent businesses in 26 states, 12 countries, and all five sectors. The results include, for example, improved water supplies in India and the Philippines; diminished air pollution in Malaysia; and more processed food production in Mexico, Russia and Turkey.

The focus in FY 2001 will be on building a more effective GTN by clarifying operational procedures, building alliances with local business associations, and covering more of the operating costs through the generation of fees.

933-007. Increased science and technology cooperation among Middle Eastern and developing countries, and utilization of U.S. and Israeli technical expertise by developing countries.

[U.S. Financing Table for 933-007](#) (Microsoft Excel Document - 27 kb)

USAID manages competitively awarded grants and other development assistance programs that foster collaboration between Israel and other countries in applying science and technology to address development goals in the Middle East, Africa, Asia, Latin America, and the Central Asian Republics. Israel excels in such areas as arid lands management, irrigation, solar energy, biotechnology, biological pest control, and aquaculture. These programs provide a mechanism to utilize Israeli technical capabilities to address the needs of developing countries around the world, and to promote technical cooperation with Israel's Arab neighbors. USAID funding catalyzes cooperation that otherwise would not have occurred. This contributes to the Middle East peace process and to development. Technical results include advances in saline and arid lands agriculture, improved agricultural water management technology, improved biopesticide strategies, increased understanding of tropical diseases, and increased knowledge of threats to the environment. Progress toward the political goal of support for the peace process has been exhibited by the increase in direct communication, travel, and information exchanges between researchers in the Middle East.



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Protecting the Environment (G/ENV)

Global environmental challenges -- climate change, the loss of biodiversity, explosive growth in the world's urban centers and environmental mismanagement -- are fundamental constraints to sustainable development, and pose real threats to U.S. economic and political interests. To combat these threats, USAID central programs focus on four objectives that contribute to managing the environment for long-term sustainability. Through Global's Center for Environment objectives, central programs support the environmental objectives of field missions and other parts of USAID and provide interagency and international technical leadership.

934-001. Improved protection and sustainable use of natural resources, principally forests, biodiversity, coastal and freshwater ecosystems, and agricultural lands.

[934-001 IR 1.1](#) Effective Biodiversity Conservation and Management
[U.S. Financing Table for 934-001 IR 1.1](#) (Microsoft Excel Document - 17 kb)

[934-001 IR 1.2](#) Improved Management of Natural Forest and Tree System
[U.S. Financing Table for 934-001 IR 1.2](#) (Microsoft Excel Document - 17 kb)

[934-001 IR 1.3](#) Environmental education and communication strategies, methods, and tools systematically applied in USAID-assisted countries

[U.S. Financing Table for 934-001 IR 1.3](#) (Microsoft Excel Document - 17 kb)

[934-001 IR 1.4](#) Increased Conservation and Sustainable Use of Coastal and Freshwater Resources

[U.S. Financing Table for 934-001 IR 1.4](#) (Microsoft Excel Document - 17 kb)

The natural resources upon which people depend for sustainable development are being degraded, depleted and inefficiently used in many parts of the developing world. Deforestation, water scarcity and poor water quality, loss of genetic resources and the deterioration of coastal and aquatic ecosystems cause severe environmental, economic and social problems. Sound management of natural resources provides the foundation for improving the livelihood of local communities, which enables sustainable development. USAID supports one of the most comprehensive natural resource conservation and management programs of any bilateral donor. Making important contributions to safeguarding biological diversity and maintaining environmental health, USAID supports conservation of biologically important areas, sustainable forest management technologies, integrated water and coastal resources management, and environmental education and awareness.

In the biodiversity program, increased emphasis will be placed on large-scale conservation efforts. Landscape or

ecoregion-based approaches are increasingly recognized as the most effective strategy for countering threats to the world's biological wealth. USAID's approach to biodiversity is, therefore, aimed at safeguarding the larger landscape, which includes human settlements as well as important parks and refuges.

The centrally-led forestry team will continue to build on USAID successes in tropical forestry, incorporating lessons learned, with an increased emphasis on key priority ecoregions, forest trade liberalization, sustainable forest management and community forestry activities. Complementing this, USAID's central programs will house the newly created Secretariat for the President's Board of the Enterprise for the Americas Initiative/Tropical Forest Conservation Act.

The water program promotes integrated water resource management by implementing innovative projects, leading international discussions, and coordinating policies among donors and lenders. Efforts are expected to improve national policies and central programs are substantially involved in international efforts to prevent conflict by facilitating trans-boundary water management.

The environmental education and communication program assists policy makers, educators, journalists, and community members in their efforts to foster sustainable behaviors in the consumption and management of natural resources.

The cumulative area of biologically important habitat under improved management reached 14,206,041 hectares (35,088,921 acres) under central program activities in FY 1998. This number is expected to increase significantly, based on preliminary data for FY 1999.

The cumulative area of biologically important habitat under effective management reached 1,148,263 hectares (2,836,209 acres) in FY 1998. Under this higher standard, environmental degradation has been significantly slowed or reversed and local organizations have demonstrated the ability to identify threats and opportunities, and adapt their site management accordingly. This number is expected to hold steady or increase, based on preliminary reports from partners.

In FY 1998, a total of 34 agencies, NGOs, and institutions in six countries were reported to have tested and utilized strategies, methods and tools for environmental education and communication.

Over the next two years central program activities are expected to yield the following results: a cumulative area of 140,848,507 hectares (347,894,560 acres) of biologically important habitat will be under improved management; a cumulative area of 7,558,843 hectares (18,670,342 acres) of biologically important habitat will be under effective management; and a total of 42 agencies, institutions, and NGOs in seven countries will have tested and utilized strategies, methods, and tools for environmental education and communication.

934-002. Improved management of urbanization in targeted areas.

[934-002 IR 2.1](#) Expanded and equitable delivery of urban environmental services and shelter
[U.S. Financing Table for 934-002 IR 2.1](#) (Microsoft Excel Document - 17 kb)

[934-002 IR 2.2](#) More effective local governments
[U.S. Financing Table for 934-002 IR 2.2](#) (Microsoft Excel Document - 17 kb)

[934-002 IR 2.3](#) Reduced Urban Pollution
[U.S. Financing Table for 934-002 IR 2.3](#) (Microsoft Excel Document - 17 kb)

While cities in developing countries present opportunities for economic and social growth, they also pose enormous threats to the environment, including dangerous levels of pollution and insufficient access to clean water, clean air and sanitation, particularly for the urban poor. Given the increasing rates of urbanization experienced worldwide, the need for USAID to respond to the challenges faced by local governments to provide services such as water, shelter, transportation and a viable local economy to citizens in an equitable and efficient manner is perhaps greater than ever. USAID helps countries develop policies, strengthen institutions (both public and private) and identify cost-effective measures for addressing these problems. Successful management of urban environmental issues at the local level also verifies the utility of a process that devolves authority from central governments, and strengthens the fledgling democratization process ongoing in many countries.

In FY 1998, 506,085 households benefited from improved urban environmental infrastructure and shelter solutions

through the Urban and Environmental (UE) Credit Program. Despite a significant decrease in funding, it is estimated that 273,905 below-median income households benefited through the UE credit program in FY 1999.

The International Resource Cities Program managed by central programs promoted more effective local governments by supporting the initiation of five new partnerships in FY 1998 between cities in the United States (including Austin, Texas, Grand Traverse County, Michigan, Savannah, Georgia, and Saginaw, Michigan) with those in developing and transitional countries. These partnerships provide overseas local government officials with technical advice and opportunities to collaborate with U.S. city managers on issues such as urban service delivery, solid waste collection and environmental management. Six new partnerships were initiated in FY 1999.

In FY 1998, the final year of the central Environmental Pollution Prevention Program, USAID reduced urban pollution in eight countries by promoting the adoption of 141 cleaner production policies and manufacturing processes, relying heavily on best practices and technology from the U.S. Through the new Cities for Climate Protection program, USAID reduced urban pollution by assisting 10 pilot cities in FY 1999. Assistance included conducting emissions inventories, establishing targets, and developing projects for implementation.

Over the next two years, central program activities are expected to yield the following results: USAID will provide approximately 200,000 households with improved urban environmental infrastructure and shelter solutions through technical assistance and loan funding. The Resource Cities Program will facilitate an additional 14 partnerships between the United States and host country cities to enhance more effective local governments; and USAID will expand the use of the environmental management systems approach as a tool for reducing urban pollution into two new countries. Finally, eight additional new pilot cities will conduct emissions inventories and establish targets.

934-003. Increased, environmentally sustainable energy production and use.

[934-003 IR 3.1 Increased Energy Efficiency](#)

[U.S. Financing Table for 934-003 IR 3.1](#) (Microsoft Excel Document - 17 kb)

[934-003 IR 3.2 Increased use of renewable energy resources](#)

[U.S. Financing Table for 934-003 IR 3.2](#) (Microsoft Excel Document - 17 kb)

[934-003 IR 3.3 Reduced Urban Pollution](#)

[U.S. Financing Table for 934-003 IR 3.3](#) (Microsoft Excel Document - 17 kb)

Energy brings countless benefits to human life. Energy facilitates heating and cooling, lighting, communications, health, food, education, industrial production and transportation. Unfortunately, these benefits have yet to reach more than two billion people around the world. To achieve and maintain social and economic progress, developing countries and economies in transition need to expand their energy supply without destroying their environments. Equitable, sustainable development depends on widespread access to appropriate energy services. According to current estimates, a yearly investment of more than \$100 billion will be required over the next decade for new or rehabilitated electricity generation capacity in developing countries.

USAID spearheads the U.S. Government's efforts to help developing countries and economies in transition design effective new strategies in order to tap private capital and talent, thereby meeting growing energy demand. USAID promotes free market policies and more efficient power production, energy conservation, and private sector participation in the energy sector. Working with other donors and the private sector, USAID leverages additional public and private investments to finance environmentally sustainable energy production and use. Increased private sector participation in the power sector of developing countries opens a multi-billion dollar industry to U.S. companies while providing needed investment in energy infrastructure.

In addition to its current programs, a new USAID special initiative, the Sustainable Energy for the 21st Century Program, has been developed. The new activity grew out of the clean energy technology development and export initiative based on a recently published report by the President's Committee of Advisors on Science and Technology (PCAST). This program is intended to assist countries to promote sector reform, establish free market policies, institute energy standards, and strengthen energy and environmental institutions that enable energy sector development and private sector participation in the sector. The program will provide training and technical assistance for legal and regulatory reform and institutional development, and enable private investment in the energy sector. A key element will be improving the livability of cities, where the bulk of the earth's population will reside in the 21st century. As a result

of USAID's Energy Partnership Program, the Karnataka Electricity Board (KEB), a state run distribution utility serving 45 million customers in southeastern India, signed a contract with Energy Line, a U.S.-based energy service company specializing in automated distribution controls (ADC), to develop a pilot ADC project.

Central program activities leveraged more than \$484 million in public and private investment in environmentally sustainable energy production, and efforts to implement sustainable energy technologies, practices and policies resulted in the reduction of more than 634,000 tons of CO₂ emissions. Technical assistance activities fostered the adoption of 14 public policies throughout 24 assisted countries to promote environmentally sound energy production and use; in FY 1999 it is expected that 16 policies will be adopted.

Over the next two years, central program activities are expected to yield the following results: the number of newly installed renewable energy systems is expected to increase from 1,295 -- enhancing energy service to over 500,000 people -- in FY 1998, to over 4,000 systems in FY 2001. In addition, the number of partnerships between U.S. and host country businesses in cleaner energy technologies is expected to increase from six in FY 1999 to 12 in FY 2001, thereby significantly enhancing sustainable energy technology transfer between U.S. utilities and regulatory agencies and their developing country counterparts.

934-004. Reduced threat to sustainable development from global climate change.

Climate change poses profound global economic, environmental and social challenges. As the events of recent years indicate, response to increased net greenhouse gas (GHG) emissions and occurrences of severe weather and natural disasters have cost governments and the private sector billions of dollars through increased health costs, lost revenues from natural resource and energy production and increased insurance costs. Developing and transition countries have little inherent flexibility in economic, environmental and social systems, and require assistance to respond to the threats posed by climate change.

In FY 1998, USAID launched its five-year, \$1 billion Climate Change Initiative in fulfillment of a presidential commitment to reduce the threats posed by climate change in developing and transition countries. Through programs implemented by a total of 44 missions, offices and regional programs, USAID has helped developing nations: participate more effectively in the United Nations Framework Convention on Climate Change (UNFCCC); decrease net GHG emissions through energy, industrial, urban, forestry, agriculture and biodiversity sector activities; and address and adapt to climate vulnerability. In addition, USAID has provided technical assistance and leadership for U.S. Government interagency climate change activities, such as the U.S. Initiative on Joint Implementation and the U.S. Country Studies Program.

USAID supports climate change activities in 12 target priority countries and regions: Brazil, Central Africa (Cameroon, Central African Republic, Democratic Republic of Congo, Equatorial Guinea and Gabon), Central America (Belize, Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua and Panama), Central Asia (Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan), India, Indonesia, Mexico, Philippines, Poland, Russia, South Africa and Ukraine.

FY 1999 was the first year of funding for this objective. Building from baseline data collected in FY 1998, central programs played a significant leadership role in achieving climate results. Central programs collected performance data from 44 countries, reporting climate-related results achieved through activities supporting developing country participation in the UNFCCC, and reduced greenhouse gas emissions in energy, industrial, urban, forestry, agriculture and biodiversity sectors. In India, for example, USAID helped the National Thermal Power Corporation reduce its carbon dioxide emissions by 1.1 million tons from coal-fired power plants. Efforts to protect and conserve forest lands in Indonesia containing important carbon stocks, involved outreach and training that engaged over 50 communities in forest mapping, and improved their understanding of conservation practices and of legal protections for forests. Performance data details policy advances and training and technical assistance promoting more effective developing country participation in the UNFCCC; greenhouse gases avoided through energy, industrial, and urban activities; metric tons of carbon stored through forest management and preservation activities; dollars leveraged through climate-related work with host country partners and other donors and lenders; and sectoral policy advances that reduce GHG emissions. Furthermore, USAID central programs provided substantial financial and technical support to the U.S. Country Studies and U.S. Initiative on Joint Implementation (USII) interagency programs. In FY 1998, USAID reviewed eight proposed USII projects, approving four energy, forestry and urban projects in Mexico, Guatemala and South Africa. In addition, central programs supported a Country Studies Program workshop in Central America in April 1998, as well as four other training events.

Over the next two years, central program activities associated with the Climate Change Initiative are expected to: (1) assist in reducing the threat of climate change to developing and transition countries; (2) promote increased mission participation and incorporate consideration of climate change more broadly in sectoral decisions; and (3) sponsor at least three training workshops to educate host country personnel to conduct greenhouse gas emissions inventories and mitigation analysis. Some activities may be covered under Section 568(a) of the Foreign Operations Export Financing and Related Programs Appropriations Act of FY 2000.



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Human Capacity Developed Through Education and Training (G/HCD)

Land, labor and capital were once thought to be the key building blocks of economic growth. Expand production enough and development would occur, perhaps even to be sustained. Little thought was given to the quality of the building blocks, or changes that might be necessary over time.

The late 20th century illuminated the complexities of development. Many countries with abundant land, labor and even capital found themselves still mired in poverty, with little prospect of sustainable growth. A few - - even some with much less land and labor - - developed rapidly based on strong export performance. From these cases, it was possible to isolate factors contributing to development success or failure.

- It is the quality, not merely the quantity, of labor that matters.
- Investment in human capacity (skills) development is one of the prerequisites for growth and development.
- The highest returns flow from investments in basic education, i.e., literacy, numeracy and problem-solving capacity. These skills allow increased labor force participation and productivity, participation in civil society, and better environmental protection.
- Basic education for girls and women provides the highest returns of all, adding to the above list significantly lowered fertility rates and improved family health and nutrition.
- Returns to secondary and higher education and professional training are also considerable. Universal primary education, coupled with secondary education coverage approaching 50%, is highly correlated with rapid economic growth. Moreover, in today's increasingly global and technological marketplace, the value of focused workforce skills development and higher education is rising rapidly.
- As the Industrial Age gives way to the Information Age, many believe that the "Digital Divide", i.e., the opportunity gap between those who can and cannot use information technology effectively, will be one of the key development challenges of the 21st century.

It is in the mutual interest of the U.S. and of recipient nations that developing countries establish fully accessible, effective, and broadly participatory public and private education systems and training institutions that can provide their people with avenues for personal advancement and opportunities for prosperity. Strategic and flexible investments in basic and higher education, workforce development, professional training and information technology are required for national development -- and U.S. national security -- in the 21st century.

Through Global's Center for Human Capacity Development, central programs address these problems with four objectives that support USAID's third goal, "Human Capacity Development through Education and Training."

935-001. Improved and expanded basic education, especially for girls, women and other under-served populations.

[U.S. Financing Table for 935-001](#) (Microsoft Excel Document - 28 kb)

Although many countries are making progress in expanding access to basic education, particularly for girls and women, progress is unacceptably slow in some regions, notably sub-Saharan Africa and South Asia. Even where access is expanding, quality often remains poor, and equity unachieved. Missed opportunities for improved early childhood development, poorly qualified teachers laboring for low pay amid deteriorated infrastructures, weak or irrelevant curricula, inadequate or skewed education financing and management systems, and lack of parental and community involvement in educational planning are key quality and equity issues. Moreover, in nations undergoing crisis and transition, educational systems often disintegrate first, despite the need for focused educational investments to break the cycle of violence and lay the foundation for broad-based growth. Millions of children are engaged in abusive child labor and require new opportunities for education. To address these concerns, central programs have: developed guidelines for supporting educational reform for Africa; documented and disseminated lessons learned from key education reforms in Latin America and the Caribbean; and developed new educational products, including software packages for data collection and analysis by ministries of education to enable more effective targeting of scarce resources. Additionally, with central program support, USAID is assisting policymakers in several countries in Africa and Latin America to conduct assessments, plan programs and apply classroom-level practices designed to improve the quality of basic education for children (particularly girls) and adults. A special new initiative, "School Works!", is targeting children in abusive child labor. Greater emphasis is also being placed on early childhood education, distance learning and the development of sustainable community learning centers. Beginning in FY 2000, central programs will target countries in crisis and transition to help prevent the collapse or deterioration of basic education systems in these countries.

935-002. Higher education strengthens the capacity of institutions, communities and individuals to meet local and national development needs.

[U.S. Financing Table for 935-002](#) (Microsoft Excel Document - 28 kb)

USAID's programs employ a number of tools for the implementation of specific bilateral development objectives. Partnerships between U.S. and host country institutions of higher education are a key tool. USAID's central programs recognize that colleges and universities in many developing and transitional countries are underperforming in their proper roles and could, with assistance, be key players in training the next generation of political and professional leaders, conducting critical scientific and social research, and finding solutions to local and national development problems. Centrally supported higher education partnerships match strong American higher education institutions with sister institutions overseas to achieve mutual development goals through research, teaching and faculty development, often with U.S. or local private sector support. Special attention is being paid to achieving broader and more equitable access, diversifying funding, using distance learning tools, and linking higher education to key development problems. In addition, centrally developed workforce development partnerships support sectoral appraisals and market-driven, cost-effective education and training programs that meet the needs of employers and communities while building on the strengths of service-oriented training institutions, such as community colleges.

935-003. Training improves work performance of host country trainees and effectiveness of host country organizations.

[U.S. Financing Table for 935-003](#) (Microsoft Excel Document - 28 kb)

Since USAID's creation, one of the Agency's most important investments in sustainable development has been the training, both in the United States and in host countries, of hundreds of thousands of public and private sector leaders and decision-makers from countries receiving U.S. assistance. Until very recently, the bulk of training funds was spent in bringing students to the United States for academic training. As local institutions developed (usually with USAID-financed, U.S.-trained faculty), bilateral assistance budgets declined, and the cost of academic programs skyrocketed, there has been a strong recent trend toward large-scale in-country training. The emphasis of in-country training has been on technical and managerial skills to support specific national and project objectives and institutional strengthening. Distance training has also become a new and revitalizing means of delivering training programs. Nevertheless, there remains a need for some continued financing of U.S.-based academic and other training to develop leadership and professional skills, e.g., in Africa and in parts of Europe and Eurasia. Central programs are facilitating the replication of the successful Africa model (ATLAS) for other regions, including a strong financial and managerial

commitment by U.S. universities to bring costs down and enhance the value of the training experience. Despite these efforts, however, USAID anticipates that the bulk of the Agency's future training focus will be on upgrading and regulating the quality of host country training institutions. These activities will both protect earlier substantial USAID investments in U.S.-based training and ensure the longer-term sustainability of USAID's training effort. Central programs will also continue to fine-tune U.S. and host country training activities to improve policies and quality, lower costs, simplify administration, promulgate "best practices" to increase the skills of individuals and the effectiveness of key organizations, and ensure accountability while continuing to champion America's leadership position in international education and training. USAID coordinates its training programs with U.S. Information Agency and other U.S. federal agencies through the Inter-Agency Working Group on International Exchanges and Training.

935-004. Expanded access to and application of information and telecommunications services.

[U.S. Financing Table for 935-004](#) (Microsoft Excel Document - 28 kb)

Issues pertaining to the "Digital Divide" will be a key part of the development agenda in the early 21st century, especially as nations compete for success in the global marketplace increasingly on the basis of their information technology capacity. Central programs promote open, market-based national communications systems and state-of-the-art applications, including distance learning, community-based information systems and multi-media training systems, as well as e-commerce in support of sustainable development objectives. Through innovative partnerships, USAID harnesses and delivers the expertise and entrepreneurship of American telecommunications and information technology industries on critical applications, and key agencies such as the Federal Communications Commission to help create the enabling environment for expanded telecommunications access, quality and affordability. Beginning in FY 2000, USAID central programs will seek to stimulate and channel an expanded portfolio of USAID-financed information technology efforts to ensure that U.S. development efforts take full advantage of evolving technologies and help aid-recipient nations to span the "Digital Divide."



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CENTER FOR POPULATION, HEALTH, AND NUTRITION

Stabilizing World Population and Protecting Human Health (G/PHN)

Sustained USAID technical leadership and program support in the population, health and nutrition (PHN) sector for more than three decades have resulted in significant declines in fertility and overall improvements in mortality and health status in developing countries. Despite these achievements, a great deal of work remains. Thirty-three percent of the world's population is between the ages of 10-24. More than one billion young people are on the verge of reproductive age, the majority of them in the developing world. More than a half-million women in developing countries die each year from causes associated with pregnancy and childbearing, and the vast majority of these deaths are preventable. Similarly, an estimated 10 million children under age five die annually from preventable causes such as malaria, pneumonia and diarrheal disease. Six million new infections with human immunodeficiency virus (HIV) occurred in 1999. The HIV/acquired immunodeficiency syndrome (AIDS) pandemic continues to spread, destroying families and thwarting social and economic development efforts worldwide.

PHN programs are a core element of USAID's development assistance efforts because they are cost-effective; they lead to a better quality of life for individuals in developing countries; and they clearly and directly address U.S. national interests. For example, early stabilization of population growth will contribute to global economic growth, reduce environmental

degradation, and promote political stability. Protecting human health and nutrition also improves economic productivity in developing countries and is necessary for poverty reduction. It also affects public health in the United States. Programs aimed at reducing unhealthy conditions in the developing world help to decrease the incidence of disease and reduce the threat of epidemics, which may directly affect U.S. citizens such as Tuberculosis and multi-drug resistant TB. Thus, these programs help to safeguard the health of Americans, create economically strong trading partners overseas, alleviate poverty and reduce the human suffering associated with disease.

Through Global's Center for Population, Health and Nutrition, central programs continue to support key interventions in the field and contribute directly to USAID goals and objectives.

936-001. Increased use by women and men of voluntary practices that contribute to reduced fertility.

[936-001 IR 1.1](#) New and improved technologies for contraceptive methods and family planning identified, developed, tested, evaluated, and disseminated

[U.S. Financing Table for 936-001 IR 1.1](#) (Microsoft Excel Document - 28 kb)

[936-001 IR 1.2](#) Improved policy environment and increased global resources for family planning programs
[U.S. Financing Table for 936-001 IR 1.2](#) (Microsoft Excel Document - 28 kb)

[936-001 IR 1.3](#) Enhanced capacity for national programs (public, private, nongovernmental organization and community-based institutions) to design, implement, finance, and evaluate suitable family planning programs
[U.S. Financing Table for 936-001 IR 1.3](#) (Microsoft Excel Document - 28 kb)

[936-001 IR 1.4](#) Increased access to, quality of, cost-effectiveness of, and motivation to use family planning, breastfeeding, and selected reproductive health information and services
[U.S. Financing Table for 936-001 IR 1.4](#) (Microsoft Excel Document - 28 kb)

By improving maternal and child health and reducing fertility, voluntary family planning programs supported by USAID play a critical role in helping countries buy time to address other development challenges and improve their citizens' standards of living. USAID programs have led to a sharp reduction in fertility, helping to bring the average number of children per family in developing countries down from over six in the 1960s to less than four in 1999. Central programs have provided crucial support for strengthening population policies, increasing private sector participation, developing improved contraceptive methods and family planning service delivery approaches through research, improving contraceptive procurement and logistics, developing information, education and communication materials for the client and general public, and training of service delivery personnel and performance monitoring. USAID's family planning assistance is carried out with emphasis on quality of care and full regard to principles of informed choice.

[936-002](#). Increased use of key maternal health and nutrition interventions.

[U.S. Financing Table for 936-002](#) (Microsoft Excel Document - 22 kb)

Increasingly, governments have moved beyond rhetoric to make key policy and program changes that have the potential to greatly improve maternal health. To meet USAID's objective of contributing to the global reduction of maternal mortality through PHN interventions, central programs have leveraged scarce resources by documenting the feasibility, effectiveness and affordability of key maternal health interventions. These results are shared with USAID's international, governmental and nongovernmental partners so that the lessons learned can be used by others as they make their policy and programming decisions for investments in maternal health. Other USAID programs in economic growth, girl's education, and promotion of gender equity also continue to contribute to the USAID's goal of maternal mortality reduction.

[936-003](#). Increased use of key child health and nutrition interventions.

[U.S. Financing Table for 936-003](#) (Microsoft Excel Document - 22 kb)

USAID continues to play a major role, in partnership with other agencies, in efforts to reduce infant and child mortality and morbidity. The special roles of central programs within the USAID's child survival program include developing and applying cost-effective and sustainable interventions against childhood diseases; engaging in global policy development and in partnerships with other organizations; providing state-of-the-art technical support and assistance to field missions, regional bureaus, and country child survival programs; and deriving and disseminating best practices and innovative approaches from USAID's experience to improve worldwide child survival programming.

USAID provides worldwide leadership in addressing the problem of Vitamin A deficiency through its Enhanced Vitamin A Initiative. Through this collaborative venture with international and private sector partners, USAID promotes interventions to increase Vitamin A intake by at-risk populations and reduce child deaths by at least 20% in targeted countries. USAID is also providing leadership in addressing the worldwide problem of stagnating child immunization rates. In 1999, USAID joined the World Health Organization (WHO), United Nations Children's Fund (UNICEF), the private sector, and others in the creation of the Global Alliance for Vaccines and Immunizations (GAVI) to enhance national immunization programs and introduce the newer vaccines in developing countries. A major USAID initiative, launched in 1999, will boost immunization programs in 15 USAID-assisted countries where progress is lagging.

[936-004](#). Increased use of improved, effective and sustainable responses to reduce HIV transmission and to mitigate the impact of the HIV/AIDS pandemic.

[U.S. Financing Table for 936-004](#) (Microsoft Excel Document - 28 kb)

USAID's worldwide leadership in addressing the HIV epidemic received a significant boost in FY 2000 with the approval of the interagency Leadership and Investment in Fighting an Epidemic (LIFE) presidential HIV/AIDS initiative and additional Congressional financial support. The LIFE Initiative (which includes three major partners, USAID, the Department of Health and Human Services and the Department of Defense) will support increased activities which focus on primary prevention, improving community and home-based care and treatment, caring for children affected by AIDS, and capacity and infrastructure development. The additional funds (over and above the LIFE funds) provided by Congress have been incorporated into USAID's ongoing worldwide HIV/AIDS program, including the funding of PHN central programs. Central programs support reduction of HIV/ STI (sexually transmitted infection) transmission through three major categories of activities: interventions to induce lower risk behavior, improving basic clinical STI management and treatment, and increasing access to critical commodities, such as condoms. In 46 countries, USAID programs have reached more than 25 million vulnerable persons with comprehensive HIV prevention education and behavior change communication, and provided over one billion condoms so that people can protect themselves and their partners. USAID also has continued to support basic research and evaluation in order to create new intervention tools, as well as to improve the effectiveness of HIV/AIDS prevention and mitigation programs. Almost 70 research activities have been developed, including studies on the female condom (Zimbabwe, Brazil), voluntary HIV counseling and testing (Uganda, Tanzania), and community approaches to reducing HIV transmission (India).

936-005. Increased use of effective interventions to reduce the threat of infectious diseases of major public health importance.

[U.S. Financing Table for 936-005](#) (Microsoft Excel Document - 28 kb)

USAID has launched a new initiative to help combat infectious diseases, concentrating on those that have a major impact on mortality. Activities are focusing in four areas: (1) combating anti-microbial resistance; (2) tuberculosis prevention and control; (3) malaria prevention and control; and (4) disease surveillance and response capacity. USAID will achieve results in these areas through the provision of technical assistance for operational programs in developing countries, applied research in strategically critical areas and helping to build indigenous capacity. By focusing on specific areas, and through a concerted effort with the World Health Organization (WHO), Centers for Disease Control and Prevention and other public and private sector partners, USAID expects to have a significant impact on the control and spread of infectious diseases, and on the long-term sustainability of these efforts. Central programs are providing technical leadership to this new initiative, including development and testing of new and improved approaches and interventions for tuberculosis and malaria control; more appropriate management of antibiotics to reduce the spread of antimicrobial resistance; in conjunction with WHO, supporting the development of global strategies for tuberculosis and antimicrobial resistance; and more effective approaches for developing surveillance capacity.



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Special Concerns

Women in Development (G/WID)

Recognizing that the inferior status of women in most developing countries and economies in transition is a key constraint to overall social and economic development, USAID has been in the forefront of formulating policies and institutional structures to target improvements in the status of women in developing countries since 1974. More recently, the Secretary of State strongly reaffirmed U.S. commitment to recognizing and reinforcing the human rights of women around the world as a fundamental tenet of U.S. foreign policy. And, in 1996, USAID adopted the Gender Plan of Action (GPA), spelling out a series of gender considerations for incorporation into all aspects of the Agency's work. USAID's unfaltering commitment to addressing women in development issues is evident throughout its programs and policies, supported with the technical assistance and leadership of the Agency's central Office of Women in Development (WID). For the past several years, USAID has funded the WID Office's activities at \$10 million per year, and plans to continue at this level in FY 2001. The Agency's GPA continues to be a key component in the institutionalization of gender throughout the Agency. In the past year under the GPA: (1) program assistance guidance has been revised to better reflect the key role of gender issues in "managing for results"; (2) requirement for evaluating gender issues in competitive solicitations has been provided to all Agency procurement officers; and (3) a highly successful women-in-development Fellows program has been reestablished. In addition, central programs are funding activities in four critical areas.

941-001. Gender-based constraints to economic growth policies and programs increasingly addressed.

[U.S. Financing Table for 941-001](#) (Microsoft Excel Document - 28 kb)

More than 800 million women are economically active worldwide. Over 70% of these women live in the developing regions of Asia, Africa, and Latin America, and their numbers have nearly tripled since 1950. While women increasingly are economically active, their unemployment rates remain high relative to those of men; when employed, their wages are about 60% of men's. Yet, studies have demonstrated that women are more likely than men to use their income for child-rearing and household maintenance, and have shown that, for the entire household, increases in women's incomes correlate more directly with higher education, literacy, and life expectancy rates, and lower infant mortality, morbidity, and fertility rates, than do increases in men's incomes. Hence, improvements in women's employment are critical for the large numbers of women now living in poverty and for the well-being of the children and often the elderly they support. The success and sustainability of economic growth policies and programs clearly depend on full incorporation of women as well as men into country development activities. Women's capacity to participate fully and lead as members of democratic societies, and their ability to control their lives and decisions and to improve their health and education status are directly linked to their opportunities to earn and control income. Activities

in support of this objective increase African women's role in agricultural production and research; strengthen formulation and implementation of development policy through gender-focused research on intra-household allocation processes; and develop model partnership agreements with selected international agribusiness firms to explore women's employment issues in agribusiness in developing countries.

941-002. Broad-based, informed constituencies mobilized to improve girls' education in emphasis countries.

[U.S. Financing Table for 941-002](#) (Microsoft Excel Document - 28 kb)

Research over the past 30 years has established that female education and literacy are key factors in a country's development and that investments in female education yield high returns in terms of social and economic gains. Yet, girls' educational opportunities in most developing countries are limited, both in absolute terms and relative to those of boys. Differences in male and female enrollment as a proportion of total enrollment are striking at both the primary and secondary levels in South Asia and Africa. At issue, also, in most regions are girls' higher dropout rates -- and thus lower educational attainment. It is axiomatic that individuals and organizations invest in products or services that they see as integral to their development. For efforts to become sustainable, it is critical that a country's citizens recognize the importance of girls' education for the country's development and that they become committed to its improvement. Activities under this objective enable missions to create initiatives that mobilize community leaders, including leaders in government, business, religion, the media, and non-governmental organizations, to take a multi-sector approach to addressing the barriers to girls' education. Central WID programs will continue to work with field missions and partners to ensure full commitment of host-country human and financial resources to create and sustain such initiatives to improve girls' education. Examples of practices that address specific barriers are: economic incentive programs (e.g., scholarships) that address family resource barriers, village committees to promote culturally acceptable female education, national media campaigns that address policy reform barriers, and community school programs that address education system barriers.

941-003. Women's legal rights increasingly protected.

[U.S. Financing Table for 941-003](#) (Microsoft Excel Document - 28 kb)

The legal rights of women and their enforcement comprise a critical development issue in all regions. Without the most basic building block of democracy in place -- the rule of law and respect for human rights -- women can never be fully incorporated into the development process. Issues such as property ownership, access to credit, and gender-based violence have been highlighted by the international community as major priorities for development programs. Compelling evidence demonstrates that women's control of land leads to decreased environmental degradation and improved food security, women's access to credit has a striking impact on household well-being, and domestic violence has been cited as the most pervasive human rights violation in the world today. Activities under this objective support missions' efforts to address women's rights through their Rule of Law and Civil Society portfolios. Programs underway support NGOs to inform women of their rights and launch effective national and regional advocacy campaigns. Central programs will continue to work with others in USAID/W, missions, and the NGO community to strengthen these programs. Examples of successful approaches include multi-sector projects on domestic violence resulting in legal reform; national class-action suits protecting the rights of women industry workers; a community-wide ban of the practice of female-genital cutting which has resulted in a prohibitory law in Senegal; and national media campaigns to highlight the barriers faced by women as they strive to fully participate in the development of their countries.

941-004. Greater reflection of gender considerations in the Agency's work.

[U.S. Financing Table for 941-004](#) (Microsoft Excel Document - 28 kb)

The ultimate objective of USAID development assistance is the promotion of equitable and sustainable social and economic development. There is a considerable body of evidence to suggest that the pace of social and economic development will be slowed if gender issues have not been integrated into the planning, implementation, and assessment of activities and programs. Gender integration is a key element in central programs' approach to achieving all of its objectives. The key distinction is that this objective is not linked to a specific sector, allowing the WID Office the flexibility and the ability to work with diverse partners in the Agency and in the wider development world. Examples of the highly successful technical assistance offered under this objective include: in Angola, assessing the constraints to women's participation in civil society and economic reconstruction; in Sierra Leone, in collaboration with USAID's Office of Transition Initiatives, assisting in the design of a civic education and women's leadership program and

strengthening a new ministry dealing with gender issues; in Uganda, supporting incorporation of gender considerations in the agriculture and private sector programs, and exploring opportunities for mission participation in the Africa Food Security Initiative; in Guatemala, involving gender integration in HIV/AIDS programming and health advocacy activities and in girls' and women's education initiatives; and in Ukraine, integrating women's economic concerns into a public education project that provides information through radio and television, and assisting at a training workshop addressing gender issues in journalism.



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[940-001. Peace Corps \(G/PDSP\)](#)

[U.S. Financing Table for 940-001](#) (Microsoft Excel Document - 28 kb)

The Peace Corps and USAID participate in cooperative programs in 70 countries, involving more than 3,000 volunteers. The primary implementing activity is the Small Project Assistance (SPA) program, managed by Global, is conducted through a worldwide Interagency Agreement. USAID central programs support the (SPA) program, with planned funding of \$1,500,000 annually. The objective of the SPA program is to support, in collaboration with local communities and Peace Corps volunteers, small-scale, sustainable development activities in areas of priority to USAID. Activities include environmental education, improving human health to include the eradication of polio, and economic growth with an emphasis on basic education. In addition, community members receive technical skills training, principles of self-help in planning, implementing, managing and sustaining capacity building projects. The relationship with the Peace Corps builds on each agency's strengths, integrating respective human and financial resources to achieve common development goals. Since 1995, USAID has provided over \$15 million in support of 3,950 community activities, through a combination of central funding and funding provided by field missions and others for specific country requirements.



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Development Credit

Summary. The budget request for Development Credit (DC) is the Agency's first consolidated credit authority request. For FY 2001, USAID seeks: (1) up to \$15 million in transfer authority from other program accounts in order to finance credit subsidy for loans or loan guarantees that will directly complement USAID missions' grant-financed programs; and (2) \$8 million as a direct appropriation to fund the administrative expenses of managing the Agency's entire credit portfolio. DC loans and loan guarantees will stimulate private sector lending for financially-viable development projects, leveraging additional development investments in an environment of shared risk. The program assumes that: (a) in the long run, most development financing will come from the mobilization of indigenous private capital and not from the donor community, (b) private capital markets in developing countries currently meet only a limited range of credit needs far below their potential capacity, and (c) development credit programs will encourage local banks, using modern banking practices, to work in moderately risky and previously under-served markets, thereby identifying and correcting market failures.

DC provides USAID missions with the flexibility to choose the most effective financial tool -- loans, loan guarantees, grants or a combination of these tools -- to achieve assistance objectives. Missions are expected to pursue their approved objectives, using DC rather than grant assistance, only where conditions for the use of credit assistance are favorable.

Evolution of Consolidated Credit. In the past several years, USAID has made significant progress in strengthening its credit management operations.

The Agency has outsourced a number of credit servicing functions, hired additional technical staff responsible for credit management, developed improved financial performance indicators, established a Credit Review Board chaired by the Chief Financial Officer to oversee all of USAID's credit activities, and worked closely with the Office of Management and Budget (OMB) to develop more accurate credit risk models.

Beginning in FY 2001, Agency credit programs will be fully consolidated under the umbrella of DC. No separate appropriations are being requested under FAA section 108, Micro and Small Enterprise Development (MSED) or under FAA Sections 221-223, Urban and Environmental Guarantee (UE). In addition, administrative expenses associated with the existing credit portfolio will cease to be funded through Operating Expenses (OE). It is intended that DC will be available for all sectors provided that key guiding principles are met. Missions are free to pursue their objectives with 100% grant assistance, or subject to the transfer ceiling set by the Congress, use a portion of their annual budgets to finance credit subsidy. The credit subsidy cost will be estimated independently by DC staff, reviewed by the Credit Review Board and determined by the Chief Financial Officer.

The \$8 million appropriation request for DC administrative expenses reflects the cost of the development, implementation and financial management of all Agency credit programs, including the existing credit portfolios. (Note: Since new DC activities represent a small portion of total existing and planned credit activities, the requested level is

necessary whether or not the full \$15 million requested transfer authority is granted). This covers various credit administration costs previously funded by Agency OE. The request embodies a rationalization of credit administrative expenses and is subject to both improved performance due to outsourcing and considerable savings derived from consolidation of all Agency credit operations under the umbrella of DC. The existing credit portfolio currently amounts to approximately \$13.3 billion, and incorporates the MSED portfolio (\$143 million), the UE portfolio (\$2.3 billion), the Direct Loan Program (\$10.8 billion), and the DCA portfolio (\$93 million).

The \$8 million appropriation request will fund 29 USDH staff associated with management and oversight of new DC as well as the continued administration of the existing credit portfolios. In addition to providing direct support to field missions contemplating, or using the transfer authority for specific development objectives, it includes financial accounting and services (billing, collections, ledgers, monitoring, debt rescheduling, external reporting) for the entire credit portfolio.

Development Credit

	FY 1998	FY 1999	FY 2000	FY 2001
Credit Subsidy				
Program transfer authority for DC up to				[15,000,000]
Program transfer authority for DCA up to	[7,500,000]		[3,000,000]	
Appropriation for MSED program	1,500,000	1,500,000	1,500,000	
Appropriation for UE program	3,000,000	1,500,000	1,500,000	
Administrative Expenses				
Appropriation for DC				8,000,000
Appropriation for MSED program	500,000	500,000	500,000	
OE funding for MSED program	543,001	586,562	634,000	
Appropriation for UE program	6,053,000	5,000,000	5,000,000	
OE funding for UE program		325,461		
OE funding for Direct Loan program	3,000,000	2,600,000	2,600,000	

Since mission demand will determine the allocation of development credit transfer authority among regions and sectors, no regional breakdown of these budget allocations can be provided at this time. Illustratively, however, the Agency anticipates that demand for credit resources among the geographic regions and central programs in FY 2001 may be as follows: Asia and Near East, \$3.5 million; Europe and Eurasia, \$4.5 million; Latin America and Caribbean, \$2 million; Africa, \$2 million; and central programs, \$3 million.

Guiding Principles of DC. All projects will contribute to the achievement of existing USAID objectives, either at the mission or Washington operating unit level. Risk will be shared with private sector partners in each DC activity. Furthermore, the use of DC will require a commitment to financial discipline by the host country participant that will lead to more appropriate and efficient use of U.S. assistance funds. USAID will utilize prudent risk management methods to assess project risk and calculate credit subsidy amounts. Interagency Country Risk Assessment System (ICRAS) risk ratings will be applied to determine the country risk associated with each credit. The Agency has hired a Senior Credit Risk Supervisory Officer to strengthen its capacity for credit risk assessment and management. This individual is continuing efforts to work closely with the OMB on further refinements to current risk analysis models.

DC is not an additional source of funding, but merely an alternative use of existing appropriations whereby funding from other USAID program accounts will be transferred to the DC account. USAID envisions that project revenues for DC partial loan guarantees will be denominated in the same local currency that produces the bulk of its contingent liability. Minimizing foreign exchange risk in this manner will benefit borrowers while at the same time reducing costs for the U.S. Government. USAID anticipates that a majority of DC-funded projects will involve partial loan guarantees to local private-sector intermediate financial institutions to finance non-sovereign borrowers.

To assure the financial viability and creditworthiness of each DC-funded project, USAID has strengthened its capacity to: design and implement credit-funded projects; provide accurate credit-risk assessments and subsidy calculations; and manage the financial aspects of DC activities. Detailed credit and operating manuals have been developed that outline

procedures and the necessary steps required for the implementation of credit-funded projects to insure effective credit risk assessment and ongoing credit portfolio management. The analytical and management skills required for DC activities, exclusive of the direct loan program, will be located in a newly-formed development credit operating unit, and staff will be reassigned from the predecessor MSED and UE credit activities. Administrative expense also includes minimal overseas personnel necessary for ongoing project development and oversight.

In addition to the normal development-based indicators that must be established for all mission projects, DC projects will be measured by three additional indicators:

1. Repayment rates on direct loans;
2. Claims against guaranteed loans; and
3. Positive economic and financial rates of return.

Examples of DC Activities. The following projects illustrate the kinds of program activities that USAID may fund using DC:

1. Extending partial guaranties for agricultural credit to small farmers in Africa and Latin America;
 2. Providing a 50% guarantee to a private bank in the Dominican Republic to finance solar powered electrical energy in rural areas;
 3. Entering into risk sharing arrangements with private banks in Europe to finance the development and distribution of clean fuel generated energy;
 4. Developing market-based credit products to help successful micro-finance institutions move away from grant funding and toward market-rate borrowing and lending;
 5. Continuing USAID's successful municipal finance and infrastructure projects under the reforms of DC; and
 6. Funding creditworthy projects in Russia, including projects in the area of energy generation and technology transfer in key development sectors such as infrastructure, environmental technologies, housing and food processing.
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The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Legal systems operate more effectively to embody democratic principles and protect human rights, 932-001

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$1,500,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$2,800,000 DA

INITIAL OBLIGATION: FY 1995; **ESTIMATED COMPLETION DATE:** FY 2002

Summary: Approximately one-quarter of all appropriated resources requested by USAID for democracy and good governance promotion will be expended in support of rule of law programs. Of the total amount, \$2.8 million is proposed for allocation to programs managed by USAID's Center for Democracy and Governance (G/DG) for technical leadership, field support and management of global programs specific to rule of law. The purpose of this program is to strengthen strategic approaches for building legal systems that operate more effectively, embody democratic principles and protect human rights. With G/DG's support, USAID missions implement rule of law activities to address fundamental problems in governance such as public disorder and lack of security, over-concentration of political power that threatens democratic pluralism, systemic abuses of official power, inequality before the law and impunity and the absence of effective mechanisms to resolve disputes. Such problems can undermine the consolidation of democratic governance.

Key Results:

- A strategic framework for planning and designing rule of law assistance programs has been drafted and tested.
- A second generation rule of law program addressing the issue of public order and security has been designed for South Africa with U.S. Department of Justice involvement.
- A criminal justice dimension is being integrated into the overall rule of law assistance plan for West Bank/Gaza.
- A new rule of law activity that has elements of both economic growth and democratic reform is being initiated in Morocco.
- A successful judicial training and legal reform project was implemented in Oman by the International Development Law Institute.
- In Laos, the Lao Judicial Bench Book Project is progressing. The procedural handbook has been completed, and follow-up training has begun.

Performance and Prospects: Overall, advances in rule of law and human rights continue to be uneven. Much important work has been undertaken, but the sector remains challenged by the general dominance of the executive over other branches of government and, in some cases, politicization of the judiciary. Central programs' collaboration on mission rule of law programs is significant currently in South Africa, West Bank/Gaza, Nigeria, Morocco and Kosovo.

Possible Adjustments to Plans: Conditions and developments in Indonesia will determine the timing of a rule of law effort in that country.

Other Donor Programs: The World Bank and other multilateral development banks have taken a gradually increasing role in large-scale investments, such as infrastructure development and major commercial law reforms. Other bilateral donors, such as Sweden, Norway, and Denmark emphasize human rights in their assistance. The World Bank is developing a strategic design model, and has proposed cooperation with USAID in its development. It is left to USAID,

however, to take the leading role in developing a strategic design framework for rule of law assistance that links that assistance to democratic consolidation.

Principal Contractors, Grantees or Agencies: Amex International, Chemonics International, National Center for State Courts, International Development Law Institute, International Foundation for Election Systems, International Human Rights Law Group, Freedom House, National Democratic Institute, American Bar Association (CEELI), the Judicial Conference of the U.S. Courts, and the U.S. Department of Justice.

Selected Performance Indicators:	Baseline*	Target (FY 2001)
Countries Improve Administration of Courts	14	South Africa, Rwanda, West Bank/Gaza, Morocco, Mongolia, Laos, Kosovo, Nigeria, Colombia
Countries Expand Access to Legal Systems	18	South Africa, Rwanda, West Bank/Gaza, Morocco, Kosovo, Nigeria

*Defined as countries receiving USAID assistance toward performance indicated.

[U.S. Financing Table for 941-001](#) (Microsoft Excel Document - 17 kb)



The United States Agency for International Development

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ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Political processes, including elections, are competitive and more effectively reflect the will of an informed citizenry, 932-002

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$3,500,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$3,329,000 DA

INITIAL OBLIGATION: FY 1996; **ESTIMATED COMPLETION DATE:** FY 2002

Summary: About 10% of all FY 2001 appropriated funds requested by USAID for democracy and good governance promotion is likely to be expended in support of elections and political processes. The purpose of this program is to strengthen USAID programming and reinforce field-based efforts in this area.

USAID, through the Global Bureau's Center for Democracy and Governance (G/DG) assists efforts for the administration of elections in an impartial and professional manner; trains local organizations to monitor elections and educate voters about their rights and responsibilities; provides assistance to improve citizen representation within political parties; and trains newly elected legislators and local officials. The focus of USAID efforts is increasingly on institutionalizing and sustaining democratic electoral and political processes.

Key Results: The primary vehicle for the delivery of central programs' assistance in elections and political processes is the Cooperative Agreement with the Consortium for Elections and Political Processes Strengthening (CEPPS). Consortium partners [National Democratic Institute for International Affairs (NDI), International Republican Institute (IRI) and International Foundation for Electoral Systems (IFES)] have been engaged in the following country activities:

- In Bosnia, USAID support mobilized the first domestic, multi-ethnic NGO election monitoring effort.
- In Cote D'Ivoire and Peru, pre-election assessments highlighted flawed electoral processes and less than democratic environments under which elections were to be held.
- In Croatia, democratic opposition political parties received technical assistance and training in public opinion analysis, message development, communications strategies, and coalition building.
- In Indonesia, citizen confidence in pivotal parliamentary elections was achieved through organization of an international observation mission and issuance of impartial reports on the process.
- In Kosovo, a stalled election process was revived through development of an election implementation plan. USAID's quick-response mechanisms enabled immediate deployment of political party trainers and assistance following the conflict.
- USAID support for NDI's Latin American Political Leadership Academy has bolstered young leaders in Mexico, Guatemala, Venezuela, and Paraguay, thereby enabling democratic renewal within political parties.
- For Nigeria's breakthrough elections this year, USAID provided quick-response assistance to the Independent National Electoral Commission to carry out elections. USAID also supported the deployment of international election observation missions as part of a multi-donor effort that significantly enhanced electoral transparency, government accountability and Nigerian consensus on the elections' outcome.
- In the Caribbean, Central and Eastern Europe, Asia and Africa, USAID is fostering associations of election authorities and officials as a way of networking and building intra-regional cooperation to promote and sustain effective election administration beyond USAID assistance.

- In conjunction with the United Nations and the International Institute for Electoral and Democracy Assistance (IDEA), USAID has supported IFES' development of the Administration and Cost of Elections (ACE) guide, an electronic publication created to provide comprehensive and systematic information on the range of choices available to election professionals and NGOs involved in organizing elections.
- Technical leadership provided by G/DG included the publication of political party development assistance guidance, and a soon-to-be released manual on managing elections and political process assistance programs.

Performance and Prospects: While the mechanics of elections have become increasingly routinized in much of the developing world and Europe and Eurasia, truly competitive elections with broad-based participation continue to elude many countries. Even a legitimate electoral process does not guarantee that elected leaders will govern democratically or effectively. Political parties often lack capacity to truly aggregate political interests in meaningful ways that stimulate electoral competition.

Possible Adjustment to Plans: USAID anticipates significant political party building, civic and voter participation, election administration and oversight activities in FY 2001. Increasingly, activities under this objective include assessments of prospects for developing competitive and inclusive democratic political processes.

Other Donor Programs: The Organization for Security and Cooperation in Europe, the United Nations (UN) and other multilateral organizations tend to provide large-scale electoral assistance on a selective basis. USAID targets electoral support in cooperation with the UN, IDEA or other donors. The National Endowment for Democracy and its core grantees complement long-term USAID programs with grassroots civic education, political party training and legislative strengthening in countries where USAID is not active or in urgent situations where it can more appropriately provide assistance.

Principal Contractors, Grantees or Agencies: A Cooperative Agreement with the Consortium for Elections and Political Processes Strengthening (members are: IRI, NDI and IFES; and, indefinite quantity contracts with IFES and Development Associates.

Selected Performance Indicators:	Baseline*	Target (FY 2001)
Increased citizen participation and confidence in electoral and political processes	17	Mexico, Venezuela, Dominican Republic, Nicaragua, Bosnia, Indonesia, Nigeria, Zimbabwe
Political parties and elected officials increasingly responsive to citizen concerns, and follow democratic rules and procedures	15	Kosovo, Mexico, Venezuela, Dominican Republic, Nicaragua, Peru, Indonesia, Nigeria, South Africa
Countries develop effective and independent electoral commissions	7	Kosovo, Indonesia, Nigeria

*Defined as countries currently receiving USAID assistance toward performance indicated.

[U.S. Financing Table for 932-002](#) (Microsoft Excel Document - 28 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Informed citizens' groups effectively contribute to more responsive government, 932-003

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$7,468,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$5,000,000 DA

INITIAL OBLIGATION: FY 1996; **ESTIMATED COMPLETION DATE:** FY 2002

Summary: Slightly more than one-third all appropriated resources requested by USAID for democracy and good governance promotion is likely to be expended in support of civil society programs. Of the total amount, \$5 million is proposed for allocation to this central program which is designed to identify, develop, evaluate and disseminate new and improved cost-effective methodologies for supporting civil society. The Global Center for Democracy and Governance (G/DG) program addresses the legal and regulatory environment for non-governmental organizations (NGOs) and the media; institutional capacity building; effective advocacy techniques; and strengthening of democratic political culture through education of citizens on rights and responsibilities in a democracy

Key Results: Effective citizen-led demand for political liberalization, as seen most recently in Mexico, Indonesia, Kenya and Nigeria, is an intended result of the civil society program.

In the Democratic Republic of Congo, struggling Congolese civil society organizations have been supported with access to information, training, and international networks through an independent resource center.

USAID's program with the American Center for International Labor Solidarity (the Solidarity Center) bolstered the active participation of civil society in Indonesia's first democratic election in 44 years. Labor organizations played a crucial role in educating the general populace on electoral processes and voter rights, training and mobilizing more than 600,000 volunteers to monitor polls on election day, utilizing the mass media to raise awareness, and encouraging public participation in the formulation of new legislation.

In Russia, a legal aid program managed by G/DG assisted workers and achieved an important legal precedent that a higher court may overturn a regional court's ruling on "administrative responsibility," the rubric under which violations of collective bargaining are often considered.

In the Americas, USAID partner organizations have been instrumental in defining the agenda for merging trade discussions, and in creating an understanding of the relationship between core labor standards and democratic economic development.

Performance and Prospects: With regard to media development, G/DG's grant to the Nation's Institute supports a study of the legal and structural enabling environment necessary for the development of a free and independent media sector in transitional societies. A network of media development experts from developing countries and a set of comparative studies are the foundation for a practitioner's handbook, to be translated into several languages, for improving the legal enabling environment for independent media in transitional societies.

In its third year of a five-year grant to the Solidarity Center, USAID continues to support unions as an integral component of civil society in securing political reforms, advancing democratic processes, and securing and maintaining representative and transparent systems of governance. Recent grants to the Fair Labor Association and the International Labor Rights

Fund are closely related and coordinated under a goal of improving working conditions and protecting worker rights in developing countries.

Possible Adjustment to Plans: Increasing emphasis is likely to be placed on building and broadening coalitions among civil society organizations to define common agendas and draw in sectors of civil society that frequently have not been involved in such alliances. More attention will be directed at encouraging the participation of labor unions and professional associations in reform coalitions.

A number of program guidance papers will be completed soon on various aspects of civil society assistance programming. These include topics of civic education, civil society advocacy campaigns, and labor as a component of democracy and broad-based economic growth strategies.

Subject to the availability of funds, G/DG expects to award a new agreement for the purpose of strengthening CSOs and other elements of civil society pressing for reform or seeking to initiate, consolidate, and preserve the transition and sustainability of democratic governance. These agreements will support USAID's objective of increasing development of a politically active civil society by empowering groups of individuals, fostering citizen participation in government, promoting governmental transparency and accountability, and protecting individual and groups' rights. They will complement existing mechanisms by providing capabilities to respond rapidly to short-term requirements while addressing a wide variety of longer-term needs through initiatives aimed at furthering the state of the art in capacitating civil society organizations.

Other Donor Programs: Many donors support civil society activities, including major foundations such as the Ford Foundation and the Asia Foundation. The German Frederick Ebert Stiftung supports labor union development.

Principal Contractors, Grantees or Agencies: The Solidarity Center, the International Labor Rights Fund, and the Fair Labor Association are the principal partners in the labor area. The Nation's Institute is the partner for media development. Two new contracts will be awarded soon, as will a major new Cooperative Agreement. The purpose of the new Agreement is to institutionalize arrangements with one or more partner organizations at the central level to build capacity within the partnering organization and to facilitate mission access to leading organizations with experience in building and supporting civic advocacy organizations.

Selected Performance Indicators: Baseline*

Labor unions become more democratic and effective advocates	20
Civil society groups become more representative and more effective advocates	25

Target (FY 2000)

Algeria, Angola, Ghana, Ecuador, Nigeria, Paraguay, Croatia
Bolivia, San Salvador, Mozambique, Bangladesh

*Defined as countries currently receiving USAID assistance toward performance indicated.

[U.S. Financing Table for 932-003](#) (Microsoft Excel Document - 28 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: National and local government institutions more openly and effectively perform public responsibilities, 932-004

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$1,500,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$2,700,000 DA

INITIAL OBLIGATION: FY 1996; **ESTIMATED COMPLETION DATE:** FY 2002

Summary: Approximately one-third of all appropriated resources requested by USAID for good governance promotion will be expended in support of governance programs. Of the total amount, \$2.7 million is proposed for allocation to central programs for technical leadership, field support and management of global programs specific to good governance. The purpose of this centrally-managed program in Global's Center for Democracy and Governance (G/DG) is to strengthen strategic approaches for curbing corruption in government, strengthening legislative bodies, promoting decentralization and democratic local governance, enhancing civilian oversight of the military, and improving the management of policy reform.

Key Results:

- Corruption assessments have been conducted in Indonesia, the Philippines, Thailand, Lebanon, Morocco, Paraguay and Madagascar, enabling the design of programs to combat corruption in each of those countries.
- Transparency International (TI) is established as the world's leading NGO dedicated to the issues of corruption and integrity, and now has local chapters in over 70 countries. USAID-funded programs in Benin and Bulgaria have influenced national legislation, while in Colombia a broad range of organizations are coordinating to introduce incentives for greater transparency in government procurement.
- Newly elected legislators in Nigeria have received USAID-supported training.
- The Parliament of Uganda appears to have successfully expanded its power vis-à-vis other branches of government, and a professional, non-partisan parliamentary support system has been established.
- Strategic investment plans were prepared for two cities in Ukraine, enabling the cities to seek private sector funding.
- In Bulgaria, assistance has strengthened an organization that facilitates cooperation between municipalities and NGOs in community improvement activities.
- A multi-lingual (English, Spanish, and French) website on civilian-military relations has been accessed in its first months of existence by nearly 13,000 people from 53 countries.

Performance and Prospects: Corruption is increasingly recognized as a pervasive problem and a constraint to both democracy and economic growth. Attacking corruption has become a critical development issue. Decentralization of authority and economic liberalization are continuing trends that present a variety of challenges and make the building of a foundation for governmental accountability and integrity all the more urgent.

A handbook prepared to guide practitioners in anti-corruption activities continues to be in heavy demand from actors within and outside the U.S. Government. Similar guides on implementation of decentralization and legislative strengthening activities are forthcoming. Other plans include sponsorship of an international conference on legislative strengthening, support for regional and country-specific workshops on fighting corruption, and case studies related to

corruption and civilian oversight of the military.

Possible Adjustment to Plans: Better engagement of the business sector and local NGOs in fighting corruption is planned. G/DG funded and managed work with legislatures will increasingly involve approaches that emphasize knowledge, skills, and processes that support the democratic functioning of representative bodies and improve public access to legislators, parties, and legislative institutions as a whole. Agency programming, through G/DG, in civil-military relations will continue to promote a pluralism of knowledgeable opinions from both within and outside government to inform defense and security policymaking.

Other Donor Programs: Other donors involved in governance programming include the World Bank, the United Nations Development Program, and other international donors including Canada, the United Kingdom and the European Union.

Principal Contractors, Grantees or Agencies: Grantees include TI and the National Democratic Institute for International Affairs; contractors include the Research Foundation of the State University of New York/Albany, Research Triangle Institute, Casals and Associates, Development Alternatives, and Management Systems International.

Selected Performance Indicators: Baseline*		Target (FY 2000)
Governments articulate and sponsor anti-corruption measures	21	Nigeria, West Bank/Gaza, El Salvador
Local-level governments improve democratic processes	31	Haiti, Mali, West Bank/Gaza
Legislative bodies improve their effectiveness and accountability	30	Mozambique, Guatemala
Countries progress toward effective civilian control over the national military	2	Indonesia, Nigeria
Countries effectively manage policy implementation	14	Uganda, Bulgaria, Guatemala

*Defined as countries currently receiving USAID assistance toward performance indicated.

[U.S. Financing Table for 932-004](#) (Microsoft Excel Document - 28 kb)



The United States Agency for International Development

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Center for Economic Growth and Agriculture Development Summary Tables

[Program Summary](#)

[Work Force Data](#)

[Program/Sector Summary](#)

Program Summary

(In Thousands of Dollars)

Category	FY 1998 Actual	FY 1999 Actual	FY 2000 * Estimated	FY 2001 Request
Development Assistance	65,990	68,424	56,822	64,489
Development Fund for Africa	0	0	0	0
Child Survival & Disease Fund	250	2,000	0	0
Freedom Support Act Funds	0	0	0	0
SEED Act Funds	0	0	0	0
Economic Support funds	7,000	4,872	10,000	5,000
P.L. 480 Title II	0	0	0	0
P.L 480 Title III	0	0	0	0
Total Program Funds	73,240	75,296	66,822	69,489
Operating Expenses	200	209	209	209
Trust Funds	0	0	0	0
Total Operating Costs	200	209	209	209

* Excludes \$13.5 million being transferred from the Africa, Asia Near East and Latin America Bureaus.

Work Force Data

Category	FY 1998 Actual	FY 1999 Actual	FY 2000 * Estimated	FY 2001 Request
OE Funded*				

U.S. Direct Hire	54	48	48	41
Other U.S. Citizen	0	0	0	0
FSN/TCN	0	0	0	0
Subtotal OE Funded	54	48	48	41
Program Funded*				
U.S. Citizen	24	22	24	24
FSN/TCN	0	0	0	0
Subtotal Program Funded	24	22	24	24
Other				
TAACS	0	0	0	0
Fellows	4	6	4	4
IDIs	0	0	0	0
Subtotal Other	4	6	4	4
Total Work Force	82	76	76	69

* Excludes Technical Advisors for AIDs and Child Survival (TAACS), Fellows, and International Development Interns (IDIs)

Program/Sector Summary

(In Thousands of Dollars)

USAID Strategic and Special Objectives	Economic Growth & Agriculture	Population & Health	Environment	Democracy	Human Capacity Development	Humanitarian Assistance	TOTALS
933-001 Improved access to financial and business development services, particularly to the microenterprise of the poor							
- DA	0	0	0	0	0	0	0
- DFA	0	0	0	0	0	0	0
- CSD	0	0	0	0	0	0	0
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0
933-002 Improved food availability, economic growth, and conservation of natural resources through agricultural development							
- DA	45,775	0	0	0	0	0	45,775
- DFA	0	0	0	0	0	0	0
- CSD	0	0	0	0	0	0	0
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0
933-003 Appropriate and functioning economic policies, market reforms, and institutions are developed to accelerate economic growth in emerging markets and priority countries							



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Improved access to financial and business development services, particularly to the microenterprises of the poor, 933-001

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$12,237,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$0

INITIAL OBLIGATION: FY 1995; **ESTIMATED COMPLETION DATE:** FY 2003

Summary: Central programs play a leading role in the Agency's implementation of the Microenterprise Initiative. The initiative is a critical element of USAID's broad-based economic growth strategy to help the poor increase their incomes, assets, skills and productivity through microenterprise development.

Most activities and funding for this objective since its inception in 1995 have been programmed through U.S. private voluntary organizations (PVOs) and local Microfinance Institutions (MFIs). The Implementation Grant Program has included 52 PVOs and nongovernmental organizations (NGOs) and programmed over \$65.3 million in 25 countries. The Program for Innovation in Microenterprise, a mission co-financing fund, approved over \$27.5 million for 28 USAID mission programs to benefit local NGOs, policy reform and appropriate government actions. MicroServe, a field support mechanism, has provided technical leadership to 15 USAID missions, while the Assessing the Impact of Microenterprise Services program initiated applied research work in a wide range of microenterprise programs. The Microenterprise Best Practice program has an ongoing research agenda that is pushing forward the frontier of microenterprise development. Additionally, the program has established an award-winning Internet web site for microenterprise development (www.mip.org) and provided 34 capacity building grants and 23 exchange visits to innovative local institutions.

By using Development Credit Authority (DCA), the Agency will continue to promote lending by private financial institutions to micro and small enterprises. The Agency uses a number of mechanisms to achieve these goals. The most commonly used is the loan portfolio guarantee mechanism which encourages banks and MFIs in partner countries to expand their small loan portfolio and to lend to strong local MFIs. A complementary training program provides skill development for small-scale lending. USAID's DCA is described in another section of this Congressional Presentation.

Key Results: Three key intermediate results are being achieved under this objective: (1) expansion in the delivery of financial and business development services for microentrepreneurs; (2) improved capability of financial and business development service institutions to strengthen microenterprises; and (3) dissemination of microenterprise best practices within USAID and to practitioners and donors active in the microenterprise sector.

Performance and Prospects: The results of the Agency-wide Microenterprise Initiative have been impressive. In FY 1998, a record number of 3.5 million poor clients had active loans from USAID-supported institutions. The loans were valued at \$1.3 billion. Eighty-three percent of active loans had an initial loan size below \$300 for the developing world and below \$1,000 for Europe and Eurasia (the Agency definition of poverty lending in E&E). Women make up 84% of the clients worldwide. Central programs have been critical to this success.

Possible Adjustments to Plans: Because of success to date in microcredit programs managed centrally, the FY 1999 target for the number of microloans was raised last year from 650,000 to 900,000 while FY 2000 targets were raised

from 700,000 to 950,000. Savings targets were increased by an even greater amount. FY 1999 targets for number of savers went from 750,000 to 1,900,000 with the FY 2000 level set at 1,950,000. These large increases reflect both the growth of on-going programs as well as the addition of new programs with a large number of existing savers. The Agency focus has largely been and will continue to be on microfinance, but microenterprise development also depends on the provision of business development services (BDS). A special round of the Implementation Grant Program was completed in FY 1999 solely for micro-business development services grants and BDS research activities were expanded. Central programs continue to lead practitioners and other donors in identifying best practices and performance targets for BDS.

Other Donor Programs: Supported by USAID's leadership, the microenterprise field is continuing to receive substantial attention from donors, international organizations and NGOs. Donors such as the Inter-American Development Bank, the World Bank, Japan, Great Britain, Canada, Australia, and the European Union are increasing their participation in microenterprise development. The Consultative Group to Assist the Poorest (CGAP), a multi-donor effort which USAID was instrumental in starting, now numbers 27 donors and has established a strong program of microenterprise development. USAID heads CGAP's working group on Impact Assessment and is in the lead to establish a donor working group to strengthen African programs. In line with the Africa: Seeds of Hope Act, the Agency is strengthening its program support for Africa, especially in underserved rural areas.

Principal Contractors, Grantees or Agencies: USAID implements the activity's components through private non-profit organizations, contractors, U.S. universities and host country, private NGOs. In FY 1998, 654 microenterprise development institutions had active funding agreements Agency-wide.

Selected Performance Measures:

	Baseline (1996)	Actual (1998)	Target (1999)	Target (2000)	Target (2001)
Number of active micro-loans (000)	364	887	900	950	1,000
Number of active savers (000) (compulsory and voluntary)	576	1,835	1,900	1,950	2,000

[U.S. Financing Table for 933-001](#) (Microsoft Excel Document - 27 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Improved food availability, economic growth and conservation of natural resources through agricultural development, 933-002

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$48,325,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$45,775,000 DA

INITIAL OBLIGATION: FY 1968; **ESTIMATED COMPLETION DATE:** FY 2003

Summary: Food security, a fundamental problem of the developing world, is dependent on both the overall availability of food supplies and income to purchase them. Further, agricultural development (increased productivity) is crucial to the sustainable development of most economies, and is inextricably related to the availability and wise, sustainable use of soil and water resources. This multi-faceted activity addresses this set of issues. Productivity gains in staple foods and associated employment expansion are the chief avenues for reducing rural poverty. USAID promotes technological and policy advances fostering economically and environmentally sustainable productivity growth and agribusiness development, in support of near- and longer-term global food security. USAID works with the International Agricultural Research Centers, U.S. universities and the U.S. private sector, in partnership with national programs, non-governmental organizations (NGOs) and the commercial sector, to generate solutions to the challenges facing agriculture in developing countries. Programs are organized in three objective areas: technology development, enterprise development/market access, and agricultural resource management.

Key Results: In terms of food production, for the developing nations as a whole, FY 1998 was a very good year, with total food production increasing by 3.0% over FY 1997. The increase in Africa (+4.8%) was unusually high. For Europe and Eurasia, data indicate a very substantial decrease (from FY 1997) of 11.4%. In crop production specifically, in Africa -- a region of particular concern for USAID -- the production of cereal crops, and roots and tubers increased significantly in FY 1998 (+ 6.3% and +9.6%, respectively).

In terms of per capita food production, trends in FY 1998 mirrored total food production and showed an overall increase of 1.6%. Gains were recorded in each region except in Europe and Eurasia.

Clearly, there will be considerable variation in food production from year to year due to weather, civil disorders, and other outside forces. More important are trends over time, and in these terms, food production in the developing nations as a whole is doing relatively well (compare the indexes for recent years with the base period of 1989-91 in the Performance Data Table, below). Yet, these gains can be easily reduced or offset by the steady growth in population, indicating that continued technology change in agriculture is necessary to generate needed productivity increases.

Performance and Prospects: USAID made substantial progress in developing and disseminating improved technologies and policies for the benefit of the poor and hungry. FY 1998 saw growing use by NGOs of improved crop varieties, developed with USAID support, in famine prevention and agricultural rehabilitation efforts in Africa, Latin America and Asia. In FY 2000 and 2001, major NGOs will continue to serve as USAID's partners for recovery in areas affected by hurricanes Mitch and Georges. USAID and its partners have developed new approaches that are being used by relief organizations to assess damage and strategically target vulnerable areas. Rapid progress is also expected in reaching the positive nutritional and health outcomes associated with improved diets; more than one-half of all early childhood deaths are related to underlying malnutrition. Building on major advances in 1998 (e.g., new high-iron rice

varieties, more productive fish farming systems, higher protein grains, etc.), USAID's FY 2001 programs will carry on this work, and will feature an initiative focussed on reaching hundreds of thousands of at-risk individuals with nutrition-improving, income-generating technologies. Sustainability of interventions will be enhanced by marketing and policy support.

Training, technical assistance and policy dialogue in trade, technology transfer and intellectual property rights, wherever possible in partnership with the private sector, are helping promote access to new technologies that contribute to food security and agricultural export potential. Through these activities, developing and transition economy countries are enhancing their understanding of the requirements for access to world markets under the World Trade Organization rules. Partnership with the U.S. cocoa industry on a sustainable cacao initiative is reinforcing USAID-funded small farmer assistance programs with favorable purchasing and marketing arrangements, free technical assistance and other support in Haiti, Indonesia and Peru.

Possible Adjustments to Plans: Emphasis on women's and children's food and nutrition security could lead to expanded health impacts in FY 2001. A new activity to be launched in FY 2000, Partnerships for Food Industry Development, will mobilize public and private sector expertise to add value as well as meet food safety and quality requirements for international trade.

Other Donor Programs: USAID will maintain its linkages with bilateral and multilateral donors in FY 2001. Key partners include the World Bank (in support of the international agricultural research network as well as its new poverty reduction emphasis), the EU (in addressing food security issues under the Transatlantic Agenda), IFAD and other multilateral organizations; bilateral cooperation with Japan (under the Common Agenda) will continue. Areas of particular emphasis include poverty reduction, impact monitoring assessments, and the monitoring of food insecurity and vulnerability. Agricultural trade issues will be increasingly emphasized in donor fora.

Principal Contractors, Grantees or Agencies: International Agricultural Research Centers, U.S. universities, U.S. Department of Agriculture, Abt Associates, Development Alternatives, Inc.

Selected Performance Measures: *

	Baseline (1997)	Actual (1998)	Target (1999)	Target (2000)	Target (2001)
Food Availability: Per capita food production (1989-91=100)	116.8	118.7	119.3	120.5	121.5
Food Access: Percent countries with declining FAI* (*FAI: Food Affordability Index= Percent of income spent on food; most recent data (57 countries) used to estimate current year.)		77		82.0	
Natural Resources Conserved: Measure of agroecosystem "greenness" (greenness=NDVI: Normalized Different Vegetative Index) controlled for climate using time series data (1998=100).		100		101.0	

*USAID programs address food insecurity in developing countries; these performance measures track the supply, demand and sustainability dimensions of food security in these countries. The most recent available data on food access dates is for FY 1998, and the index itself is undergoing further refinement. The "greenness" index is similarly undergoing further refinement.



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Appropriate and functioning economic policies, market reforms and institutions are developed to accelerate economic growth in emerging markets and priority countries, 933-003

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$930,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$10,214,000 DA

INITIAL OBLIGATION: FY 1995; **ESTIMATED COMPLETION DATE:** FY 2003

Summary: USAID has long held a leadership role in shaping the technical agenda for economic assistance and in providing short and long-term, in-country technical assistance. USAID's assistance, while comparatively small in dollar terms vis-a-vis to the investments made by multilateral development institutions, has been the catalyst for much larger programs and has complemented loan programs of the World Bank and others. Central programs support the development of a technical leadership agenda and provide both analytical support and technical assistance in five functional areas: (1) economic policy; (2) privatization; (3) general business, trade and investment; (4) legal and institutional reform; and (5) financial sector reforms. In September 1995, a major new program mechanism ("SEGIR") was authorized to support the development and implementation of appropriate economic policies, competitive markets and supporting market institutions in developing countries. The program was designed to improve the efficiency and competitiveness of national and local economies, expand access to economic opportunities, and increase integration of USAID-assisted countries into a rapidly globalizing economy. Approximately 60 countries in all regions have benefited from this program to date. Completed analysis and research have been incorporated into host country planning processes and implementation strategies have been developed and adopted.

Key Results: The key results anticipated from this program include: (1) increased host country adoption and implementation of sound macro and sectoral economic policies; (2) further reform of market-supporting institutions; and (3) the creation of a local environment which is favorable to fostering global competition. Because the scale of activity is, however, largely dependent on regional bureau and mission funding, it is difficult to attribute these results solely to activities funded by central programs.

Performance and Prospects: Performance exceeded plans in almost every category. For example, in the 15-country sample used to track economic performance, access to and use of the modern financial system has increased, government fiscal policy has improved, and country participation in world trade has increased. Technical reviews indicated great satisfaction with the services of the central program, especially considering the continuing reduction in resources available for this objective.

Possible Adjustments to Plans: The Agency's commitment to support developing countries' capacities to accede to the World Trade Organization (WTO), comply with its rules, compete successfully in the global economy, and, in general, benefit from expanded global trade may require an expanded central role in the trade policy and capacity-building areas.

Other Donor Programs: The International Finance Corporation is participating in USAID's Investor Roadmap activity, funding a substantial portion of business environment mapping work being carried out in several developing countries. Coordination on substantive areas such as privatization and financial sector reform is on a continuous basis with multilaterals such as the World Bank, Asian Development Bank, Inter-American Development Bank, and others. Coordination with the European Union on economic growth issues is excellent and growing stronger.

Principal Contractors, Grantees, or Agencies: Some 30 prime contractors and nearly 250 subcontractors and resource groups participate in the SEGIR program. Analytical support is also provided by Harvard's Institute for International Development. An agreement is in place with the Financial Services Volunteer Corps to provide a rapid response mechanism for financial and legal assistance. An Inter-Agency Agreement with the U.S. Securities and Exchange Commission provides specialized assistance to USAID's capital markets development programs.

Selected Performance Measures: *

	Baseline** 1995	Actual Result FY'97	Planned Result FY'00	Target FY'01
Reduced government subsidies to state-owned enterprises as a % of government spending:	5.0	3.8	2.5	2.2
Increased financial deepening (M2) as a % of GDP:	39.0	42.0	45.0	46.0
Greater trade openness (exports + imports) as a % of GDP:	60.0	61.0	67.0	69.0

*Several key results indicators help to assess and track the program's effectiveness. Three of those indicators are presented above. Selected country composites from 15 USAID-assisted countries representing all regions have been compiled to provide a measure of progress across wide and complex technical areas.

**Baseline indicators were adjusted using the most updated figures available for the anchor year 1995 and were rounded off. The availability of these data lag by 12-24 months and are subject to change because of frequent revisions to National Income Accounts of countries and changes to the World Bank's Development Indicators, and the IMF's Government Financial Statistics.

[U.S. Financing Table for 933-003](#) (Microsoft Excel Document - 27 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Private sector business linkages support U.S. technology transfer in support of development objectives, 933-006

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$4,330,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$5,000,000 DA

INITIAL OBLIGATION: FY 1996; **ESTIMATED COMPLETION DATE:** FY 2003

Summary: Starting in 1996, USAID's central programs built a network that links businesses that can contribute to economic development in the sectors targeted by the Agency. Known as the Global Technology Network (GTN), as of the end of FY 1998, there were representatives in 17 countries to actively seek out companies that could significantly improve their business by partnering with a U.S. company or a company in certain other participating countries. The representatives prepare "leads" that are forwarded via the Internet to industry specialists who match the lead against a database of close to 2,000 American companies that have joined the Network. When good matches are identified, electronic notices are sent to the companies transmitting the leads. GTN personnel follow up on leads, when appropriate, to facilitate communication until a deal is struck or until it is abandoned. GTN also works in collaboration with 26 state trade development offices and with numerous federal agencies, including the Department of Commerce, the Export-Import Bank, Department of Agriculture, Small Business Administration, Environmental Protection Agency and Overseas Private Insurance Corporation.

Key Results: The results expected for FY 2001 include establishing two-way trade linkage agreements with 10 additional USAID countries as well as establishing two or three new regional programs, and working through host country ministries of trade and business associations. Trade lead identification and business facilitation will lead to more than \$100 million in completed transactions between U.S. and indigenous private sectors.

Performance and Prospects: In FY 1998, GTN facilitated more than 36 business deals with a value of at least \$78 million in 16 countries. These private sector deals included inter alia: limestone finishing and biological products in Brazil; x-ray equipment in Burkina Faso; de-ionization equipment, waste-to-energy conversion equipment, reverse electrolysis systems, and landfill systems in Mexico; computer mapping systems in Costa Rica; environmental training in Uruguay; food packaging in Cameroon; herb production and processing in Russia; farm supplies in Indonesia; pollution abatement consultancy, re-mediation of petroleum sludge, refractory coating, and diffuser membranes in India; sludge dehydrator system in Korea; air pollution equipment and lab services in Hong Kong; and a tire shredder in Singapore. To build a more robust GTN, the focus has been on refining GTN electronic data systems for follow up and tracking. GTN is also establishing additional state trade memoranda of understanding, expanding working relationships with the U.S. Department of Commerce; and providing training on the use of GTN for personnel in the U.S. Export Assistance Centers.

Plans for further building GTN in FY 2001 include fine-tuning procedures and incentives within the system; improving customer relations and obtaining increased business in all sectors. GTN anticipates building new regional networks to promote trade within the Balkan countries and within a sub-region of South East Asia; generating revenue on a pilot basis in Latin America and in Tunisia, and procuring technical services through the current end of the life of the activity.

Possible Adjustments to Plans: None anticipated.

Other Donor Programs: There is no direct collaboration between GTN and other donor programs.

Principal Contractors, Grantees or Agencies: International Executive Service Corps, DevTech Systems, Inc., The Kenan Foundation, and EnterpriseWorks Worldwide.

Selected Performance Measures:

	Baseline (1997)	Actual (1998)	Target (1999)	Target (2000)	Target (2001)
Completed transactions (number)	26	36	20	25	30
Completed transactions (\$ millions)	11	78	75	80	85

[U.S. Financing Table for 933-006](#) (Microsoft Excel Document - 27 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Increased science and technology cooperation among Middle Eastern and developing countries, and utilization of U.S. and Israeli technical expertise by developing countries, 933-007

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$4,500,000 DA; \$10,000,000 ESF

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$3,500,000 DA; \$5,000,000 ESF

INITIAL OBLIGATION: FY 1979; **ESTIMATED COMPLETION DATE:** FY 2003

Summary: This objective fosters continued cooperation between Israel and other Middle Eastern countries in the application of science and technology to address shared development goals in the Middle East. It utilizes unique Israeli scientific and technical expertise in addressing development problems in Africa, Latin America, Asia, and the Central Asian Republics. The ultimate beneficiaries are the people of the Middle East and of the developing world whose security and living standards are improved.

There are three component activities under this objective. The U.S.-Israel Cooperative Development Research Program (CDR) funds collaborative research proposals of \$200,000 or less and up to five years in length. CDR grants are awarded on a competitive, peer-reviewed basis, and the proposals are developed jointly by scientists from Israel and their counterparts in developing countries to address technical problems relevant to the developing partner. The Middle East Regional Cooperation Program (MERC) awards competitive grants for collaborative research involving Israel and one or more other Middle Eastern partners. The funding ceiling for MERC is \$3,000,000 over five years. U.S. universities and research institutions are also partners on a number of the CDR and MERC grants. The U.S.-Israel Cooperative Development Program (CDP) provides U.S. funds to support the activities of MASHAV, the development assistance unit of the Ministry of Foreign Affairs of the Government of Israel. The CDP/MASHAV program provides training in a wide variety of topics for people from developing countries, both in Israel and in their home countries. The program also builds and operates Israeli demonstration farms in developing countries, and provides Israeli technical assistance in those countries.

Key Results: There have been many research results to date, including advances in saline and dry lands agriculture, improved agricultural water management technology, improved biopesticides, and increased understanding of emerging tropical diseases and threats to the environment. Progress toward the political goal of support for the peace process has been exhibited by the increase in direct communication, travel, and information exchanges between researchers in the Middle East. The political goal of diplomatic and commercial acceptance of Israel throughout the developing countries of Africa, Latin America, and Asia, and Central Asia, has been achieved.

Performance and Prospects: USAID has catalyzed cooperation that otherwise would not have occurred, and United States involvement has enabled Israeli collaboration in countries otherwise closed to Israel.

Four key intermediate results measure success of the objective: (1) increasing the level of direct cooperation on funded grants, as measured by the number of jointly authored publications in professional technical journals; (2) increasing the number of direct exchanges of scientists and students among Middle Eastern countries and from developing countries (e.g., training visits by students and junior scientists, and joint workshops held in the Middle East); (3) sustaining the number of technical assistance consultancies requested and filled, as U.S. core funding to CDP is reduced; and (4) increasing the number of people from other Middle Eastern countries in the MASHAV training programs.

The effectiveness of these programs, particularly MERC, is dependent upon the political track of the peace process, as well as the willingness of participants to engage in cooperation in the face of these concerns.

Possible Adjustments to Plans: With the acceptance of the State of Israel throughout most of the developing world, the original goals of the centrally funded CDP have been achieved, and, therefore, USAID and MASHAV are implementing a transition to a new partnership. It will be based at the country level, with potential joint ventures identified by MASHAV and individual field missions and considered for U.S. funding as they fit within the USAID objectives for each country. No significant changes are anticipated in the objectives of the CDR and MERC Programs.

Other Donor Programs: The Government of Israel, which manages the CDP, contributes one-third of the funding for that program. CDR and MERC projects receive matching funds, at varying levels, from Israeli and collaborating Arab and developing country research institutions and U.S. partners, such as the University of Michigan, Texas A&M University, Harvard University, San Jose State University, the U.S. Geological Survey, and the National Institutes of Health.

Principal Contractors, Grantees or Agencies: The Government of Israel's Ministry of Foreign Affairs administers CDP as part of its own foreign assistance portfolio. CDR and MERC grants are awarded to Israeli and U.S. research institutions, which, in turn, make subgrants to their collaborating partner institutions. The U.S. National Academy of Sciences assists USAID in the peer review of proposals for CDR and MERC, as well as in the monitoring of technical performance reports.

Selected Performance Measures:	Baseline (1997)	Actual (1998)	Target (1999)	Target (2000)	Target (2001)
Joint publications in technical journals	32	34	40	45	50
Exchanges of scientists and students (training visits, on-site workshops, etc.) per active grant per year	1.8	1.6	2	2.2	2.5
Technical assistance consultancies	78	102	100	100	100
Trainees from other Middle East countries (total MASHAV program)	601	1032	1100	1200	1300

[U.S. Financing Table for 933-007](#) (Microsoft Excel Document - 27 kb)



The United States Agency for International Development

Budget Justification FY 2001

Center for Environment Summary Tables

[Program Summary](#)

[Work Force Data](#)

[Program/Sector Summary](#)

Program Summary

(In Thousands of Dollars)

Category	FY 1998 Actual	FY 1999 Actual	FY 2000 Estimated	FY 2001 Request
Development Assistance	29,732	29,288	31,246	60,204
Development Fund for Africa	0	0	0	0
Child Survival & Disease Fund	0	0	0	0
Freedom Support Act Funds	0	0	0	0
SEED Act Funds	0	0	0	0
Economic Support funds	0	0	0	0
P.L. 480 Title II	0	0	0	0
P.L 480 Title III	0	0	0	0
Total Program Funds	29,732	29,288	31,246	60,204
Operating Expenses	81	76	76	120
Environment Travel Fund	170	213	197	0
Trust Funds	0	0	0	0
Total Operating Costs	251	289	273	120

Work Force Data

Category	FY 1998 Actual	FY 1999 Actual	FY 2000 Estimated	FY 2001 Request
OE Funded*				

U.S. Direct Hire**	29	25	25	35
Other U.S. Citizen	0	0	0	0
FSN/TCN	0	0	0	0
Subtotal OE Funded	29	25	25	35
Program Funded*				
U.S. Citizen	17	22	23	25
FSN/TCN	0	0	0	0
Subtotal Program Funded	17	22	23	25
Other				
TAACS	0	0	0	0
Fellows	9	6	6	6
IDIs	0	0	0	0
Subtotal Other	9	6	6	6
Total Work Force	55	53	54	66

* Excludes Technical Advisors for AIDs and Child Survival (TAACS), Fellows, and International Development Interns (IDIs)

** The increase in FY 2001 reflects a shift of staff from Credit Administration Expense to OE and not an increase in overall bureau staffing.

Program/Sector Summary

(In Thousands of Dollars)

USAID Strategic and Special Objectives	Economic Growth & Agriculture	Population & Health	Environment	Democracy	Human Capacity Development	Humanitarian Assistance	TOTALS
934-001 Improved protection and sustainable use of natural resources, principally forests, biodiversity, coastal and freshwater ecosystems, and agricultural lands							
- DA	0	0	23,600	0	0	0	23,600
- DFA	0	0	0	0	0	0	0
- CSD	0	0	0	0	0	0	0
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0
934-002 Improved management of urbanization in targeted areas							
- DA	0	0	2,104	0	0	0	2,104
- DFA	0	0	0	0	0	0	0
- CSD	0	0	0	0	0	0	0
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0

934-003 Increased, environmentally sustainable energy production and use

- DA	0	0	29,500	0	0	0	29,500
- DFA	0	0	0	0	0	0	0
- CSD	0	0	0	0	0	0	0
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0

934-004 Reduced threat to sustainable development from global climate change

- DA	0	0	5,000	0	0	0	5,000
- DFA	0	0	0	0	0	0	0
- CSD	0	0	0	0	0	0	0
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0

Totals

- DA	0	0	60,204	0	0	0	60,204
- DFA	0	0	0	0	0	0	0
- CSD	0	0	0	0	0	0	0
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0
Center Total	0	0	60,204	0	0	0	60,204



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Improved protection and more sustainable use of natural resources, principally forests, biodiversity, coastal and freshwater ecosystems, and agricultural lands, 934-001; IR1.1 Effective Biodiversity Conservation and Management

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$6,000,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$13,000,000 DA

INITIAL OBLIGATION: FY 1999; **ESTIMATED COMPLETION DATE:** FY 2008

Summary: Global biological diversity, the living resources that compose it, and the ecological processes that sustain it, form the foundation for human life on this planet. Since 1987, USAID has supported the largest biodiversity program of any bilateral donor. It has helped more than 60 countries maintain the integrity of biologically diverse ecosystems of national and international value. USAID supports programs that conserve and better manage biologically important areas that enable the natural environment to continue to provide essential environmental, economic, and other benefits to humanity.

The biodiversity program managed by Global's Center for Environment (G/ENV) and its partners, working with host-country government agencies, nongovernmental organizations (NGOs), and other organizations, seek to improve the conservation and management of significant biodiversity sites worldwide. Activities include improving policies that affect biodiversity, strengthening individual and institutional capacity, increasing public awareness, and identifying biodiversity initiatives that help communities identify, value, and better manage natural resources under their control. The program also funds applied research to ensure that conservation funds are effectively channeled to local organizations to protect and sustainably manage the world's most important areas for biological diversity.

Local communities benefit by becoming more effective managers of their natural resources. Institutional strengthening and small grants to nongovernmental organizations improve their capacity and effectiveness in implementing conservation programs. Host country governments benefit as USAID strengthens their capacity to formulate and implement effective natural resource policies and programs. Both developed and developing countries benefit as biodiversity is conserved.

Key Results: G/ENV uses performance-monitoring indicators to more accurately track program performance. The first two higher-level indicators are: a) total area of biologically important habitat under improved management, and b) total area of biologically important habitat under effective management, meaning that habitat quality has been improved and the managing institution has demonstrated the ability to monitor and respond to threats and opportunities. Biologically important habitat includes terrestrial and marine habitat, natural forests and tree systems, watersheds and coastline, and agricultural lands. A third indicator tracks policy successes, defined as instances when programs supporting strengthened policy implementation have led to measurable improvements in the conservation of natural resources and improvements in habitat quality. These indicators reflect the overall Agency goal of improved conservation of biologically significant habitat.

Performance and Prospects: Achievements to date include conserving 861,000 hectares of biologically important habitat since FY 1996, with maintained or improved habitat quality and communities or institutions in place that have demonstrated an ability to monitor and respond to threats and opportunities. The number of sites being effectively

managed doubled from 30 sites in FY 1997 to 60 sites in FY 1998. In terms of area, the Philippines alone added 182,222 hectares, while Indonesia added 125,000 hectares. Ecosystem types of recently added areas vary greatly from the lowland tropical forests of Bolivia, to pampas grasslands of the Andean plateau, to coral reefs in the Philippines that contain some of the richest biological diversity in the world.

As planned, a new initiative to save the world's richest sources of biodiversity, the Global Conservation Program (GCP) has been launched and on-the-ground activities have commenced. Activities were selected which counter large-scale threats to biodiversity through eco-regional planning and trans-border cooperation. Partners have already begun to report their progress in accordance with the center's performance indicators. G/ENV is working with GCP partners to further explore and refine methods for results-oriented planning and monitoring.

Possible Adjustments to Plans: G/ENV expects to revise performance targets based on the Performance Monitoring Plan being developed with GCP partners. In addition, this activity is expected to run through FY 2008; the center will seek approval to extend the Strategic Plan accordingly.

Other Donor Programs: Donors supporting similar activities include the World Bank, the International Development Bank, the Global Environment Facility, and donor programs of the Canadian, Dutch, and German governments. The leading U.S. nongovernmental organizations involved in biodiversity conservation (e.g., World Wildlife Fund, the Nature Conservancy, Conservation International, and others) are program partners in the GCP. G/ENV also supports the Consultative Group on Biological Diversity, which is a consortium of 47 leading U.S. foundations whose purpose is to lend oversight and coherence to philanthropic spending on global biodiversity issues.

Principle Contractors, Grantees or Agencies: The GCP is an agreement with six NGOs. These are: The Nature Conservancy, Conservation International, World Wildlife Fund, African Wildlife Foundation, Enterprise Works Worldwide, and the Wildlife Conservation Society. The center also manages a separate agreement with Conservation International (the Biodiversity in Regional Development Program), and one with the National Fish and Wildlife Foundation (the Neotropical Migratory Bird Conservation Program). The biodiversity support program is an agreement with The Nature Conservancy, World Wildlife Fund, and World Resources Institute. G/ENV also manages an interagency agreement with the Department of the Interior and co-manages a biodiversity and forestry contract. Principal contractors are Associates in Rural Development, Inc. and Chemonics International, Inc.

Selected Performance Measures: The following are actual and target figures for the three programmatic indicators.

Intermediate Result 1.1 - Performance Indicator 1 Area of natural forest, tree systems, coastlines and other biologically important habitat brought under improved management (reported in hectares, cumulative total from year to year).

Year	1996	1997	1998	1999	2000	2001
Target	(baseline)	10,300,000	11,000,000	13,400,000	14,400,000	15,400,000
Actual	10,000,000	10,500,000	12,400,000			

Intermediate Result 1.1 - Performance Indicator 2 Area of natural forest, tree systems, coastlines and other biologically important habitat brought under effective management (reported in hectares, cumulative total from year to year). Note that effective management is a higher standard than improved management.

Year	1996	1997	1998	1999	2000	2001
Target	(baseline)	630,000	800,000	900,000	950,000	1,000,000
Actual	463,000	678,426	861,000			

Intermediate Result 1.1 - Performance Indicator 3 Number of policy successes (non-cumulative; new successes reported for the year).

Year	1996	1997	1998	1999	2000	2001
Target	(baseline)	10	10	10	7	7

Actual	18	10	10			
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[U.S. Financing Table for 934-001 IR 1.1](#) (Microsoft Excel Document - 28 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Improved protection and more sustainable use of natural resources, principally forests, biodiversity, coastal and freshwater ecosystems, and agricultural lands, 934-001; IR1.2, Improved Management of Natural Forest and Tree System

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$2,350,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$7,350,000 DA

INITIAL OBLIGATION: FY 1999; **ESTIMATED COMPLETION DATE:** FY 2008

Summary: Deforestation and forest degradation are major threats to biodiversity, the environment and sustainable development. Forest loss continues at an astounding rate; 30% of Asian and 18% of African and Latin American forests have been lost since 1960. The Asian Development Bank predicts that without substantial change in forest practices and policies, all the remaining natural forest of Asia will be eliminated within 40 years. Forests contribute to local, regional, and national economic growth and welfare through supplying resources, supporting employment, protecting watersheds, mitigating climate change, and sustaining biodiversity and agroecosystems. The forestry program complements other Agency environmental and sustainable development initiatives by mitigating the economic and social causes of deforestation by promoting sustainable management and use of forest resources.

The Global Center for Environment (G/ENV) works with other USAID operating units, partners and local communities and organizations to improve the management of forests and tree systems while enhancing the economic well-being of those who depend on those forests. The program emphasizes the analysis, design, demonstration, and dissemination of sustainable forest practices and techniques to: (a) reduce the damage of forest harvesting; (b) promote rehabilitation of degraded land; (c) increase community participation in forest and tree system management through devolution of authority to communities and facilitating local participation; (d) promote policy advances that lead to sustainable use of forests; and (e) establish integrated monitoring and assessment of forest resources to conserve biodiversity and improve forest health. Healthy forests store carbon that otherwise would be released into the atmosphere and contribute to global climate change.

Institutional strengthening and small grants to nongovernmental and community organizations improve local effectiveness in implementing conservation programs. Local communities benefit by becoming more effective managers of their natural resources. Host country governments at all levels benefit as USAID strengthens central and local capacity to formulate and implement sustainable natural resources policies and programs, ultimately facilitating democratization. Both developed and developing countries benefit as biodiversity is conserved and forests are sustained.

Key Results: G/ENV uses performance monitoring indicators to more accurately track program performance. The first two higher-level indicators are: a) total area of biologically important habitat under improved management, and b) total area of biologically important habitat under effective management (a higher standard than improved management). Biologically important habitat includes: terrestrial and marine habitat, natural forests and tree systems, watersheds and coastline, and agricultural lands. A third indicator tracks policy successes, defined as instances when programs supporting strengthened policy implementation have led to measurable improvements in the conservation of natural resources and improvements in habitat quality. These indicators relate directly to the Agency indicator of percent change in forested area, as a measure of environmental protection.

Performance and Prospects: Achievements in FY 1998 include coordinating responses or providing direct training and technical assistance to major fire events in southeast Asia, Mexico, Brazil, Central America and Russia; supporting research to determine the economic and environmental costs and benefits of improved forest management practices; and demonstrating and disseminating the results and impact of conservation farming and agroforestry practices to improve land management. The lessons learned and improved management techniques demonstrated in USAID project areas are expected to have a multiplier effect throughout surrounding areas, whose farmers and forest managers will profit from investments made by USAID in forest management research and application.

USAID, through a centrally managed interagency agreement with the U.S. Forest Service, continues to support technical assistance to national governments to better forecast and combat forest fires. The forestry program advances policies for reforestation and the sustainable harvest of forest resources. Anticipated successes in FY 1999 include the endorsement by the Indonesian government of a national reforestation strategy promoted by a USAID partner organization. FY 1998 saw continuing expansion in Asian countries of the number of community forestry groups achieving government recognition. In support of a broad U.S. government forestry initiative, the Secretariat for the President's Board of the Tropical Forest Conservation Act will be created, and located in G/ENV in FY 2000.

Possible Adjustments to Plans: G/ENV is expanding and re-designing the forestry program. The revised program will more closely link biodiversity with forestry activities and relate these to climate change, watershed management, and other cross-cutting issues; and will be carried out by a broad-based participatory process from February to September 2000. Steps include 1) identification of program principles; 2) consultation with stakeholders; 3) assessment of program status and needs; and 4) implementation, monitoring, and evaluation of the new plan. In addition, this activity is expected to run through FY 2008; the center will seek approval to extend the Strategic Plan accordingly.

Other Donor Programs: Other major donors active in sustainable forestry include the World Bank, the Global Environment Facility, the International Development Bank, the International Tropical Timber Organization, other U.S. agencies such as the U.S. Forest Service, and the leading nongovernmental organizations (World Wildlife Fund and Conservation International).

Principle Contractors, Grantees or Agencies: Much of the program is implemented through an inter-agency agreement with the U.S. Forest Service. The center also manages a field support mechanism with the U.S. Department of Agriculture Foreign Agricultural Service, through which USAID missions may obtain short-term technical assistance.

Selected Performance Measures: Due to possible lack of standardization in the data collection methodology, figures for actual results in FY 1997 and FY 1998 as well as targets for FY 1999-2001 are currently under review.

Intermediate Result 1.2 - Performance Indicator 1 Area of natural forest, tree systems, coastlines and other biologically important habitat brought under *improved* management (reported in hectares, cumulative total from year to year).

Year	1996	1997	1998	1999	2000	2001
Target	(baseline)	632,000	1,000,000	1,400,000	1,500,000	1,600,000
Actual	500,000	841,200	911,845			

Intermediate Result 1.2 - Performance Indicator 2

Area of natural forest, tree systems, coastlines and other biologically important habitat brought under effective management (reported in hectares, cumulative total from year to year). Note that effective management is a higher standard than improved management.

Year	1997	1998	1999	2000	2001
Target	(baseline)	60,600	62,500	63,000	63,500
Actual	59,200	59,400			

Intermediate Result 1.2 - Performance Indicator 3 Number of policy successes (non-cumulative; new successes reported for the year).

Year	1998	1999	2000	2001
Target	(baseline)	5	5	5
Actual	3			

[U.S. Financing Table for 934-001 IR 1.2](#) (Microsoft Excel Document - 27 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Improved protection and more sustainable use of natural resources, principally forests, biodiversity, coastal and freshwater ecosystems, and agricultural lands, 934-001; IR1.3 Environmental education and communication strategies, methods, and tools systematically applied in USAID-assisted countries

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$1,440,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCES: \$1,440,000 DA

INITIAL OBLIGATION: FY 1999; **ESTIMATED COMPLETION DATE:** FY 2008

Summary: Targeted education and communication programs increase public support and action for environmental programs and policies. USAID's role in this area is to strengthen the capacity of national- and local-level agencies, organizations, and community groups in the design and delivery of environmental education and communication (EE&C) programs to ensure popular support and needed changes in behaviors, practices, and attitudes relating to environmental issues.

The program promotes the systematic application of EE&C strategies, methods and tools in USAID-assisted countries to increase the reach and impact of USAID environment objectives and programs. Global's Center for Environment (G/ENV) works closely with counterparts to increase local capacity to design and deliver environmental education and communication programs, and draw on lessons learned from around the world to better reach target audiences. Technical assistance focuses on social marketing methodologies and extensive use of popular media, participatory approaches, and formal education to build public support for environmental programs and policies. Elements include detailed assessment of problems and target audiences; development of intervention-based communication and education concepts, messages, and strategies; pretesting and revision of intervention elements; demonstration and delivery; and monitoring, evaluation, and program revision.

Local communities benefit by becoming more aware of the benefits and value of their natural resources. Institutional strengthening and small grants to nongovernmental organizations (NGOs) improve their capacity and effectiveness in implementing conservation programs. Host country governments benefit as USAID strengthens their capacity to formulate and implement effective communication and education in support of natural resource policies and programs. Both developed and developing countries benefit as natural resources are conserved.

Key Results: One major indicator and five lower-level indicators are used to measure progress. The principal indicator is EE&C strategies, methods, and tools are systematically applied in USAID-assisted countries. The lower level results are: 1) improved capacity of agencies/NGOs to design and implement EE&C programs in key countries; 2) demonstrated use of popular participation as a key EE&C approach in environmental policy, formulation, and promotion; 3) demonstrated use of media as a key EE&C approach to increase frequency of exposure to environmental messages and issues; and 4) materials and information disseminated on EE&C strategies, methods, and tools.

Performance and Prospects: G/ENV and its partners work with a wide range of government and nongovernmental agencies and organizations in the development and implementation of EE&C programs. Host-country organizations have received assistance to implement national and regional media campaigns on water scarcity and water resources management in Central America and the Middle East; strengthened a governmental water communications unit in Egypt; produced video letters to communicate the environmental concerns of coastal communities to elected officials in

Tanzania; conducted national environmental awards programs for journalists in El Salvador; produced interpretive materials for national parks in Nicaragua; trained extension agents in effective community outreach techniques in Nepal and Central and South America; and developed environmental curriculums for public schools accompanied by training for teachers in Egypt, Nepal, Mali, and other countries. All of these activities raised public awareness of the value of natural resources which results in their protection and conservation.

G/ENV exceeded its targets in FY 1998 for number of service providers trained and number of agencies and institutions implementing EE&C strategies. Anticipated successes in FY 1999 include: strengthening water conservation campaigns in Egypt and elsewhere in the region to support the Middle East peace process; a multi-media communications strategy to promote greater awareness of the major functions and importance of the Panama Canal watershed; training for environmental journalists in Tanzania; and linking environmental education with community radio stations in Mali.

Based on a trend analysis of success to date, in the next ten years, G/ENV's program will serve at least 45 agencies, institutions, and NGOs in countries where EE&C strategies, methods, and tools have been tested and applied systematically in environment-related programs. Host-country agencies and NGOs will have an improved capacity to design and implement EE&C strategies, methods and tools. As individuals, communities, and governments gain increased awareness and knowledge of the value of natural resources from USAID-supported activities and other sources, they will more effectively and sustainably manage natural resources.

Possible Adjustments to Plans: Additional or revised performance measures may be required for monitoring and reporting on a new activity expected to become operational in FY 2000. In addition, this activity is expected to run through FY 2008; the center will seek approval to extend the Strategic Plan accordingly.

Other Donor Programs: The EE&C program collaborates with other donors and international organizations as opportunities arise. Examples include the Vice President's GLOBE program, the U.S. Department of State's Middle East Peace Initiative, and the Jane Goodall Foundation in Tanzania.

Principle Contractors, Grantees or Agencies: The principle contractor is The Academy for Educational Development.

Selected Performance Measures: The following are actual and target figures for selected indicators.

Intermediate Result 1.3 - Performance Indicator 1

Improved capacity of agencies/NGOs to design and implement EE&C programs in key countries.

Number of agencies, institutions, and NGOs where EE&C strategies, methods, and tools have been tested and applied systematically in environment-related programs.

Year	1996	1997	1998	1999	2000	2001
Target	(baseline)	23	34	41	45	45
Actual	17	24	36			

Intermediate Result 1.3.1 - Performance Indicator 1

Demonstrated use of popular participation as a key EE&C approach in environmental policy, formulation and promotion. Number of service providers receiving guided practice and training in the development and use of EE&C strategies, methods, and tools.

Year	1996	1997	1998	1999	2000	2001
Target	(baseline)	2,000	647*	2,265	2,500	2,750
Actual	5,781	2,916	3,728			

*Target was decreased in FY 1998 in anticipation of a lesser degree of participation of host government agencies and subsequently increased after the total for FY 1998 well exceeded expectations.

Performance Indicator 2

Number of trainees and service providers reporting changes in knowledge, skills, and attitudes toward EE&C in key countries.

Year	1998	1999	2000	2001
Target	(baseline)	900	1,000	1,000
Actual	1,362			

Intermediate Result 1.3.2 - Performance Indicator 1

Demonstrated use of popular participation as a key EE&C approach in environmental policy formulation and promotion. Index measures quality and effect of participation amongst stakeholders in policy interventions. (score out of 4.0).

Year	1998	1999	2000	2001
Target	(baseline)	4.0	4.0	4.0
Actual	3.8			

[U.S. Financing Table for 934-001 IR 1.3](#) (Microsoft Excel Document - 27 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Improved protection and more sustainable use of natural resources, principally forests, biodiversity, coastal and freshwater ecosystems, and agricultural lands, 934-001; IR 1.4 Increased Conservation and Sustainable Use of Coastal and Freshwater Resources

STATUS: Continuing.

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$1,810,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$1,810,000 DA

INITIAL OBLIGATION: FY 1999; **ESTIMATED COMPLETION DATE:** FY 2008

Summary: USAID programs support improved governance of coastal ecosystems, strengthened conservation and management of living aquatic resources, and integrated management of water resources across economic sectors, which all result in increased conservation and sustainable use of freshwater and coastal resources. USAID's strategic role is to develop and disseminate improved strategies, policies, concepts, and tools at local, national, and international levels.

The water program in Global's Center for Environment (G/ENV) works with other USAID operating units, partners, and local communities and organizations to increase conservation and sustainable use of coastal and freshwater resources. The program's focus on integrated water resources management (IWRM) now treats water in a more holistic manner, from rainfall on mountain ridges, through diverse elements of watersheds, and down to the coastal areas. Water affects, and is affected by, many of the other sectors in which the Agency works. This new program hopes to address water and related activities to take advantage of synergies and program linkages for more effective program implementation. The program encourages participatory, community-based field site activities, and the development and dissemination of improved strategies, policies, concepts, and tools at local, national, and international levels.

Local communities benefit by becoming more effective managers of their natural resources. Institutional strengthening and small grants to nongovernmental organizations (NGOs) improve their capacity and effectiveness in implementing conservation programs. Host country governments benefit as USAID strengthens their capacity to formulate and implement effective natural resource policies and programs. Both developed and developing countries benefit as coastal and freshwater resources are conserved.

Key Results: G/ENV uses performance monitoring indicators to more accurately track program performance. The first two higher-level indicators are: a) total area of biologically important habitat under improved management, and b) total area of biologically important habitat under effective management, meaning that habitat quality has been improved and the managing institution has demonstrated the ability to monitor and respond to threats and opportunities. Biologically important habitat includes terrestrial and marine habitat, natural forests and tree systems, watersheds and coastline, and agricultural lands. A third indicator tracks policy successes, defined as instances when programs supporting strengthened policy implementation have led to measurable improvements in the conservation of natural resources and improvements in habitat quality.

Performance and Prospects: Achievements to date in FY 1998 include conserving and promoting the sustainable use of 227,863 hectares of coastal and freshwater resource areas with maintained or improved environmental quality that are managed by communities or institutions that have demonstrated an ability to monitor and respond to threats and opportunities. G/ENV supported development of local, regional and national coastal management policies in Mexico, Indonesia, and Tanzania; promoted decentralized water resources management in Morocco, Jamaica, and El Salvador;

introduced low-impact tourism guidelines into private and public coastal development plans in Mexico; and helped create municipal and national marine reserves in Indonesia, the Philippines, and the Caribbean.

The center managed several mechanisms to achieve the intermediate result of increased conservation and sustainable use of coastal and freshwater resources. Under the Integrated Coastal Resources Management II agreement with the University of Rhode Island, a province-wide coastal resource management plan has been put in place in Lampung, Indonesia, covering 1.6 million hectares. This significant breakthrough in coastal resource management will account for a large part of the increase in area that G/ENV expects to report for FY 1999. Similar successes in coastal resource policy have been reported for areas in Tanzania and Mexico. Also as anticipated in FY 1998, USAID missions began to utilize the newly developed Integrated Water and Coastal Resources Management Contract.

Possible Adjustments to Plans: Following review of the G/ENV Strategic Plan, the center may add or refine indicators to measure program performance and set targets for FY 2000 and beyond. In addition, this activity is expected to run through FY 2008; the center will seek approval to extend the Strategic Plan accordingly.

Other Donor Programs: The major donors involved in water and coastal resource management are the World Bank and other multilateral banks, as well as the Global Water Partnership, the World Water Council, and the governments of Sweden, Canada, France, the Netherlands, and Japan. USAID has taken the lead in coordinating the work of the U.S. inter-agency group (including the U.S. Department of State, the National Oceanic and Atmospheric Administration, and the Environmental Protection Agency) working with the international community towards a World Water Vision.

Principle Contractors, Grantees or Agencies: This activity is implemented through an agreement in coastal resources management with the University of Rhode Island, an interagency agreement with the National Oceanic and Atmospheric Administration, and an Integrated Water and Coastal Resources Management contract with Development Alternatives, Inc., Associates in Rural Development, Inc., and Hagler Bailly Services, Inc.

Selected Performance Measures: The following are actual and target figures for the three programmatic indicators.

Intermediate Result 1.4 - Performance Indicator 1

Area of natural forest, tree systems, coastlines and other biologically important habitat brought under improved management (reported in hectares, cumulative total from year to year).

Year	1996	1997	1998	1999	2000	2001
Target	(baseline)	800,777	810,762	2,600,000*	2,600,000	2,600,000
Actual 725,400	800,777	894,196				

*Preliminary reports validate this adjusted target. See description of coastal resource management activities under Performance and Prospects. Intermediate Result 1.4 - Performance Indicator 2

Area of natural forest, tree systems, coastlines and other biologically important habitat brought under effective management (reported in hectares, cumulative total from year to year). Note that effective management is a higher standard than improved management.

Year	1997	1998	1999	2000	2001
Target	(baseline)	137,229	242,863	6,500,000*	6,500,000*
Actual	134,444	227,863			

*See discussion under Performance and Prospects, above, for more explanation of significantly raised targets Intermediate Result 1.4 - Performance Indicator 3

Number of policy successes (non-cumulative; new successes reported for the year).

Year	1997	1998	1999	2000	2001
Target	(baseline)	2	11	2	5
Actual	2	3			

[U.S. Financing Table for 934-001 IR 1.4](#) (Microsoft Excel Document - 27 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Improved management of urbanization in targeted areas, 934-002; IR 2.1 Expanded and equitable delivery of urban environmental services and shelter

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$120,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCES: \$1,052,000 DA

INITIAL OBLIGATION: FY 1999; **ESTIMATED COMPLETION DATE:** FY 2008

Summary: The Global Center for Environment's (G/ENV) urban activities under this objective contribute to the Agency's Strategic Goal: The World's Environment Protected for Long Term Sustainability. The purpose of IR 2.1 is to improve the living conditions of the urban poor by expanding the equitable delivery of urban environmental services and shelter. USAID provides technical assistance, training, and exchange of information (often in conjunction with credit facilities) that enable host countries to improve their ability to successfully manage the urbanization process. Residents of low-income urban neighborhoods, especially children whose chance of survival is enhanced through access to clean water and sanitation, are the direct beneficiaries of USAID urban activities.

Key Results: Program results are measured using a set of indices that track progress in expanding infrastructure and services to the urban poor. In addition, the program measures the number of households benefiting from improved urban environmental infrastructure and shelter solutions. Centrally managed urban programs have assisted local governments in establishing market-based mechanisms for financing urban environmental infrastructure and have promoted expanded private sector involvement in the financing of urban environmental services and shelter.

Performance and Prospects: USAID focuses its resources on the promotion of service and shelter expansion for the poor through two approaches. First, technical assistance, policy analysis, and training are provided to achieve advances in the following three areas: 1) policy and regulatory reform that advances access for the poor to urban services and shelter, 2) expansion of domestic financial resources for investment in urban services and shelter, and 3) expansion of the role for the private sector in urban environmental services and shelter development. In addition, IR 2.1 utilizes credit mechanisms to help USAID leverage private capital to directly impact the access of the urban poor to affordable basic shelter and environmental services through expanded shelter and service systems. These credit mechanisms allow the U.S. Government to share investment risks with host country investors willing to pioneer improved urban shelter and service delivery systems. All of the approaches are designed to maximize the impact possible through appropriate and equitable partnerships between the public and private sectors in urban environmental service delivery.

In FY 1998, 506,085 households benefited from improved infrastructure and shelter, compared with a target of 579,000. While 87% of the target was achieved, the shortfall represented the lower levels of loan disbursement than planned through the Urban and Environmental Credit Program. The target of 579,000 households was based on \$155 million in disbursements occurring; however, only \$83 million were disbursed during FY 1998. Lower levels of disbursements were due to a number of unforeseen factors. First, the Asian economic crisis delayed a planned disbursement in Indonesia. A planned disbursement in India was also delayed due to sanctions imposed by the U.S. government in response to nuclear testing in May 1998. Finally, an unexpected bank merger delayed a planned borrowing in South Africa.

However, IR 2.1 is expected to exceed its target in FY 1999, largely as a result of the surprisingly rapid economic

recovery experienced in Indonesia. The program expects to report in FY 1999 that 273,905 households benefited from improved infrastructure and shelter, of which nearly 200,000 were in Indonesia.

Other selected achievements include: 1) through the Financial Institutions Reform and Expansion (FIRE) Program in India, 30 municipalities have either received a credit rating for the first time or have started the process of being rated; and 2) in Morocco, the Urban Environmental Services Program helped build a partnership between public and private entities to quickly provide a design and financing approvals system for the first full-scale wastewater treatment plant, which is currently under construction.

Possible Adjustments to Plans: For the seventh time in as many years, this objective suffered cuts that significantly curtailed programs. The UE credit subsidy budget - which in the past has been a critical component of the Agency's credit mechanisms - has declined 93% from nearly \$22 million in FY 1993 to \$1.5 million in FY 1999. This decrease has had a drastic effect on the amount of private sector investment available to the developing world for shelter and services. G/ENV expects to revise targets for the number of households benefiting from improved urban infrastructure and shelter given the changing political and economic climates in which prior authorizations exist: India, Czech Republic, and Morocco. The ability of G/ENV to achieve the results under this objective is likely to continue to decline unless a higher level of resources is provided in FY 2000 and FY 2001. The program budget made available for this objective to deliver technical assistance and training decreased by nearly 50% from \$7 million in FY 1995 to \$4 million FY 1999. Assuming a reasonable level of funding, this activity is expected to run through FY 2008, and the center will seek approval to extend the Strategic Plan accordingly.

Other Donor Programs: USAID works closely with the World Bank and the regional development banks in Asia and Latin America to promote self-sustaining approaches to the provision of urban services and shelter. USAID also works with a large variety of host country, city-level government institutions, NGOs, and private organizations. Through this objective, G/ENV has helped develop the multi-donor "Cities Alliance" effort, spearheaded by the World Bank and UNCHS, to coordinate donor funds promoting the scaling up of slum upgrading programs.

Principal Contractors, Grantees or Agencies: Abt Associates, Community Consulting International (CCI), International City/County Management Association (ICMA), PLAN International, Planning and Development Collaborative, Inc. (PADCO), Research Triangle Institute (RTI), and Urban Institute.

Selected Performance Measures: All performance indicators for IR 2.1 are presented below.

Intermediate Result 2.1.1, Performance Indicator 1: Extent to which assisted countries have an integrated planning and policy framework in place that is used to guide the financing of urban infrastructure. [Index has a low value of one (1) and a high value of four (4)]. Number of countries benefiting is 8.

Year	1997	1998	1999	2000	2001
Target	Baseline	2.5	2.8	3.4	3.2
Actual	2.3	2.6			

Intermediate Result 2.1.1, Performance Indicator 2: Extent to which policy and regulatory regimes support infrastructure and shelter privatization in assisted countries. [Index has low value of one (1) and high value of four (4)] Number of countries benefiting is 7.

Year	1997	1998	1999	2000	2001
Target	Baseline	2.3	2.7	3.2	3.2
Actual	2.0	2.5			

Intermediate Result 2.1.1, Performance Indicator 3: Extent to which a range of appropriate financial instruments are available to municipalities for infrastructure and shelter finance. [Index has low value of one (1) and high value of four (4)]. Number of countries benefiting is 5.

Year	1997	1998	1999	2000	2001

Target	Baseline	2.5	2.9	3.1	3.3
Actual	1.9	2.7			

Intermediate Result 2.1.1, Performance Indicator 4: Extent to which the private financial sector has an expanded and appropriate role in the financing of urban services. [Index has low value of one (1) and high value of four (4)]. Number of countries benefiting is 7.

Year	1997	1998	1999	2000	2001
Target	Baseline	2.1	2.9	2.9	3.5
Actual	1.6	1.9			

Intermediate Result 2.1.2, Performance Indicator 1: Total number of households benefiting from improved urban environmental infrastructure and shelter solutions. Number of countries benefiting is 6.

Year	1997	1998	1999	2000	2001
Target	567,000	579,000	50,500	1,500*	1,500*
Actual	528,570	506,085			

* Preliminary revised targets; numbers do not reflect households that will benefit from anticipated credit disbursements in India (expected to occur FY 2002).

[U.S. Financing Table for 934-002 IR 2.1](#) (Microsoft Excel Document - 27 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Improved management of urbanization in targeted areas, 934-002; IR 2.2 More effective local governments

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$120,000

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$1,052,000

INITIAL OBLIGATION: FY 1999; **ESTIMATED COMPLETION DATE:** FY 2008

Summary: Sustainable urbanization is realized through management decisions that integrate environmental, social and economic concerns, especially in the allocation of public resources. In this era of decentralization and democratization, the quality and impact of these decisions largely depend on the institutional capacity of local and sub-national governments and their relationships with both central counterparts and civil society. Global's Center for Environment's (G/ENV) urban activities contribute to the Agency's Strategic Goal 5: *The World's Environment Protected for Long Term Sustainability*. The purpose of IR 2.2 is to improve the living conditions of the urban poor by making municipal governments more effective in their delivery of urban environmental services.

USAID provides technical assistance, training, and exchange of information that enable host countries to improve their ability to successfully manage the urbanization process. Program beneficiaries include residents of targeted municipalities who benefit from transparency and accountability of local governments. Additional benefits to these residents include improved municipal services that reduce incidence of disease, and improve health through supply of potable water and sanitation services.

Key Results: Results of this program are measured using a set of four indices (see below) that track cities' capacity in financial management and service delivery, as well as municipalities' degree of autonomy and accountability. In addition, the program measures the number of partnerships brokered between cities, metropolitan areas, county-level governments, or municipal associations through the Resource Cities partnership program. Technical assistance provided through these partnerships helped to achieve the promotion of best management practices by municipalities for financial management and cost-recovery programs, and the development of more efficient solid waste collection and disposal systems. The program has helped to improve management of urban services; enhance disaster mitigation through technical assistance on disaster preparedness, planning and response; and promote municipal associations both within host countries and between U.S. cities and other municipalities worldwide.

Performance and Prospects: Strategies in working with municipal governments include: 1) improving financial management by local governments to make management and investment decisions more effective and transparent; 2) improving local government institutional capacity to plan and deliver appropriate municipal services; 3) promoting transparency and reliability of intergovernmental transfers and revenue-sharing formulas for local public works; and 4) enhancing local government accountability by increasing public awareness, understanding, and participation in municipal budgetary planning, policy development, and delivery of urban services.

In each of these areas, IR 2.2 surpassed expected targets for FY 1998.

The Financial Management Index met or exceeded targets for all five indicators. Through the CLEAN-Urban Project, RUDO/Jakarta prepared integrated capital budgeting programs for four cities and three water authorities and worked

with them to analyze debt carrying capacity and improve capital budgeting procedures.

- The Local Government Capacity Index met or exceeded for all four indicators. In South Africa, RUDO/Pretoria helped establish the USAID-financed Municipal Infrastructure Investment Unit within the Development Bank of South Africa to assist local authorities in structuring infrastructure projects that can be taken to the private sector for funding.
- The Local Government Autonomy Index met or exceeded targets for all three indicators. In Central America, a number of policies and practices to enhance autonomy of municipalities were developed in a number of countries, and intergovernmental transfers through the national budget to municipalities were put in place in Costa Rica and remained steady in Guatemala.
- The Local Government Accountability Index met or exceeded targets for three indicators. In Indonesia, significant progress was made in organizing local communities to identify urban environmental priorities. For the first time, local officials and members of the community engaged in town hall meetings to discuss local urban environmental and financing issues.

In each of these areas, it is expected that IR 2.2 will again achieve its expected targets during FY 1999. Excerpts from preliminary performance monitoring reports include the following: 1) more than 500 local officials in South Africa have been trained in housing and municipal finance, municipal service partnerships, municipal management, and urban environment issues, and 2) in Poland, the Local Governance Partnership Program helped initiate task-based budgeting, which has been adopted in over 30 cities, with an expansion to another 50 underway. A model for this financial management tool, which is in high demand in non-targeted municipalities, has been standardized and is being broadly disseminated.

In addition, the growth of the Resource Cities partnership program to facilitate the delivery of technical assistance by U.S. local government officials to their overseas counterparts should exceed expectations. Already, IR 2.2 helped create six new partnerships in FY 1999, exceeding the target of two new partnerships, which should bring the program total to 37 partnerships worldwide. Following on the achievements of prior year efforts, these FY 1999 partnerships are expected to deliver technical assistance in local economic development, financial management, and urban environmental service delivery in five countries worldwide.

Possible Adjustments to Plans: The resources made available to this objective are nearly one-half of what they were five years ago. In FY 1995, program budget allowances were approximately \$7 million, compared to \$4 million received in FY 1999. Absent an increase in the planned budget, targets will have to be revised downward. This activity is expected to run through FY 2008; the center will seek approval to extend the Strategic Plan accordingly.

Other Donor Programs: USAID works closely with the World Bank, the Inter-American Development Bank, and other multilateral and bilateral donors. For instance, G/ENV provides technical assistance to the OECD Development Assistance Participatory Democracy and Good Governance activity for the development and implementation of workshops on decentralization in Latin America. These activities are designed to improve the capacity of local governments to manage urban service delivery more efficiently. The program also works closely with U.S. cities and municipal associations, host country local governments, and overseas local and regional organizations, such as the South Africa Local Government Association and the City Managers' Association of Gujarat in India. The program has helped develop the multi-donor "Cities Alliance" effort, spearheaded by the World Bank and UNCHS, to coordinate donor funds promoting the design and implementation of city development strategies.

Principal Contractors, Grantees or Agencies: Abt Associates, Community Consulting International (CCI), International City/County Management Association (ICMA), Planning and Development Collaborative, Inc. (PADCO), Research Triangle Institute (RTI), and Urban Institute.

Selected Performance Measures: All four sets of performance indicators for IR 2.2 are presented below.

Intermediate Result 2.2.1: *Financial management index* measures the extent to which urban residents benefit from the following conditions: a) municipalities and their citizens have independence in making investment decisions, b) systematic integrated capital budgeting systems are being used for investment planning, c) effective financial management practices, such as annual budgets and performance reporting, are being used, and d) effective and fair rate making accounting, cost recovery regimes, and financial reporting are being used. [Index has low value of one (1) and high value of four (4)]. Number of countries benefiting is 5.

Year	1997	1998	1999	2000	2001
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Target	Baseline	2.10	2.15	2.85	2.83
Actual	1.88	2.28			

Intermediate Result 2.2.2: *Improved local government capacity* index measures the extent to which urban residents benefit from the following conditions: a) local governments use best practices to improve technical capabilities, b) local governments' management of urban services is more efficient, c) municipalities have implemented disaster planning and disaster mitigation practices, and d) local government officials are trained in modern management practices. [Index has low value of one (1) and high value of four (4)]. Number of countries benefiting is 14.

Year	1997	1998	1999	2000	2001
Target	Baseline	1.78	2.55	2.85	2.90
Actual	1.50	2.10			

Intermediate Result 2.2.3: *Enhanced local government autonomy* index measures the extent to which urban residents benefit from the following conditions: a) intergovernmental transfers to local governments are predictable, reliable, and equitable, b) central/state policies, codes and practices are improved to facilitate municipal autonomy, and c) municipalities have access to stronger networks, information exchange systems, and professional organizations. [Index has low value of one (1) and high value of four (4)]. Number of countries benefiting is 7.

Year	1997	1998	1999	2000	2001
Target	Baseline	2.30	3.00	3.27	3.13
Actual	2.00	2.67			

Intermediate Result 2.2.4: *Improved local government accountability* index measures the extent to which urban residents benefit from the following conditions: a) citizens and NGOs are able to influence local governments on key urban environmental issues, b) budget and decision-making processes are transparent and open to the public, c) citizens have greater confidence in their local governments' capabilities, and d) more women and disenfranchised groups are represented in the decision making process. [Index has low value of one (1) and high value of four (4)]. Number of countries benefiting is 7.

Year	1997	1998	1999	2000	2001
Target	Baseline	1.97	2.35	2.65	2.63
Actual	1.90	2.13			



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Improved management of urbanization in targeted areas, 934-002; IR 2.3 Reduced Urban Pollution

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$106,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$0

INITIAL OBLIGATION: FY 1999; **ESTIMATED COMPLETION DATE:** FY 2008

Summary: Urban pollution threatens both the health and productivity of urban populations and natural ecosystems, which, in turn, undermines sustainable development. USAID urban activities contribute to the Agency's Strategic Goal 5: The World's Environment Protected for Long Term Sustainability. The purpose of IR 2.3 - reduced urban pollution - is to improve the living conditions of the urban poor through improved municipal pollution management. The Global Center for Environment (G/ENV) provides technical assistance, training, and exchange of information that enables host countries to improve their ability to successfully manage the urbanization process. Program beneficiaries are poor residents of targeted municipalities who are particularly vulnerable to urban pollution, such as industrial wastes, untreated sewage, and contaminated water supplies. Over the past five years, work has laid the conceptual foundation and strengthened the capacity of government officials, industry associations, and private companies to adopt pollution prevention as a practical and cost-effective alternative to end-of-pipe solutions for reducing urban pollution in more than eight countries in Latin America and Asia.

Key Results: The new focus of the reduced urban pollution program is to reduce greenhouse gas emissions and urban pollution through the application of environmental management systems (EMS), which will improve the health and productivity of urban populations and natural ecosystems. EMS is an approach to working with municipalities and industries to identify the most important pollution sources and address these in a planned and prioritized manner. Program performance is measured by the number of municipalities using an environmental management systems model to design, implement, and manage urban transportation, wastewater treatment, or water delivery systems.

Performance and Prospects: During FY 1998, G/ENV exceeded its target for reduced urban pollution. As part of the Environmental Pollution Prevention Program, which ended in FY 1998, 141 cleaner production policies and manufacturing processes were adopted by industrial facilities in Bolivia, Ecuador, Egypt, Indonesia, Jamaica, Mexico, Paraguay and Peru, compared with a target of 90.

For FY 1999, IR 2.3 is expected to exceed its targets for progress towards implementation of improved urban environmental management systems. The new Cities for Climate Protection Initiative for reducing greenhouse gas emissions should finish with higher results than expected. A program that helps municipal governments address local environmental problems, has assisted ten pilot cities in three countries - Morocco, the Philippines, and Mexico - conduct emissions inventories.

Possible Adjustments to Plans: Following a review of its strategic framework and performance monitoring plan, the center will change its measurement of impact on reduced urban pollution in FY 2000 from an index to the direct number of cities, industries, and financial institutions making progress on adopting environmental management systems, including greenhouse gas emissions. In addition, this activity is expected to run through FY 2008; the center will seek approval to extend the Strategic Plan accordingly.

Other Donor Programs: USAID works with host-country local governments and municipal associations. For example, G/ENV and the International Council for Local Environmental Initiatives (ICLEI), based in Canada, are each funding half the cost of the Cities for Climate Protection Initiative. In collaboration with cities in Mexico and the Philippines, the initiative funds joint projects that aim to reduce emissions of greenhouse gases. In addition, USAID and the National Association of State Development Agencies co-fund the Latin American Fund for the Environment, which provides matching grants to host countries for projects that address pollution prevention, energy efficiency, and industrial wastewater treatment.

Principal Contractors, Grantees or Agencies: Abt Associates, Community Consulting International (CCI), International City/County Management Association (ICMA), International Council for Local Environmental Initiatives (ICLEI), Planning and Development Collaborative, Inc. (PADCO), Research Triangle Institute (RTI), U.S. Environmental Protection Agency (EPA), and Urban Institute.

Selected Performance Measures:

Intermediate Result 2.3.2, Indicator 2a: Government and industries adopting P2/CP concepts as integral parts of environmental legislation and guidelines

Year	1996	1997	1998	1999
Target	132	400	90	*
Actual	298	260	141	

*This indicator is being replaced by the indicator below - to measure performance at the objective level.

Intermediate Result 2.3.2, Indicator 2b: Progress toward reducing greenhouse gas emissions. **

Year	1998	1999	2000	2001
Target	Baseline*	4*/Baseline**	14**	18**
Actual	0*	10*/10**		

* Refers to index valuation of progress towards implementation of improved urban environmental management systems (for each city, one point awarded for partners trained and methodology/materials developed, two points for policies adopted and impact monitoring implemented, four points for local implementation plan developed). FY 1999 is the last year this indicator will be measured by an index valuation.

** To more accurately reflect program results, this indicator will be revised to number of cities reporting progress in reducing greenhouse gas emissions. The baseline in FY 1999 is expected to be ten cities; indicator targets are cumulative.

[U.S. Financing Table for 934-002 IR 2.3](#) (Microsoft Excel Document - 27 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Increased, environmentally sustainable energy production and use, 934-003; IR 3.1 Increased Energy Efficiency

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$5,072,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$9,072,000 DA

INITIAL OBLIGATION: FY 1999; **ESTIMATED COMPLETION DATE:** FY 2008

Summary: This program benefits all segments of society. Environmentally sustainable energy generation and use is critical to economic development, poverty alleviation, and human health in urban and rural areas. Program beneficiaries include the urban and rural poor whose health and economic prospects are most at risk from the inefficient generation of energy; urban populations who benefit from decreased pollution; and rural and urban workers who benefit from increased economic growth, job creation, and improved industrial infrastructure that result from increased energy efficiency. A global environmental benefit is accrued from a decrease in the rate of growth in net greenhouse gas emissions.

The purpose of this Global Center for Environment (G/ENV) program is to conserve energy in USAID-assisted countries through activities designed to increase the efficiency of production and end-use. A key focus area for the program is to strengthen the in-country nongovernmental organization (NGO) capacity to implement energy efficiency projects such as enhancing energy efficient school lighting and shifting industrial energy use to off-peak hours. Work includes fostering the growth of local, private energy service companies and NGO energy efficiency centers. For example, in Ghana, actions include the launching of an energy efficiency foundation, the first non-profit organization devoted to promoting energy efficiency in West Africa. Other USAID energy efficiency activities include the initiation of training and technical assistance.

USAID energy efficiency activities contribute to several U.S. foreign policy priorities, providing benefits to the nation's economy, public health, national security, and environmental quality. USAID energy programs open new commercial opportunities for U.S. businesses to enter environmental and energy markets overseas, thereby creating U.S. jobs while helping developing countries accelerate economic growth in a sustainable manner.

Key Results: Eight performance monitoring indicators have been developed for this program. The primary intermediate result, Increased Energy Efficiency, is measured by megawatts saved through adopting energy efficient technologies, practices, and policies. Sub-intermediate results for energy efficiency are measured by: number of energy efficiency policies adopted and implemented; number of cases in which energy efficient technologies are adopted and implemented; percentage of companies within G/ENV-targeted industries utilizing energy efficient technologies; value of public and private investment leveraged by G/ENV; number of new energy service company projects in key countries; number of host country institutions adopting improved operating policies, practices, and technologies; and percentage of training alumni reporting use of training in their work. The performance indicators recognize that the expanding, yet limited, energy infrastructures of developing countries are particularly well positioned to make use of environmentally sustainable energy technologies. These countries can choose to pursue less carbon-intensive economic development and leapfrog-over the polluting, carbon-rich industrialization phase of developed countries.

Performance and Prospects: The energy efficiency program is designed to move countries towards adopting and

implementing the policies and institutional framework necessary to achieve lasting results in energy efficiency. Achievements in FY 1998 included leading an interagency team in Ghana to help the government design a plan to address that nation's short-term energy crisis. In addition, G/ENV prepared a report used to assist the government in instituting measures to restructure the sector to prevent further energy crises. Outside of Ghana, the program trained energy planners in demand side management and integrated resources planning in the Philippines, Mexico, and Brazil. Energy efficiency policies were promoted with the program's assistance in Guatemala, India, the Philippines, and Brazil. In India and Mexico, the program supported the development of energy efficiency standards resulting in the labeling of motors and appliances indicating the energy efficiency rating for consumers.

In FY 1998 as a result of program activities, 4.3 megawatts of new capacity were avoided. This accomplishment did not meet program targets, because IR 3.1 activities in FY 1997 and FY 1998 were focused on capacity building projects rather than on technology demonstration projects that generally yield higher megawatt offsets. In FY 1998 as a result of program activities, 21 host country institutions adopted improved operating policies, practices or technologies. This accomplishment far exceeded program targets, due to the emphasis on energy efficiency capacity building. In FY 1998, 4 energy efficient policies were adopted and implemented at the national or state level.

The program expects to foster the adoption and implementation of 35 national and state policies that promote energy efficiency. Technical assistance, technology transfer, and partnerships supported by the program are expected to leverage over \$145 million in commitments to energy efficiency enterprises by FY 2003. In addition, investment in the program should yield over 112 megawatts of energy saved. One megawatt can provide electric power to a community of about 5,000 residents in a developing country. Although the immediate payoff in megawatts-saved is not significant, the limited number of pilot projects in key industries supported by the program are expected to play a catalytic role, leveraging widespread, multi-megawatt investments in similar private sector projects.

Possible Adjustments to Plans: The Strategic Framework and the Performance Monitoring Plan are currently being reviewed to ensure that both are accurately capturing program results. In addition, this activity is expected to run through FY 2008; the center will seek approval to extend the Strategic Plan accordingly.

Other Donor Programs: Within the donor community, USAID works closely with lending institutions (World Bank, regional development banks, and private commercial banks) to improve access to long-term financing as well as with international organizations on technical assistance and information dissemination. Technical assistance, technology transfer, and partnerships supported by USAID have leveraged significant commitments to environmentally sustainable energy enterprises from other multilateral and bilateral donors. The program works closely with the foundation community including the Rockefeller Brothers Fund, the Honeywell Foundation, and the W. Alton Jones Foundation to leverage investments for capacity building in the area of municipal demand side management (India), energy efficiency program development (Mexico), and strengthening local energy efficiency trade associations (Ghana). The program also provides technical assistance to the World Bank and Inter-American Development Bank to improve access to long-term, small-scale financing for energy efficiency projects.

Principal Contractors, Grantees or Agencies: Primarily, the program cooperates with the Alliance to Save Energy and International Institute of Energy Conservation to implement program activities. In addition, G/ENV has agreements with Oak Ridge National Laboratory and Lawrence Berkeley National Laboratory. The program also implements energy activities in conjunction with Bechtel National, Inc., and periodically contracts with Institute of International Education, Academy for Educational Development and CORE International.

Selected Performance Indicators: Below are 3 of 8 energy efficiency performance indicators.

Intermediate Result 3.1 - Performance Indicator 1

Energy Saved by Adopting Energy Efficient Technologies, Practices, and Policies:
Measuring Increased Energy Efficiency
(Megawatts of new capacity avoided) --

Year	1996	1997	1998	1999	2000	2001
Target	Baseline	10	12	14	6*	6*
Actual	8	4	4.3**			

** Work in FY 1997 and FY 1998 were focused on lower megawatt, technology demonstration projects that did not produce the higher, targeted

results that were realized in earlier years. The program instead focused on institutional capacity building projects.

Intermediate Result 3.1.1 - Performance Indicator 1

Number of Energy Efficient Policies Adopted and Implemented:

Measuring Number of Energy Efficient Policies Adopted and Implemented

(Number of Policies) -

Year	1996	1997	1998	1999	2000	2001
Target	Baseline	5	5	5	5	5
Actual	5	5	4			

Intermediate Result 3.1.4 - Performance Indicator 1

Number of Host Country Institutions Adopting Improved Operating Policies, Practices, or Technologies:

Measuring Improved Decision Making and Management by Host-Country Institutions

(Number of utilities, government agencies, or businesses)--

Year	1996	1997	1998	1999	2000	2001
Target	Baseline	5	5	5	30*	30*
Actual	5	27**	21**			

** Work in FY 1997 and FY 1998 were focused on institutional capacity building projects that resulted in higher than anticipated results.

* Preliminary revised targets.

[U.S. Financing Table for 934-003 IR 3.1](#) (Microsoft Excel Document - 27 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Increased, environmentally sustainable energy production and use, 934-003; IR 3.2 Increased use of renewable energy resources

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$5,501,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$9,501,000 DA

INITIAL OBLIGATION: FY 1999; **ESTIMATED COMPLETION DATE:** FY 2008

Summary: This program benefits all segments of society. Environmentally sustainable energy generation from renewable sources improves economic development and helps alleviate poverty and improve human health in urban and rural areas. Renewable energy-based rural electrification programs bring electricity to the rural poor and create jobs. For example, more than 50,000 Mexicans have benefited from the 200 renewable energy installations supported by this program in cooperation with the local USAID mission.

The purpose of the program is to overcoming market and institutional barriers to encourage the more widespread adoption and use of renewable energy systems in USAID assisted countries. Global's Center for Environment (G/ENV) fosters the adoption and implementation of policy or regulatory changes that clarify or establish rights and incentives for renewables; mobilizes business entities to pursue renewable energy projects; leverages financial commitments to renewables; and catalyzes the establishment or strengthening of host-country, non-profit institutions for the explicit purpose of promoting renewables. The program will pay particular attention to moving beyond an emphasis on the provision of energy, in order to work with local communities to develop productive use applications such as irrigation pumping and processing agricultural commodities.

USAID renewable energy activities contribute to several U.S. foreign policy priorities, providing benefits to the nation's economy, public health, national security, and environmental quality. USAID energy programs open new commercial opportunities for U.S. businesses to enter environmental and energy markets overseas, thereby creating U.S. jobs while helping developing countries accelerate economic growth in a sustainable manner.

Key Results: Six performance monitoring indicators have been developed for this program. The primary, intermediate result - Increased Use of Renewable Energy - is measured by two performance indicators: newly installed capacity on-grid and newly installed systems off-grid. Sub-intermediate results for renewable energy are measured by: number of policies or regulations adopted and implemented that clearly favor renewable energy; number of businesses investing and joint ventures formed; dollar value of new financing made explicitly available for renewable energy projects; and number of host country institutions established and significantly strengthened to promote renewable energy. The performance indicators recognize that the expanding, yet limited, energy infrastructures of developing countries are particularly well positioned to make use of environmentally sustainable energy technologies. These countries can choose to pursue less carbon-intensive economic development and leapfrog-over the polluting, carbon-rich industrialization phase that developed countries experienced.

Performance and Prospects: Achievements for this program and its partners in FY 1998 include assisting the Government of Mexico develop the country's first comprehensive renewable energy program. The Mexico program supports technical assistance and pilot projects designed to increase the use of renewable energy technologies in six key sectors. To date, more than 40 renewable energy companies from the United States and Mexico have participated in the

program. In addition, a potential market of over \$1 billion for renewable energy applications has been identified. The program has also been working with the Philippines Department of Energy to design mechanisms to expand the potential for renewable energy initiatives and to help the World Bank design a new rural electrification loan. The program is a key part of the Central American Hurricane Mitch response effort and continues work with local nongovernmental organizations (NGOs) to meet the energy needs of rural populations without access to electricity.

As a result of activities in FY 1998, 93 megawatts of newly installed on-grid capacity were established as results of program activities, exceeding program targets. In addition, 10 policies that clearly favor renewable energy were adopted and implemented in assisted countries. This accomplishment significantly exceeded program targets, because activities were primarily focused on developing off-grid capacity: building the legal framework is the first stage in developing off-grid systems. Finally, \$483 million dollars in new financial commitments were made available for renewable energy projects in assisted countries. This accomplishment also far exceeded program targets.

For a life of project investment of approximately \$63 million, the Agency will achieve a substantial increase in the use of renewable energy resources in USAID-assisted countries. The program is designed primarily to move countries towards adopting and implementing the policies and institutional framework necessary to achieve lasting results in the use of renewable energy resources. Over the next five years, the program expects to help 13 countries design and implement over 26 policies that encourage investment in renewable resources. The program is also expected to yield over \$1 billion in investments leveraged from international financial institutions and support the establishment of nine host country institutions for the promotion of renewable energy in the same period. In addition, over 665 megawatts of renewable energy, pilot project generation capacity is expected to be brought online by FY 2003. One megawatt can provide electric power to a community of about 5,000 residents in a developing country. Although the immediate payoff in megawatts-installed is modest, the limited number of pilot projects supported by the program are expected to play a catalytic role, leveraging widespread, multi-megawatt investments in similar projects by the private sector.

Possible Adjustments to Plans: The Strategic Framework and the Performance Monitoring Plan is currently being reviewed to ensure that both mechanisms are accurately capturing program results. In addition, this activity is expected to run through FY 2008; the center will seek approval to extend the Strategic Plan accordingly.

Other Donor Programs: Within the donor community, USAID works closely with lending institutions (World Bank, regional development banks, and private commercial banks) to improve access to long-term financing as well as with international organizations on technical assistance and information dissemination. Technical assistance, technology transfer, and partnerships supported by USAID have leveraged significant commitments to environmentally sustainable energy enterprises from other multilateral and bilateral donors. Within the donor community, the program provides technical assistance to the World Bank, regional development banks, and private commercial banks to leverage long-term financing for renewable energy enterprises. In FY 1998 the program leveraged over \$483 million in investment in renewable energy technologies, principally from the Asia sustainable energy unit of the World Bank, Global Environment Facility, Brazilian Government, and private banks in India.

Principal Contractors, Grantees or Agencies: Primarily, the program cooperates with Winrock International and E&Co to implement program activities. Activities are also implemented through agreements with National Renewable Energy Laboratory and Sandia National Laboratory. In addition, the program periodically contracts with Institute of International Education, Academy for Educational Development and CORE International.

Selected Performance Measures: Below are 3 of 6 performance indicators relating to the renewable energy program.

Intermediate Result 3.2 - Performance Indicator 1

Newly Installed On-grid Capacity:

Measuring Increased Use of Renewable Energy

(Megawatts of new capacity) -

Year	1996	1997	1998	1999	2000	2001
Target	Baseline	80	85	90	95	100
Actual	49	85.2	92.54			

Intermediate Result 3.2.1 - Performance Indicator 1

Renewable Energy Policies Adopted and Implemented:

Measuring Renewable Energy Policies Adopted and Implemented
(Number of Policies) -

Year	1996	1997	1998	1999	2000	2001
Target	Baseline	2	4	4	4*	4*
Actual	0	17**	10**			

** In FY 1997 and FY 1998 targets were greatly exceeded, because the program focused primarily on developing on-grid capacity.

Intermediate Result 3.2.3 - Performance Indicator 1

New Financing Made Explicitly Available for Renewable Energy Projects:
Measuring Increased Financial Commitments to Renewable Energy
(U.S. Dollars in Millions) -

Year	1996	1997	1998	1999	2000	2001
Target	Baseline	\$375	\$150	\$175	\$200*	\$225*
Actual	\$50	\$386.4	\$483**			

** Due to outstanding performance by Winrock International (contractor), the program exceeded FY 1998 targets.

* Preliminary revised targets.

[U.S. Financing Table for 934-003 IR 3.2](#) (Microsoft Excel Document - 27 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Increased, environmentally sustainable energy production and use, 934-003; IR 3.3 Clean Energy Production and Use

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$5,427,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$10,927,000 DA

INITIAL OBLIGATION: FY 1999; **ESTIMATED COMPLETION DATE:** FY 2008

Summary: Environmentally sustainable energy generation is critical to economic development, poverty alleviation, and human health in urban and rural areas. The program benefits all segments of society by reducing the amount of air pollutants emitted. The electric vehicle initiative especially benefits children by reducing the amount of lead generated by traditional combustion engines and, in turn, ingested by children (who are adversely affected by relatively small amounts of this pollutant). Private enterprises also benefit from these new technologies that reduce need for natural resources and, at the same time, produce and transfer power more efficiently. Lastly, the global environment benefits from a decrease in the rate of growth in net greenhouse gas emissions.

The clean energy program in Global's Center for Environment (G/ENV) promotes the development of technical solutions coupled with appropriate policy frameworks, economic incentives, investment capital, private sector partnerships, and capacity building. The program fosters private investment in clean energy projects by supporting pilot projects, supporting technical assistance, and assisting with regulatory reform. Three focus areas of the program are electric vehicle use, regional electrical power pool development, and increased power plant efficiencies. Electric vehicle activities will reduce the amount of lead and other air pollutants emitted in urban areas; power-pooling activities will increase regional transmission efficiency and promote transnational economic growth; power plant efficiency activities lead to reduced air pollution. By squeezing more out of existing plants, increased generation efficiency reduces the need of countries to build additional electric capacity.

USAID clean energy activities contribute to several U.S. foreign policy priorities, providing benefits to the nation's economy, public health, national security, and environmental quality. USAID energy programs open new commercial opportunities for U.S. businesses to enter environmental and energy markets overseas, thereby creating U.S. jobs while helping developing countries accelerate economic growth in a sustainable manner.

Key Results: Eight performance monitoring indicators have been developed for this program. The primary intermediate result, Increased Production and Use of Cleaner Energy, is measured by two performance indicators: tons of greenhouse gas (GHG) emissions avoided, and number of clean energy activities initiated by the private sector. Sub-intermediate results for clean energy are measured by: estimated tons of local pollutants avoided; number of clean energy policies adopted and implemented; number of cases in which clean energy technologies are demonstrated and replicated in key sectors; number of partnerships between U.S. and host country businesses brokered (this gauges potential investments by U.S. companies in developing country energy sectors); dollar value of public and private investments leveraged by the program; and number of host country institutions strengthened. The performance indicators recognize that the expanding, yet limited, energy infrastructures of developing countries are particularly well positioned to make use of environmentally sustainable energy technologies. These countries can choose to pursue less carbon-intensive economic development and leapfrog over the polluting, carbon-rich industrialization phase of developed countries.

Performance and Prospects: G/ENV assists developing countries to establish free market policies and strengthens energy and environmental institutions that enable more efficient power production and private sector participation in the power sectors of USAID assisted countries. Earlier program activities supported the development of model contracts for coal washeries in India; aided the city of Sao Paulo, Brazil in preparing landfill sites for landfill gas recovery; and facilitated the adoption and implementation of advanced emissions reduction technology in Manzanillo, Mexico. The success of the Manzanillo pilot installation (the Manzanillo plant supplies 10% of Mexico's power) has led the national petroleum company to consider the installation of the technology in over 9,000 megawatts of production capacity. In FY 1998, the program also fostered the establishment of eight partnerships that facilitate the flow of technical and financial resources between the utilities and regulators in the U.S. and developing countries.

As a result of the program in FY 1998, 2 clean energy activities were initiated through the private sector, matching program targets. Eight partnerships between U.S. and host country businesses were formed. This accomplishment far exceeded program targets.

For a life of project investment of approximately \$58 million, the Agency will achieve a substantial increase in clean energy production. Program activities introduce innovative technologies designed to decrease GHG emissions and local pollutants from conventional fossil fuel combustion. Specifically, the program hopes to yield over 35,000 carbon tons equivalent of GHG emissions avoided by 2003 and a reduction of 9,500 metric tons of local pollutants. Eleven partnerships between host-country and U.S. businesses are expected to be brokered by USAID-supported contractors resulting in investments in the development of new clean energy production capacity and more efficient management of existing facilities.

Possible Adjustments to Plans: The Strategic Framework and the Performance Monitoring Plan are currently being reviewed to ensure that both are accurately capturing program results. In addition, this activity is expected to run through FY 2008; the center will seek approval to extend the Strategic Plan accordingly.

Other Donor Programs: Within the donor community, USAID works closely with lending institutions (World Bank, regional development banks, and private commercial banks) to improve access to long-term financing as well as with international organizations on technical assistance and information dissemination. Technical assistance, technology transfer, and partnerships supported by USAID have leveraged significant commitments to environmentally sustainable energy enterprises from other multilateral and bilateral donors. The main focus of the program is to work with U.S. and host-country industries to leverage investment in clean energy production and use. Program activities will leverage investment in electric vehicle technology by major U.S. and Indian (Bajaj) auto manufacturers, investment in technology to clean generation capacity by major fossil fuel companies (PEMEX - Mexico, Ministry of Coal - India) and utilities (CFE-Mexico), and investment in landfill gas operations by local operators in Brazil and Mexico. The program also works closely with multilateral and bilateral lending institutions to leverage resources for new clean energy generation capacity. For example, the program is working with the World Bank's International Finance Corporation to examine the possibility of debt investment in an electric vehicle manufacturing facility in India.

Principal Contractors, Grantees or Agencies: Primarily, the program implements energy activities in conjunction with Bechtel National, Inc. G/ENV also cooperates with the U.S. Energy Association and periodically contracts with Institute of International Education, Academy for Educational Development and CORE International.

Selected Performance Measures: Below are 3 of 8 clean energy performance indicators

Intermediate Result 3.3 - Performance Indicator 2

Number of Clean Energy Activities Initiated by the Private Sector:
Measuring Increased Clean Energy Production and Use
(Number of Activities) -

Year	1996	1997	1998	1999	2000	2001
Target	Baseline	N/A	2	2	2	3
Actual	2	N/A	2			

Intermediate Result 3.3.3 - Performance Indicator 1

Number of Partnerships between U.S. and Host-Country Businesses:
Measuring Increased Investment in Clean Energy (This indicator is designed to measure potential clean energy

investments)
(Number of Partnerships)

Year	1996	1997	1998	1999	2000	2001
Target	Baseline	N/A	3	1	8*	8*
Actual	2	1	8**			

** Due to outstanding performance by the U.S. Energy Association (program cooperator), the program exceeded FY 1998 targets.

Intermediate Result 3.3.4 - Performance Indicator 1

Number of Host Country Institutions Strengthened:

Measuring Improved Decision Making and Management by Host Country Institutions (Number of Institutions) -

Year	1996	1997	1998	1999	2000	2001
Target	Baseline	2	2	2	6*	6*
Actual	2	4	4			

* Preliminary revised targets.

[U.S. Financing Table for 934-003 IR 3.3](#) (Microsoft Excel Document - 27 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Reduced threat to sustainable development from global climate change, 934-004

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$3,300,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$5,000,000 DA

INITIAL OBLIGATION: FY 1999; **ESTIMATED COMPLETION DATE:** FY 2008

Summary: Global's Center for Environment (G/ENV) continued to provide technical leadership on Agency climate change activities under this objective, as well as leadership in promoting climate change programs, policies, and strategies at an international level. USAID climate-related programs meet energy, agricultural, urban, forestry, and biodiversity sector goals, while providing a net climate change benefit and making good economic sense. Programs improve energy efficiency and increase the use of renewable energy sources to reduce greenhouse gas (GHG) emissions, promote sustainable agricultural, improve urban services and transportation planning, protect forest resources, and implement management techniques that preserve carbon stocks.

Under this objective, G/ENV manages the Climate Change Initiative (CCI) for the Agency, a five-year, \$1 billion commitment by the President to reduce the threats posed by climate change in developing and transition countries. The objectives of the CCI include helping developing nations participate in the United Nations Framework Convention on Climate Change (UNFCCC), decrease net GHG emissions through energy, industrial, urban, forestry, agricultural, and biodiversity sector activities, and address and adapt to climate vulnerability. G/ENV provides technical leadership and assistance to forty-four missions and offices to implement and report progress on climate change activities. The center tracks climate-related results of the CCI and reports progress on Agency-wide climate change activities in an Annual Report.

In addition, USAID provides technical support and leadership to U.S. government interagency activities that address climate change. For example, G/ENV contributes to the implementation of the U.S. Initiative on Joint Implementation (USII) and the U.S. Country Studies Program. These programs strengthen developing country participation in the UNFCCC and help to identify "win-win" climate change mitigation activities that reduce GHG emissions, provide economic benefits, and promote the adoption of clean technologies overseas.

Key Results: This objective focuses on two areas: effective management and technical leadership in support of the Agency Climate Change Initiative, and USAID leadership in strengthening developing and transition country participation in climate change activities worldwide. Effective management and technical leadership are measured through the development and implementation of mission and sectoral climate change strategies, the number of model climate change activities supported, and effective reporting under the USAID Climate Change Initiative. International leadership is measured through capacity building events supporting participation in climate change events and activities worldwide, including UNFCCC negotiations, and increased diffusion of climate-friendly technologies to developing and transition countries.

Performance and Prospects: G/ENV developed a Performance Monitoring Plan and indicators to measure results under the objective in FY 1999. The center has provided support to 44 missions and offices in the Agency to collect performance data for the indicators. Prospects remain excellent for continuing to meet the President's commitment to address climate change in developing countries.

Possible Adjustments to Plans: As performance data is collected, G/ENV's Strategic Framework and Performance Monitoring Plan are being reviewed for consistency and improvement pursuant to the Agency's climate change program objectives and the overall goal of achieving sustainable development. In addition, this activity is expected to run through FY 2008; the center will seek approval to extend the Strategic Plan accordingly.

Other Donor Programs: USAID relies on its strong working relationships with multilateral lending institutions, bilateral donors, and the private sector to implement climate change mitigation activities. Through these partnerships, USAID is able to leverage resources, ensure greater sustainability of its programs, and encourage climate-friendly investments by our donor partners.

Principal Contractors, Grantees, or Agencies: USAID implements global climate change programs through private organizations, U.S. and host country nongovernmental organizations, host country government agencies, and U.S. trade associations. USAID also collaborates with other U.S. government agencies (principally the Department of State, Environmental Protection Agency, and the Department of Energy).

Selected Performance Measures:	Baseline (1999)	Target (2000)	Target (2001)	Target (2002)
Number of Mission and Sectoral Climate Change Strategies Developed and Implemented	2	7	10	13
Number of International Climate Change Programs, Policies, and Strategies Developed	10	12	18	25
Number of Capacity Building Events Supporting Developing and Transition Country Participation in International Climate Change Activities	5	6	7	7

Some activities may be covered under Section 568(a) of the Foreign Operations Export Financing and Related Programs Appropriations Act of FY 2000.

[U.S. Financing Table for 934-004](#) (Microsoft Excel Document - 28 kb)



Budget Justification FY 2001

Center for Human Capacity Development Summary Tables

[Program Summary](#)
 [Work Force Data](#)
 [Program/Sector Summary](#)

Program Summary

(In Thousands of Dollars)

Category	FY 1998 Actual	FY 1999 Actual	FY 2000 Estimated	FY 2001 Request
Development Assistance	4,375	4,375	4,400	6,556
Development Fund for Africa	0	0	0	0
Child Survival & Disease Fund	2,358	4,595	8,534	5,442
Freedom Support Act Funds	0	0	0	0
SEED Act Funds	0	0	0	0
Economic Support funds	0	0	0	0
P.L. 480 Title II	0	0	0	0
P.L 480 Title III	0	0	0	0
Total Program Funds	6,733	8,970	12,934	11,998
Operating Expenses	90	95	95	95
Trust Funds	0	0	0	0
Total Operating Costs	90	95	95	95

Work Force Data

Category	FY 1998 Actual	FY 1999 Actual	FY 2000 Estimated	FY 2001 Request
OE Funded*				
U.S. Direct Hire	17	15	15	15

Other U.S. Citizen	0	0	0	0
FSN/TCN	0	0	0	0
Subtotal OE Funded	17	15	15	15
Program Funded*				
U.S. Citizen	9	9	11	11
FSN/TCN	0	0	0	0
Subtotal Program Funded	9	9	11	11
Other				
TAACS	0	1	1	1
Fellows	2	1	1	1
IDIs	0	0	0	0
Subtotal Other	2	2	2	2
Total Work Force	28	26	28	28

* Excludes Technical Advisors for AIDs and Child Survival (TAACS), Fellows, and International Development Interns (IDIs)

Program/Sector Summary

(In Thousands of Dollars)

USAID Strategic and Special Objectives	Economic Growth & Agriculture	Population & Health	Environment	Democracy	Human Capacity Development	Humanitarian Assistance	TOTALS
935-001 Improved & Expanded Basic Education, Especially for Girls, Women & Other Under-served Populations							
- DA	0	0	0	0	0	0	0
- DFA	0	0	0	0	0	0	0
- CSD	0	0	0	0	5,442	0	0
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0
935-002 Higher Education Strengthens the Capacity of Institutions, Communities & Individuals to Meet Local & National Development Needs							
- DA	2,781	0	0	0	0	0	2,781
- DFA	0	0	0	0	0	0	0
- CSD	0	0	0	0	0	0	0
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0
935-003 Training Improves Work Performance of Host Country Trainees & Effectiveness of Host Country Organizations							
- DA	775	0	0	0	0	0	775

- DFA	0	0	0	0	0	0	0	0
- CSD	0	0	0	0	0	0	0	0
- SEED	0	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0	0
935-004 Expanded Access to and Application of Information & Telecommunications Services								
- DA	3,000	0	0	0	0	0	0	3,000
- DFA	0	0	0	0	0	0	0	0
- CSD	0	0	0	0	0	0	0	0
- SEED	0	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0	0
Totals								
- DA	6,556	0	0	0	0	0	0	6,556
- DFA	0	0	0	0	0	0	0	0
- CSD	0	0	0	0	0	5,442	0	5,442
- SEED	0	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0	0
Center Total	6,556	0	0	0	0	5,442	0	11,998



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Improved and expanded basic education, especially for girls, women and other under-served populations, 935-001

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$8,534,000 CSD

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$5,442,000 CSD

INITIAL OBLIGATION: FY 1995; **ESTIMATED COMPLETION DATE:** FY 2004

Summary: Without access to quality basic education, children in the developing world become adults with limited opportunities. Most developing countries have made substantial progress in recent decades in raising primary and secondary school enrollment rates and achieving basic literacy. However, many nations have a long way to go to reach universal enrollment at the primary level. Moreover, the lack of adequate early childhood development programs and the poor quality of primary and secondary education in many developing countries reduce the benefits of attending school, and contribute to high rates of grade repetition and school dropout. In most regions, limited access and poor quality affect girls more severely than boys, leading to significant gender gaps in primary and secondary enrollment and completion. Central programs in basic education seek to improve and expand non-formal and formal basic education, especially for girls, women and other under-served populations. Primary beneficiaries are children, youth and adults receiving more and improved learning opportunities. Special emphasis is given to addressing education needs in crisis and transition nations, the elimination of abusive child labor through education, and serving disadvantaged populations including communities living in poverty, ethnic groups, girls and women, and children with disabilities.

Key Results: Central programs provide research, technical leadership and field support to USAID missions worldwide while drawing upon America's finest sources of technical education expertise. Current specific activities are expected to improve policy analysis and monitor program results; expand and improve girls' and women's education; improve classroom practices and raise achievement; integrate learning services for young children; use cost-efficient communications and learning technologies; and respond to complex education needs in countries emerging from civil conflict. The key current results of central programs include: basic education policies strengthened and institutional capacities built; knowledge about formal and out-of-school basic education learning environments generated and disseminated; access to quality basic education improved through the application of educational technologies; the accuracy, timeliness and accessibility of data for basic education policy and program planning improved; capacity for providing basic education in countries in crisis or transition increased; and knowledge about expanding learning opportunities for children 0 to 6 years old generated and disseminated to improve child development.

Performance and Prospects: USAID draws on over 30 years of successful experience in basic education. Additional funds will permit the development of more activities in areas such as: policies, technical assistance and "best practices" for reducing child labor; distance education by radio and electronic systems; cost-effective teacher training; inter-active radio instruction; innovative adult and non-formal education programs; education systems analysis supporting administrative and policy reforms; special strategies to reach girls, rural and poor children; donor collaboration in early childhood, family and community education; rapid educational planning and support services in crisis and transition nations; computer-based instruction; and public education for the attainment of development objectives in sectors such as public health and environmental management.

Possible Adjustment to Plans: Because of growing demand from developing countries, including countries in crisis or

transition, for such assistance, this activity has been modified to support improved education policy planning through educational policy appraisals and assessments of national education systems. It will also be able to design, where appropriate, strategies to fortify educational dialogue, encourage broad-based participation in educational reform initiatives, and combat child labor through global policy reform and pilot demonstration projects.

Other Donor Programs: Central program activities complement and support USAID missions, host country programs, non-governmental organization partners and other donors. Donors include: the World Bank, Inter-American Development, the United Nations Development Program, which, together with key bilateral donors, are guiding the worldwide Education for All Initiative targeted on achieving universal primary education by 2015; the International Labor Organization's International Program for the Elimination of Child Labor and the U.S. Department of Labor which support the child labor initiative; other regional development banks which provide investment capital for country education programs; other bilateral donors; and other U.S. federal agencies, such as the Department of Education and the Department of Health and Human Services, which participate in specific country programs.

Principal Contractors, Grantees or Agencies: Cooperative for American Relief Everywhere, Creative Associates, Education Development Center, University of Pittsburgh, American Institutes for Research, Research Triangle Institute, The George Washington University, and the Academy for Educational Development.

Selected Performance Measures:	FY 1998 Actual	FY 1999 Target	FY 2000 Target	FY 2001 Target
Primary school access (gross enrollment ratio)	88%	89%	90%	91%
Gender equity (the ratio of girls':boys' gross primary enrollment ratios)	86%	87%	88%	89%
Primary school achievement (retention rate to grade five)	63%	64%	65%	66%

[U.S. Financing Table for 935-001](#) (Microsoft Excel Document - 28 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Higher education strengthens the capacity of institutions, communities, and individuals to meet local and national development needs, 935-002

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$2,625,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$2,781,000 DA

INITIAL OBLIGATION: FY 1997; **ESTIMATED COMPLETION DATE:** FY 2004

Summary: Many countries under-utilize higher education institutions for development purposes while subsidizing higher education for wealthier groups, or supporting outdated vocational education institutions that are not providing the necessary skilled employees for the productive sectors. In 1997, USAID reprogrammed some of its scarce education resources into cost-effective higher education and workforce partnerships to promote sustainable development. Experience has demonstrated that U.S. institutions of higher education leverage \$2-\$13 for every \$1 of USAID investment. The purpose of this objective is to increase the capacity and contributions of host-country institutions of higher education to sustainable development. The direct beneficiaries are students, faculty, professionals and job-seekers overseas who receive better and more relevant training and program support. Indirect beneficiaries include host country populations who benefit from faster, better and more sustainable economic and social development, as well as American and overseas colleges, universities and individuals who receive institutional strengthening, professional development and broad international contacts.

Key Results: USAID's program for higher education partnerships establishes mutually beneficial and self-sustaining relations between overseas institutions of higher education and sister institutions in the United States for the furtherance of global and bilateral development objectives. These partnerships strengthen research, teaching and faculty development; improve workforce development; and provide leadership training, often with private sector support.

Performance and Prospects: The program has established 56 partnerships in 34 countries, involving 58 American community colleges and universities and 54 developing country institutions. In addition, three regional higher education networks were established, involving 37 developing world institutions and 27 American institutions in 12 countries. Preliminary data indicate that in 1999, higher education partners will generate nine new degree programs in such areas as natural resource management, agriculture science, water resource management, public health and nursing. The new degree programs build the infrastructure of higher education institutions to meet human capacity development demands in India, Belize, Uganda, Malawi and Jordan. In addition, five curricula have been developed or revised in technology management, environment, integrated pest management, human rights and water management in: Mexico, Madagascar, Indonesia, Uganda, and Jordan. To complement this institution-to-institution approach, two other programs have been established: (1) leadership training for hundreds of high achieving professionals from developing nations, and (2) fellowship programs to involve the best of America's young scientists and professionals in overseas development. Dozens of fellows work alongside USAID officers in Washington and overseas on development programs.

Possible Adjustments To Plans: The major adjustment to the higher education and workforce partnership program is to ensure that newly competed partnerships identify development results that are more closely linked to one or more of the Agency's six goals, one or more of the objectives of USAID's field missions, and/or one or more of USAID's emphasis areas, e.g., higher education reform, workforce development, or application of information technologies. Additionally, there is increasing demand from the field for assistance in addressing education and training needs of the youth

population and fostering linkages between higher education and training institutions and industry and service clusters to foster relevant education to meet the needs of society.

Other Donor Programs: Other donor agencies active in specific aspects of higher education reform include the Ford Foundation, the World Bank, and UNESCO; the Inter-American Development Bank and the Asian Development Bank for programs in their respective regions; the Commonwealth, and many other bilateral donor agencies, in accordance with their respective sectoral and regional foci.

Principal Contractors, Grantees or Agencies: USAID implements this program through: the Association Liaison Office of U.S. higher education which represents hundreds of U.S. institutions of higher education, and higher education associations (e.g., American Council on Education and the American Association of Community Colleges), the United Negro College Fund, the American Association for the Advancement of Science, the African-American Institute, and the Council of Graduate Schools. Competitive procurements are planned in FY 2000 for one or more leadership training and workforce development contracts.

Selected Performance Measures:	FY 1998 Actual	FY 1999 Target	FY 2000 Target	FY 2001 Target
Host country higher education responses to development needs	31	30*	35*	40*
Percentage of students enrolled in selected, relevant higher education institutions from traditionally under-enrolled groups**	NA	TBD	TBD	TBD

*Targets being revised upward in light of FY 1998 performance.

**Baseline data will be established on which to base out-year targets, during FY 2000

[U.S. Financing Table for 935-002](#) (Microsoft Excel Document - 28 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Training improves work performance of host country trainees and effectiveness of host country organizations, 935-003

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$775,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$ 775,000 DA

INITIAL OBLIGATION: FY 1995; **ESTIMATED COMPLETION DATE:** FY 2004

Summary: Central training programs provide technical and policy leadership and field support to assist missions, regions and central bureaus meet USAID strategic development goals via heightened employee performance in key organizations and work settings.

Key Results: Host country individuals increase work-related skills and knowledge; host country organizations improve their performance effectiveness; host country training institutions become increasingly effective and sustainable providers of knowledge and skills; and U.S. higher education, training institutions and training contractors build stronger international programs. In FY 1998, 7,110 people were trained in the U.S.

Performance and Prospects: Central programs provide technical, financial and managerial leadership for USAID's training activities, including in-country, U.S. and third country training. Central programs promulgated training directives and guidance worldwide, promoted technical and financial "best practices" to increase the cost-effectiveness of USAID-financed training, and provided specific support activities such as the development of a new Agency-wide database on trainees, training programs and costs. Other trainee services include the USAID training visa program and a central health and accident insurance system for trainees in the United States, both in response to federal regulations on USG-sponsored training. Finally, through field visits central programs assess, assist and guide training operations by local sponsoring units toward measurable results in support of specific objectives.

Possible Adjustment to Plans: Responding to changing field needs and shrinking budgets, USAID missions and other sponsoring units are shifting away from long-term academic training in the U.S. toward increased levels of short-term, primarily in-country, technical training. In-country programs are less expensive and can be structured part-time for effective response to important skill-deficiency "targets," and to build local institutional capacity for training. The requested funding will allow central programs to: 1) assist missions in accounting for and measuring the impact of a plethora of in-country training events; 2) develop pilot programs to promote distance learning technologies and methodologies which favor learning retention and lower unit costs; and 3) protect substantial USAID investments in U.S.-based training by ensuring that targeted local training institutions meet standards for access and quality.

Other Donor Programs: Other donors financing various types of training programs include the World Bank, Inter-American Development Bank, the Asian Development Bank, other bilateral donors, the Department of State's Bureau for Public Diplomacy and other U.S. federal agencies participating in the Inter-Agency Working Group on U.S. Government-sponsored International Exchanges and Training.

Principal Contractors, Grantees or Agencies: USAID implements and assesses training activities through hundreds of U.S. institutions of higher education, technical training centers, private and non-profit companies, and host country institutions. Major U.S. contractors include: the African American Institute; AMEX International; Aguirre International;

the Academy for Educational Development; Institute for International Education; Creative Associates, Inc.; Development Associates, Inc.; World Learning, Inc.; and Pragma Corporation. A competitive procurement is planned in FY 2000 for new training contracts.

Selected Performance Measures:	FY 1998 Actual	FY 1999 Target	FY 2000 Target	FY 2001 Target
Percent of sampled work units Improving performance	NA*	40%	NA*	60%
Participant return rate	97.4%	99%	99%	99%

*Complexity of assessment process requires biannual measurement.

[U.S. Financing Table for 935-003](#) (Microsoft Excel Document - 28 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Expanded access to and application of information and telecommunications services, 935-004

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$1,000,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$3,000,000 DA

INITIAL OBLIGATION: FY 1997; **ESTIMATED COMPLETION DATE:** FY 2005

Summary: To provide policy and technical leadership to expand access to and make more affordable state-of-the-art information technology and telecommunications services and applications. Planned activities include (1) policy dialogue and technical assistance to facilitate telecommunications reform, (2) training to strengthen institutional capability to respond to the changing global marketplace in information technology, and (3) pilot programs to demonstrate high-impact and appropriate applications of information technology to better pursue USAID objectives in education, economic growth, health and population, democracy and governance, and environment and natural resource protection.

Key Results: Central programs have set up a framework for joint federal action by establishing an agreement with the U.S. Department of State to collaborate with key federal agencies such as the Federal Communications Commission (FCC), the Office of the U.S. Trade Representative, and the Department of Commerce (DOC) to assist developing countries with telecommunications and Internet policy, legal and regulatory reform. The mechanism was used to support FCC workshops on regulatory reform, DOC participation on electronic commerce, FCC assistance on spectrum monitoring in Jamaica, and planning missions to Haiti, Kenya and Uganda. In addition, a longstanding partnership between USAID and the U.S. telecommunications industry in supporting the U.S. Telecommunications Training Institute (USTTI) provides technical and policy training to key telecommunications and information technology professionals, including decision makers and regulators. Over 17 years, 5,574 communications professionals have been trained. In response to the President's directive of November, 1998, an interagency working group launched the Internet for Economic Development (IED) Initiative in FY 1999, coordinated by the Department of State, and designed to empower developing countries to develop and utilize the Internet to energize their economies, gain access to knowledge that can improve standards of living, and foster the free flow of ideas. The interagency group identified 11 target countries, including Bulgaria, Egypt, Ghana, Guatemala, Guinea, Haiti, Jamaica, Morocco, Mozambique, South Africa and Uganda.

Performance and Prospects: Preliminary data for FY 1999 indicate that technical assistance missions were conducted in Benin, Bulgaria, Ghana, Guatemala, Guinea, Haiti, India and Uganda, and that participants from 23 countries, including Ghana, Tanzania, Romania, Honduras, Jamaica and the Philippines received training through USTTI. Among other outcomes, these missions and trainees have had direct impact on telecommunications reform in Jamaica, assisted in formulation of a telecommunications law in Kenya (which subsequently passed Parliament), and assisted internet policy and service providers in Haiti. Additionally, computer-mediated learning was introduced in Morocco in support of teacher education and a distance-training network was initiated in Romania to support managers of child welfare centers. Central and South American non-governmental organizations were networked to increase their access to global information; and community information centers with Internet were introduced in Paraguay, Ghana and Benin to expand access to municipal services and to economic and educational opportunities. Through the Leland Initiative for Africa and other central and regional mechanisms, pilot activities are being designed or implemented in all 11 target countries of the IED.

Possible Adjustments to Plans: Planning is now underway to broaden the initiative to additional countries and to deepen program offerings in key focal areas. Specifically, telecommunications reform will be facilitated in more countries through training and workshops on policy, legal and regulatory issues as well as internet and spectrum management training; selected infrastructure investments will be considered to expand internet connectivity in secondary cities and in rural areas through community learning centers; university linkages will be expanded and their access to information broadened; enhanced use of the internet and other video-conferencing courses will be encouraged both for university accreditation and for advanced professional training; and new information technology applications will be identified and developed, including, for example, expanding the use of e-commerce for micro-, small and medium sized enterprises, and bringing together U.S. primary and secondary schools with developing country counterparts for educational purposes. In addition, this activity is expected to run through FY 2005; the center will seek approval to extend the Strategic Plan accordingly.

Principal Contractors, Grantees or Agencies: USAID will implement programs and activities through other federal agencies providing technical assistance to host country organizations, a grant to USTTI and U.S. contractors, including the Academy for Educational Development and others to be determined on a case-by-case basis. In addition, USAID is considering a competitive contract for new information technology support services.

Other Donor Programs: USAID works closely with the World Bank's Global Knowledge Partnership, the Inter-American Development Bank on programs in Latin America and the Caribbean and several complementary federal agencies, including the Federal Communications Commission, Department of State, Department of Commerce, and the Office of the U.S. Trade Representative, each of which offers specialized expertise in aspects of telecommunications reform.

Selected Performance Measures:	FY 1998 Actual	FY 1999 Target	FY 2000 Target	FY 2001 Target
Number of countries introducing telecommunications policy or regulatory reform (cumulative)	1	3	5	7
Number of key host country personnel trained to modernize telecommunications systems ad services (per year)	94	75	85	95
Number of institutions adopting new information technology applications (cumulative)	2	4	6	9

[U.S. Financing Table for 935-004](#) (Microsoft Excel Document - 28 kb)



Budget Justification FY 2001

Center for Population, Health and Nutrition Summary Tables

[Program Summary](#)
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Program Summary

(In Thousands of Dollars)

Category	FY 1998 Actual	FY 1999 Actual	FY 2000 Estimated	FY 2001 Request
Development Assistance	124,075	140,397	138,000	203,350
Development Fund for Africa	0	0	0	0
Child Survival & Disease Fund	105,594	112,025	121,360	132,469
Freedom Support Act Funds	0	0	0	0
SEED Act Funds	0	0	0	0
Economic Support funds	0	0	0	0
P.L. 480 Title II	0	0	0	0
P.L. 480 Title III	0	0	0	0
Total Program Funds	229,669	252,422	259,360	335,819
Operating Expenses	306	316	316	276
Trust Funds	0	0	0	0
Total Operating Costs	306	316	316	276

* Excludes \$3 million being transferred from the Africa Bureau.

Work Force Data

Category	FY 1998 Actual	FY 1999 Actual	FY 2000 Estimated	FY 2001 Request
OE Funded*				
U.S. Direct Hire	69	61	65	66

Other U.S. Citizen	0	0	0	0
FSN/TCN	0	0	0	0
Subtotal OE Funded	69	61	65	66
Program Funded*				
U.S. Citizen	4	5	7	7
FSN/TCN	0	0	0	0
Subtotal Program Funded	4	5	7	7
Other				
TAACS	18	20	22	22
Fellows	47	48	50	50
IDIs	0	0	0	0
Subtotal Other	65	68	72	72
Total Work Force	138	134	144	145

* Excludes Technical Advisors for AIDs and Child Survival (TAACS), Fellows, and International Development Interns (IDIs)

Program/Sector Summary

(In Thousands of Dollars)

USAID Strategic and Special Objectives	Economic Growth & Agriculture	Population & Health	Environment	Democracy	Human Capacity Development	Humanitarian Assistance	TOTALS
936-001 Increased use by women and men of voluntary practices that contribute to reduced fertility							
- DA	0	199,600	0	0	0	0	199,600
- DFA	0	0	0	0	0	0	0
- CSD	0	0	0	0	0	0	0
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0
936-002 Increased use of key maternal health and nutrition interventions							
- DA	0	0	0	0	0	0	0
- DFA	0	0	0	0	0	0	0
- CSD	0	15,344	0	0	0	0	15,344
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0
936-003 Increased use of key child health and nutrition interventions							
- DA	0	3,750	0	0	0	0	3,750

- DFA	0	0	0	0	0	0	0
- CSD	0	43,972	0	0	0	0	43,972
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0
936-004 Increased use of improved, effective, and sustainable responses to reduce HIV transmission and to mitigate the impact of the HIV/AIDS pandemic							
- DA	0	0	0	0	0	0	0
- DFA	0	0	0	0	0	0	0
- CSD	0	51,778	0	0	0	0	51,778
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0
936-005 Increased use of effective interventions to reduce the threat of infectious diseases of major public health importance							
- DA	0	0	0	0	0	0	0
- DFA	0	0	0	0	0	0	0
- CSD	0	21,375	0	0	0	0	21,375
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0
Totals							
- DA	0	203,350	0	0	0	0	203,350
- DFA	0	0	0	0	0	0	0
- CSD	0	132,469	0	0	0	0	132,469
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0
Center Total	0	335,819	0	0	0	0	335,819



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Increased use by women and men of voluntary practices that contribute to reduced fertility. 936-001 IR 1.1 New and improved technologies and approaches for contraceptive methods and family planning identified, developed, tested, evaluated and disseminated

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$43,947,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$64,000,000 DA

INITIAL OBLIGATION: FY 1996; **ESTIMATED COMPLETION DATE:** Continuing

Summary: No single contraceptive method or service delivery approach is appropriate for all individuals. Activities under this Intermediate Result (IR) build the scientific and technological base for successful, high quality family planning (FP) and reproductive health (RH) programs by identifying, developing, testing, evaluating and disseminating new and improved methods and approaches for effectively delivering FP/RH services. The ultimate beneficiaries are women and men of reproductive age in developing countries, who will have greater access to quality information and services. Consumers in the U.S. and other industrialized countries also benefit from a wider choice of contraceptive technology.

Key Results: Four key sub-results are necessary to achieve this IR: (1) new and improved products, strategies and technologies developed and evaluated; (2) enhanced understanding of issues contributing to change of reproductive intention and behavior; (3) improved knowledge-base for understanding, setting priorities, and applying new or improved technologies and approaches; and (4) products, tools, technologies, approaches, and knowledge transferred in a form that can be received, used and sustained.

Performance and Prospects: Performance over the past year has met or exceeded planned results. In FY 1999, achievements in contraceptive development included the design of a new and improved female condom that is ready for acceptability testing and clinical trials. Several products advanced to the next stage of development: a hormone-releasing vaginal ring for breastfeeding women was approved for use in Chile; and a novel, loose fitting thermo-plastic male condom entered Phase III clinical trials. Many products are in early stages of development, including methods to provide protection from both unplanned pregnancy and sexually transmitted infections (STI), including HIV/AIDS. An inherent problem with this component of the objective is the lack of strong commercial sector involvement due to liability issues, Food and Drug Administration (FDA) requirements, and the low profit margin that can be made in less-developed countries; this necessitates a high level of public sector involvement in research and development activities.

Operations research (OR) have designed new tools for assessing and improving the availability and quality of FP services and has developed solutions to critical global service delivery problems. A major emphasis has been placed on scaling up of successful results and building capacity to conduct operations research. For example, successful post-abortion care studies in Egypt, Kenya and Turkey, are being scaled up and expanded nationwide, broadening the availability of these life-saving measures. A simple checklist that assists providers in assessing whether a client is pregnant or not was very successful in a pilot study in Kenya and resulted in increasing by 30% the number of new clients who leave the clinic with a family planning method. This checklist is now being incorporated into the Kenyan national program. Operations research projects have also trained several key service delivery organizations, such as Save the Children, in operations research techniques so that they can conduct their own research and use the results for

program improvement. OR workshops were also conducted regionally to assist several organizations in Africa, Latin America and Middle East.

Funds will be used to support the development of new and improved family planning technologies and to introduce these technologies into service delivery programs; to design and test new data collection and evaluation methodologies and tools; to develop innovative approaches to reach under-served populations such as young adults, men and rural and urban slum populations with high quality, voluntary services; and to test the efficacy of linking population, health and environment interventions on the ground.

Possible Adjustments to Plans: G/PHN's research portfolio is opportunity-driven and reflects the best interests of the public sector and its beneficiaries. During the course of product development or service delivery research, it is not uncommon to encounter obstacles in manufacturing or partnerships, and it is difficult to predict the ultimate success of a product or strategy in the early stages of research.

Other Donor Programs: Grantees work with assistance from, and in collaboration with, the World Health Organization (WHO) and the National Institutes of Health in technology development and evaluation, epidemiology and social science research. Several private foundations, including Gates, Mellon, Rockefeller, and others, maximize USAID's investments by supporting complementary research.

Principal Contractors, Grantees or Agencies: Grantees include The Population Council, Family Health International, Eastern Virginia Medical School, Georgetown University, Program for Applied Technology in Health, Camp, Dresser & McKee International, Inc., World Health Organization, Macro International, University of North Carolina, U.S. Bureau of Census, BHM International, and other cooperating agencies, universities, research institutions, and host country organizations.

Selected Performance Measures:	Baseline 1995	Actual 1998	Target 1999	Target 2000	Target 2001
Number of contraceptive leads or methods:					
a) under development or evaluation	37	28	26	33	3
b) advancing to next stage	0	9+	5	5	5
c) approved by FDA	0	0	0	2	2
Number of FP/RH strategies and subsystems, information, education and communication training and other technical improvements:					
a) tested/under development	8	12	10	10	12
b) completed/evaluated	0	13	10	6	3



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Increased use by women and men of voluntary practices that contribute to reduced fertility, 936-001 IR 1.2 Improved policy environment and increased global resources for family planning programs

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$11,087,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$15,600,000 DA

INITIAL OBLIGATION: FY 1996; **ESTIMATED COMPLETION DATE:** Continuing

Summary: USAID central programs promote a supportive policy environment for the cost-effective provision of family planning and reproductive health (FP/RH) services and the expansion of contraceptive use. Existence of a supportive policy environment has been identified in various evaluations as an important factor facilitating improved access to and use of services, which in turn contribute to the Agency goal of stabilizing world population and improving human health. Performance against this intermediate result (IR) has been positive, as many governments have updated and modified policies to support RH. Resources have increased in several key countries. The ultimate beneficiaries are women of reproductive age in USAID-assisted developing countries; intermediate beneficiaries include government health departments and nongovernmental organizations (NGOs) that advocate for RH.

Key Results: Global's Center for Population, Health and Nutrition (G/PHN) programs are helping to provide policy makers and program managers with the tools and information needed to implement policies and programs in accordance with the principles and goals agreed to at the 1994 Cairo Conference on Population and Development. As an example, in FY 1999, data from population projection models and estimates of resource requirements were incorporated into policies, laws, and development plans in two states of India as well as Mozambique, Senegal, and the Philippines.

Performance and Prospects: USAID's investments in policy dialogue and policy reform have contributed to the development of formal population policies in more than 30 countries, helped convince policy makers of the economic benefits of FP programs to society and to improved well-being at the family and individual level, and resulted in increased participation by the private sector.

G/PHN strengthened political support for FP in a number of countries: In the Philippines, 51 legislators signaled support for population and FP/RH programs by identifying the Population and Development Act as one of the top five priority legislative measures in their legislative agenda. In Romania, a range of RH services, including family planning, are now covered by health insurance. G/PHN funds leveraged government and private sector commitments of resources for family planning: The Government of Turkey continues to purchase contraceptives with its own funds. CARE, through its agreement with USAID, leveraged over \$2 million from private donors to support the expansion of FP/RH services in 33 countries.

In FY 2000, the center will competitively award a new five-year contract for policy assistance in the areas of family planning, maternal health, and HIV/AIDS. The contract focuses on the design, implementation, and funding of policies and plans that promote and sustain access to quality FP/RH information and services. It will pay special attention to issues of youth, gender, and human rights. DA funds will be used to support policy improvements in FP/RH. Funds from the Child Survival and Diseases Fund account will be used to support maternal health and HIV/AIDS policy work.

Possible Adjustments to Plans: Congressional restrictions on the use of FY 2000 appropriations limit the funding that

USAID can provide to organizations that lobby for abortion using non-USAID funds. This may restrict USAID's efforts to expand local participation in the policy process.

Other Donor Programs: USAID coordinates and collaborates with other donors such as the World Bank, International Planned Parenthood Foundation, United Nations Population Fund, and bilateral donors such as the Department for International Development which also provide funds and technical assistance.

Principal Contractors, Grantees or Agencies: G/PHN implements activities through The Futures Group International, National Academy of Sciences, Population Reference Bureau, the Care Endowment, and other cooperating agencies and host-country institutions.

Selected Performance Measures: In 2002 a new indicator will be used to report on progress towards an improved policy environment and increased global resources for family planning programs: the number of countries with increased local resources (public or private) for FP/RH. This measure can reliably be collected annually and will be tracked under the new contract described above.

Selected Performance Measures	Baseline 1998	Target 1999	Target 2000	Target 2001
# of countries with increased local resources (public or private) for FP/RH	6	7	8	9

Countries included in the baseline: Bolivia, Egypt, India, Philippines, Romania, and Turkey.

[U.S. Financing Table for 936-001 IR 1.2](#) (Microsoft Excel Document - 28 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Increased use by women and men of voluntary practices that contribute to reduced fertility, 936-001 IR 1.3 Enhanced capacity for national programs (public, private, nongovernmental organization and community-based institutions) to design, implement, finance, and evaluate sustainable family planning programs

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$35,289,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$50,000,000 DA

INITIAL OBLIGATION: FY 1996; **ESTIMATED COMPLETION DATE:** Continuing

Summary: Building local capacity and sustainable systems is essential to effective and efficient service delivery, program success, national-level impact, and long-term sustainability. Global's Center for Population, Health, and Nutrition (G/PHN) is working to improve the technical and programmatic capabilities and planning and budgeting decisions that impact the quality of family planning and reproductive health (FP/RH) services provided and the number of users reached. The ultimate beneficiaries are women and men of reproductive age in developing countries who will have greater access to quality family planning information and services.

Key Results: Activities focus on strengthening the capabilities of family planning provider organizations and their staff to (a) design, monitor, finance and evaluate their programs; (b) manage more effectively by improving business and marketing skills, and developing strategies for increasing cost recovery and financial sustainability; and (c) collaborate to use limited resources efficiently, and to reach under-served groups. These activities enhance organizations' ability to identify problems and solutions on their own and to improve their skills for managing FP/RH programs in a changing environment. Specific examples include the following: the launch of a regional logistics network of seven countries in East and Southern Africa that will develop a cadre of local health sector managers capable of developing regional and country-specific strategies to make health supply systems more effective and efficient; with USAID assistance, the Uttar Pradesh Ministry of Health and Family Welfare set up its own Media Materials Resource Center, which now provides reproductive and child health materials and information throughout the Indian state (population 160 million); and USAID funds leveraged funding and technical expertise from the Gates Leadership Institute at The Johns Hopkins University for a joint workshop on strategic leadership and management for 35 FP/RH program managers from 15 countries.

Performance and Prospects: G/PHN has been working to improve the technical and management capacity and the financial self-reliance of over 100 national family planning and reproductive health institutions in developing countries. To date, more than 40 institutions have been assessed in 25 countries. The assessment is a management diagnosis of the institution's mission, structure, strategies and management systems for each of 12 essential management components. Following the assessment, a management action plan is developed to address the management deficiencies identified.

Possible Adjustments to Plans: Family planning institutions must become stronger and more efficient to keep up with both population growth and rising demand for family planning services. The need for a cadre of talented leaders and managers, skilled and motivated staff and well-managed family planning organizations is greater than ever. In addition, the external environment of FP/RH services is continually changing.

In FY 2000, a new state-of-the-art FP/RH management and leadership program, aimed at improving the performance of programs, managers, and leaders to sustain family planning and health programs, will be launched. The activity, which

includes a new focus on anticipating, planning and managing change in the external environment, will increase the availability of sustainable, quality FP/RH services.

Other Donor Programs: USAID works closely with United Nations Population Fund, International Planned Parenthood Federation, Department for International Development, Pan American Health Organization and the World Bank. Host country partners including, national and local governments, private sector entities, nongovernmental organizations, and community organizations, have primary responsibility for program implementation.

Principal Contractors, Grantees or Agencies: G/PHN implements activities through Management Sciences for Health; John Snow, Inc.; Center for International Health Information, Centers for Disease Control and Prevention; the University of North Carolina; the Public Health Institute; University of Michigan, JHPIEGO; and other universities, private sector entities, nongovernmental organizations, and host country institutions.

Selected Performance Measures: In 2002, two new indicators will be used to report on progress towards capacity building: the number of countries with strengthened training systems and the number institutions with enhanced management capacity. These measures can be reliably collected annually and will be tracked under the existing training program and the new management and leadership program described above.

Selected performance measures	Baseline	Target	Target	Target
	1998	1999	2000	2001
# of countries with strengthened training systems	5	7	9	11
# of institutions with enhanced management capacity	10	13	16	19

Countries included in the baseline for the first indicator: Bolivia, Ghana, Morocco, Indonesia, and the Philippines.

[U.S. Financing Table for 936-001 IR 1.3](#) (Microsoft Excel Document - 28 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Increased use by women and men of voluntary practices that contribute to reduced fertility, 936-001: IR 1.4 Increased access to, quality of, cost-effectiveness of, and motivation to use family planning, breastfeeding, and selected reproductive health information and services

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$43,927,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$70,000,000 DA

INITIAL OBLIGATION: FY 1996; **ESTIMATED COMPLETION DATE:** Continuing

Summary: Many women and infants in the developing world are at great risk of mortality because of unwanted/unintended births, and "high risk" births—births occurring too early or late in a woman's life, or that are too high in number or too closely spaced. Improving access to, quality of and motivation to use family planning can help women plan the healthy timing and spacing of their children. This, in turn, contributes to the Agency goal of stabilizing world population and protecting human health.

To address these problems, the Center for Population, Health, and Nutrition (G/PHN) is working to improve information/service delivery systems' capabilities to respond effectively to existing demand for family planning (FP) and reproductive health (RH) information and services. The center is also working to increase FP/RH awareness, women's and community empowerment, and demand for such services and information. The ultimate beneficiaries are women and men of reproductive age in developing countries who will have greater access to quality FP/RH information and services, and children up to five years old whose health will improve because of improved birth spacing. Preliminary reports from FY 1999 analyses show that births spaced two to four years are associated with statistically significant reductions in infant, neonatal, perinatal and under five mortality, as well as with improvements in infants' chronic nutritional status (stunting), birth weight, underweight and size at birth. Many infants in developing countries are at high risk because births are too closely spaced. Educating women and men about the substantial health impacts of birth spacing may increase motivation to use family planning.

Activities focus on expanding service-delivery points (in the public, private commercial and nongovernmental organization (NGO) sectors), enhancing quality by promoting a client-centered orientation that emphasizes voluntarism and informed choice, supporting community participation in setting healthful community norms, improving contraceptive logistics, and expanding cost-effective approaches, including training in cost-management. Activities also include increasing women's and community empowerment and demand for services by improving communications with clients and communities, strengthening linkages between FP and integrated women's education/health services, hygiene, and other programs, and, as appropriate, addressing community-level gender issues (e.g., domestic violence) that inhibit informed choice.

Key Results: With respect to *expanding access*, in FY 1999, G/PHN delivered FP/RH information and services in 48 countries at an estimated 38,000 sites and trained over 46,000 providers. As part of this effort, Pathfinder International reached over 4.6 million new FP users in 11 countries, compared with one million new FP users in FY 1998; AVSC International supported quality improvement of family planning services at 2,550 sites in 23 countries and in 12 of these countries provided nearly 300,000 clients with long-term or permanent methods for more than 1.1 million couple years of protection (CYP); the John Snow Inc. (SEATS) project expanded quality FP/RH services by providing technical assistance to more than 2,228 urban and rural service delivery sites in 12 countries, compared to 10 countries in FY

1998; the Improving Nutrition and Reproductive Health (LINKAGES) project is providing training in women's nutrition, the Lactation Amenorrhea Method, breastfeeding, and weaning practices in 18 countries, compared to 11 countries in FY 1998, enhancing birth spacing which directly effects infant mortality rates; The Center for Development and Population Activities (CEDPA)-ENABLE is expanding FP/RH programs to a total of seven countries, compared to four in FY 1998; Commercial Market Strategies (CMS), awarded in FY 1998, provided almost 400,000 CYP in 18 countries, and trained over 11,000 providers; Cooperative for American Relief Everywhere (CARE) provided quality FP/RH services at over 800 sites in eight countries and reached over 400,000 beneficiaries; and NGO Networks, awarded in FY 1998, launched three new FP/RH programs.

With respect to *improving quality and motivation to use family planning*, G/PHN achieved the following results, among others, in FY 1999:

In India, through an educational campaign, CMS increased awareness and demand for oral contraceptives and condoms in four northern states. An impact study showed increased awareness from 50% to 80%, 82% recalled messages and an 8% increase in use. The purpose of the campaign is to expand the market for oral contraceptives thus encouraging pharmaceutical companies to take an interest in a growing market. This effort was named the Healthcare Campaign of the Year at the 1999 Asian Public Relations Awards.

In Peru, CARE worked to enhance quality of care at Ministry of Health (MOH) clinical facilities. By FY 1999, of the 210 G/PHN-funded MOH health facilities, more than half (158) graduated from assistance (meaning the MOH takes responsibility, using its own funds and personnel, for training and refresher courses, supervision logistics and monitoring) and 52 are in the last phases before graduation.

In Nepal, preliminary results indicate that empowered female community health workers (i.e. those trained as agents of social change through training in literacy, communication with leaders, and organization of community meetings) saw 77% more clients than regular community health workers (i.e., those trained only in FP/RH interventions) and provided a significantly wider range of contraceptive methods to their clients, thus enhancing choice.

In Bangladesh, a FY 1999 evaluation measured the quality of services of almost 1,000 newly trained field workers and found statistically significant improvements in the quality of services provided at all project sites. Also at all project sites, the percentage of women desiring more children declined and the proportion of women wanting to wait two or more years for the next birth increased. Overall, contraceptive use increased in project areas from 32.5% to 50% over three years.

Performance and Prospects: To achieve this IR, G/PHN is: 1) expanding quality private commercial sector service delivery; 2) expanding quality community-based service delivery; and 3) establishing multi-sectoral alliances to scale-up quality FP/RH information and service delivery. In FY 2000, a new state-of-the-art FP/RH information and service delivery program will be launched, which will work to create alliances among, and build upon the comparative advantages of, the public, private, PVO/NGO and non-health sectors (e.g., girls education, environment and micro-enterprise), as well as other donors and foundations, to expand access to sustainable, quality FP/RH services through clinical and non-clinical programs.

Possible Adjustments to Plans: Family planning services have to expand rapidly to keep up with both population growth and rising demand. By the year 2000, nearly 900 million women in the developing world, excluding China, will be in their reproductive years. Hence, the need for expanded, higher quality FP/RH services is greater than ever, especially for young people. To address these issues, USAID is considering a new initiative to meet the needs of young adults for information and services.

Other Donor Programs: G/PHN works closely with United Nations Population Fund, International Planned Parenthood Federation, Department for International Development, Pan American Health Organization, and the World Bank. Host country partners, including national and local governments, private sector entities, NGOs, and community organizations, have primary responsibility for program implementation.

Principal Contractors, Grantees or Agencies: USAID implements activities through Pathfinder International, CARE, Save the Children, John Snow Inc., CEDPA, International Planned Parenthood Federation/London, John Hopkins University, Academy for Educational Development, Deloitte and Touche, various contraceptive manufacturers, and other cooperating agencies, U.S. private voluntary organizations, private companies, and host country institutions.

Selected Performance Measures	Baseline 1995	Actual 1998	Target 1999	Target 2000	Target 2001
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Mean desired family size	3.4 children	3.2	3.2	3.0	3.0
Mean number of contraceptive methods known	4.7	5.8	5.9	6.0	6.0

[U.S. Financing Table for 936-001 IR 1.4](#) (Microsoft Excel Document - 28 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Increased use of key maternal health and nutrition interventions, 936-002

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$16,232,000 CSD

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$15,344,000 CSD

INITIAL OBLIGATION: FY 1996; **ESTIMATED COMPLETION DATE:** Continuing

Summary: Of the 175,000,000 women who become pregnant every year, close to 600,000 will die and millions more will suffer serious or chronic disability. Maternal death is the indicator of greatest disparity between the developed and the developing world reflecting poor services and the low status of women. In countries where maternal mortality is high and disability as a result of pregnancy and birth is widespread, a critical need exists to effectively and sustainably address the determinants of these problems. Most maternal deaths in the world today are a result of five major causes: hemorrhage, infection, hypertensive disorders, complications of unsafe abortion, and obstructed labor. Almost all of the deaths are preventable with known technologies.

Activities under this objective will apply existing, well established, cost-effective technologies and approaches to maternal newborn care to vulnerable populations. In addition, because the problem of maternal death has been so intractable, this set of activities will also provide global leadership in developing and testing new approaches to improve pregnancy outcomes in populations where resources are severely limited, geographic distances from curative health services are substantial, and cultural traditions for childbirth are very different than those of modern medical facilities. In order to improve maternal and neonatal health and survival, activities will focus in the following areas contributing to intermediate results: (1) operations research and the development of new approaches to enhance the use and delivery of maternal newborn services; (2) improvement of policies--including those related to mandate of health worker, standards of practice, commodities, communications, transport, fees, and accountability--and allocation of public and private sector resources for maternal newborn health; (3) assisting communities to take charge of their own health through social mobilization for self care and demand generation for formal health services; and (4) expansion and improvement of essential services for health promotion and treatment of life-threatening obstetric and newborn complications. Increased use of antepartum, safe delivery, postpartum and neonatal care, as well as services for the management of life-threatening maternal and neonatal complications, including postabortion care, will be included.

Primarily, beneficiaries include pregnant and postpartum women and their newborns in developing countries. Secondly, the women's families, their other children, and their communities will benefit from safe delivery and healthy outcome of pregnancy.

Key Results: Since the start of the Safe Motherhood Initiative, it has become increasingly clear that a medically trained birth attendant who is skilled in safe delivery and treatment of obstetric and newborn complications is essential for improving pregnancy outcome. Over the past five years, there has been gradual gain in the key indicator of skilled attendance at birth. Globally, there has been an increase from 43% in 1994 to 46% in 1998. However, the global figure does mask some regional differences. Most notably, the Africa region has documented no appreciable change in skilled attendance at birth, suggesting that civil unrest and economic difficulties have resulted in blocking an increase in use of medically trained birth attendants.

In addition, to improve birth outcomes and health of the mother through provision of nutrition, infection control and

counseling services, antenatal care is a key element of maternal and neonatal health services. The provision use of antenatal care services has increased overall from 67% in 1994 to 69% in 1998 and improvement has been seen in all regions of the world.

Performance and Prospects: (1) In the area of research and development of new approaches, focus has been on filling critical gaps in knowledge related to the design and implementation of cost-effective maternal/neonatal health programs. Recent achievements include: (a) development of a cross-national scoring index to assess progress on maternal and perinatal programs; (b) development of comprehensive teaching cases to increase utilization of prenatal services; (c) new understanding that a simple history of night blindness can identify women at high risk for morbidity and mortality during and following pregnancy (Nepal); (d) determination that postpartum Vitamin A supplementation at currently recommended levels improved infant Vitamin A status but did not eliminate subclinical deficiency among women (Bangladesh); (e) understanding that a marriage registration system can be an important adjunct to health education by adding messages to newlyweds that women should start taking iron supplements before pregnancy (Indonesia); (f) demonstration of a 70% reduction in maternal puerperal sepsis among pregnant women treated with low daily doses of Vitamin A given from the second trimester of pregnancy in a double blind, randomized placebo-controlled trial (Indonesia); (g) appreciation of the functional, political and organizational aspects of scaling-up that guide the progression from discrete model programs to national programs (Bolivia, Guatemala); and (h) cross national documentation of the best indicators to measure progress in maternal health programming.

(2) In the area of policy formation, results include (a) development of technical guidelines for voluntary counseling and testing for HIV/AIDS including the transmission of HIV in breastmilk (Zambia); (b) guidelines for redesigned services for pregnancy-related hypertensive disorders developed (Russia); (c) coordination of national maternal and neonatal nutrition policies among donors, multilaterals, NGOs and government (Madagascar); and (d) implementation of the cost estimation strategy for reproductive health commodities to stimulate policy dialogue on cost, supplies and logistics, and standards of care (Kenya).

(3) In the area of community mobilization for Safe Motherhood, results include: (a) in a setting where 95% of births occur in the home, information, education and communication programs have increased the demand for and utilization of essential obstetric care services by 50%-77% (Guatemala); (b) women who heard the innovative and very popular radio drama, "Destiny's Diary, " aired in local languages, were more likely to recognize obstetric complications and plan for emergencies (Bolivia); and (c) multimedia education strategies aimed at adolescent girls and pregnant/lactating women have succeeded in raising demand for iron supplements in four diverse sites through NGO programs (India).

(4) Improved delivery of maternal newborn health and nutrition services has continued to be a priority and results have included: (a) in response to the Asian economic crisis, an iron-fortified pre-mix was provided to launch the first large-scale program to fortify wheat flour with iron-essential for anemic pregnant women (Indonesia); (b) the confidence and skills of frontline health care providers to provide high quality maternal and newborn care significantly improved, contributing to increased use of maternity services by vulnerable indigenous women and those with little or no education (Guatemala); (c) the prototype Life Saving Skills curriculum, now available in five languages, continues to be implemented in an increasing number of countries; and (d) a new approach, obstetric first aid for community members, is being introduced (India and Guinea).

In the coming years, knowledge gaps will be filled in the areas of micronutrient supplementation and infection control in pregnant women, as well as the increasing understanding of the cost-effectiveness of various interventions to improve pregnancy outcomes in resource poor settings. Also, application of the cross-national scoring index in several dozen countries will stimulate considerable policy dialogue about the best way to achieve gains in maternal and neonatal health. Programming will include innovative combination of traditional communication approaches with newer social mobilization activities to heighten awareness among community members and policy makers to hasten the implementation of Safe Motherhood programs. Furthermore, additional training centers for obstetric and neonatal care will be established and improved, and priority will be placed on improving pre-service curricula of midwives and doctors so that there is sustainable national scale-up of state-of-the-art training.

Possible Adjustments to Plans: The strategy strengthens USAID's focus on interventions directly related to events surrounding pregnancy and childbirth: As has been the case in the past, adjustments may need to be made in the program due to economic crisis (Indonesia) and to U.S. policy considerations (Nigeria and Pakistan). Not all these problems can be anticipated. However, maternal and neonatal health programming is frequently implemented through both public and private sector, leaving multiple options open to maintain humanitarian programs in the face of changing conditions. Additionally, opportunities continue to be sought to partner with other donor agencies and multilateral organizations. Changes in funding levels and direction have the possibility to diminish or enhance program results.

Other Donor Programs: United Nations Children's Fund (UNICEF), World Health Organization, Pan American Health Organization, The World Bank, nongovernmental organizations, other bilateral donors, especially the Department for International Development and Japan International Cooperation Agency.

Principal Contractors, Grantees or Agencies: United Nations Children's Fund, World Health Organization, Centers for Disease Control and Prevention, JHPIEGO Corporation, Johns Hopkins University, University Research Corporation, International Science and Technology Institute, Helen Keller International, International Life Sciences Institute, Abt Associates, Academy for Educational Development, LTG Associates, Inc., Program for Applied Technology in Health, MACRO, International, Carolina Population Center/University of North Carolina, Population Reference Bureau, Center for Development and Population Activities, CARE, Save the Children, Management Sciences for Health, US Pharmacopoeia Convention, Inc., Global Health Council, The Futures Group, Pathfinder, International, University of Michigan, Western Consortium.

Selected Performance Measures:	Baseline	1994 Actual	1998 Planned	1999 Planned	2000 Planned	2001 Planned
% of live births attended by medically trained personnel	42.8	45.7	46.2	46.6	47.1	
% of live births for which women reported having at least one antenatal care visit	66.6	69.0	69.3	69.7	70.0	

Data comes from 49 countries and Uttar Pradesh, India.

Furthermore, under a new Performance Monitoring Plan, baseline information will be gathered on Postpartum Care coverage and a thirteen point Maternal and Neonatal Program Index (MNPI) to quantify level of effort for maternal and neonatal health and survival programs.

[U.S. Financing Table for 936-002](#) (Microsoft Excel Document - 22 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central programs

TITLE AND NUMBER: Increased use of key child health and nutrition interventions. 936-003

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$3,750,000 DA; \$49,048,000 CSD

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$3,750,000 DA; \$43,972,000 CSD

INITIAL OBLIGATION: FY 1996; **ESTIMATED COMPLETION:** Continuing

Summary: The Global Bureau Center for Population, Health and Nutrition's (G/PHN) child survival program achieves its objective through coordinated activities in: 1) research and development of new tools and approaches to prevent and cure the main diseases of infants and children; 2) helping countries identify and develop cost-effective policies to address major threats to the survival and health of infants and children; 3) applying social marketing and behavior change communication to enhance knowledge and use of key child health and nutrition behaviors; and 4) working with countries and other organizations to improve access to and quality of child health services. Between 1985 and 1999, the cumulative effect of child survival programs supported by USAID and the rest of the development community was a 20% reduction in child mortality. Yet, millions of children still die from diarrhea and acute respiratory infections (ARI); malnutrition persistently underlies the majority of child deaths, and -- especially in Africa and southern Asia -- rates of vaccination have leveled off and in some countries decreased. G/PHN will continue to develop and apply new and more effective ways to diagnosis, treat and prevent the main childhood killers, promote breastfeeding, increase resistance to disease through vitamin A and other micronutrients, and develop safer and cheaper ways to deliver immunizations and health interventions to high risk children at the facility and community level.

Key Results: G/PHN has been a major contributor to USAID's global leadership in child survival. Support to development and application of oral rehydration therapy (ORT) as an effective treatment for diarrheal disease in infants and children has helped saved millions of lives. Support to research on how vitamin A reduces causes child mortality and contributes to higher rates of maternal survival has led to a major expansion of Vitamin A programs in USAID-supported countries. G/PHN provides continued support for developing new vaccines against acute respiratory infection and safer, more efficient childhood immunization devices. G/PHN also supports polio eradication by partnering with the World Health Organization (WHO), United Nations Children's Fund (UNICEF), Centers for Disease Control and Prevention (CDC), Rotary, and others on the ground, by providing key technical inputs to countries, and by partnering with the Voice of America (VOA) to reach the hard-to-reach in 19 languages.

The results of these efforts, along with those of USAID's partners, have been continuing reduction in infant and under-five mortality and reaching the threshold of polio eradication.

Performance and Prospects: In response to the need to revitalize child immunization, in 1999 USAID (represented by G/PHN) joined WHO, UNICEF, the private sector and others in the Global Alliance for Vaccines and Immunizations (GAVI) to enhance national immunization programs and introduce new vaccines in developing countries. One stimulus to this new alliance was G/PHN's international leadership in addressing the issues of financing new children's vaccines in poor countries by providing analyses of the current funding gaps and the options available to national governments to improve and expand their national immunization programs. A new USAID global initiative will boost immunization programs in 15 USAID assisted countries where progress is lagging, and G/PHN helped launch the Safe Injection Global Network (SIGN), a coalition of both national and international partners that share a common interest in improving the safety and appropriate use of injections worldwide. G/PHN will continue to provide a major share of

funding and technical support for the global polio eradication initiative that in the last ten years has reduced the number of reported polio cases by 85%. The center will continue to support evaluation and introduction of new vaccines against pneumonia and vial temperature monitors for vaccines other than polio.

In 1998-99, G/PHN helped over 26 countries achieve high coverage rates with vitamin A capsules through integration with National Immunization Days for polio. Through USAID efforts, fortification also became a significant source of vitamin A for vulnerable populations in Central America, and this strategy is now being applied in Africa. G/PHN will further expand its "VITA" initiative, emphasizing vitamin A supplementation through capsule distribution and fortification of widely consumed foods to reach largest possible numbers of children in vitamin A deficient populations.

G/PHN has led work, in collaboration with other USAID bureaus and missions, WHO, UNICEF and other partners to develop and implement an integrated approach to childhood illnesses, called the Integrated Management of Childhood Illness (IMCI) approach. IMCI allows countries to expand diarrheal disease, ARI, malaria, and immunization services in an integrated, cost-effective manner; the strategy is being implemented in at least 50 countries, 23 with USAID support. The center will continue to support implementation and improvement of the IMCI approach in field settings, and USAID will link this approach to improving quality of child health services and increasing investment in preventing and managing childhood illness and malnutrition at the community level. In addition, since many countries now recognize that a large remaining share of infant mortality occurs in the earliest weeks of life, G/PHN will support development and evaluation of interventions to prevent or treat life-threatening illnesses of newborns.

In the policy area, G/PHN will continue to support effective policies for vitamin A and other basic child health interventions, and will use national health accounts to promote increased resource allocation for child health in over 20 countries. It will implement cost-effectiveness analyses for vitamin A and other interventions. Partnerships with private voluntary organizations (PVOs) will be expanded to strengthen child health programming at the community level and within decentralized health systems. Private sector partnerships will be expanded for production and distribution of child health products -- oral rehydration salts, vitamin A-fortified foods, insecticide treated mosquito nets, and soap for hand washing.

USAID will expand its partnerships with such groups as Soul City in South Africa, Panos, VOA, and British Broadcasting Corporation, to introduce child health content into national and international broadcasting and increase the child health and nutritional content of local media in USAID-assisted countries. USAID will work with private and public partners to increase community involvement in key child health areas: detection of polio cases; mobilization for immunization and vitamin A supplementation; home care and appropriate care-seeking for respiratory infections, diarrhea, malaria, and illnesses of newborn infants. USAID will develop, adapt, and implement innovative communication and behavior change approaches such as peer group methods to increase knowledge and use of child health and nutrition practices.

Possible Adjustments to Plans: G/PHN is in the process of updating its Strategic Plan; this will potentially result in refining the priorities and technical emphases of efforts in order to maximize the center's role within the USAID and global child survival efforts. As part of the same process, indicators will be reviewed and in some cases revised.

In addition to these internal processes, G/PHN will respond to evolving trends and circumstances that affect child health and nutrition. Examples that are likely to affect G/PHN programming are the development of global initiatives to accelerate control of measles and other immunizable diseases, the need to link "Roll Back Malaria" and infectious disease control efforts to existing child health services, and the potential impact of concern about HIV on breastfeeding practices, especially in Africa and Asia. G/PHN will also play an active role in responding to the presence of large new private sector participants -- such as the UN and Gates Foundations -- in child survival programming. These new and welcome partners have limited field presence and have not yet defined their operating strategies; determining the best way to partner with them will help assure that all resources are most effectively used to serve the needs of children in poor countries.

Other Donor Programs: In the areas of infant and child health, USAID works in close collaboration with major donors in this area including: UNICEF, WHO, and other United Nation organizations, nongovernmental organizations (NGOs), European donors, the US-Japanese Common Agenda, and U.S. private sector partners and foundations.

Principal Contractors, Grantees or Agencies: Key contractors and grantees for USAID's work in child health include: WHO, UNICEF, CDC, National Institutes of Health, Harvard, International Life Sciences Institute, Johns Hopkins University, Emory University, Academy for Educational Development, John Snow, Inc., Wellstart International; Abt Associates, Inc.; Partnership for Child Health Care; Management Sciences for Health; Camp, Dresser, and McKee;

Manoff Group; University Research Corporation, Program for Appropriate Technology in Health, International Center for Diarrheal Disease Research - Bangladesh, Helen Keller International, International Science and Technology Institute, International Food Policy Research Institute, World Vision Relief and Development Inc., Consortium for International Development, Development Associates Inc., Education Development Center, and other public and private sector entities.

Selected Performance Measures:	Baseline (1994)	Actual (1998)	Planned (1999)	Planned (2000)	Planned (2001)
Percent of children fully immunized by age one	37	43	44	45	46
Percent of children under age five receiving ORS, recommended home fluids, or increased fluids for diarrhea	54	62	63	65	67
Effective vaccines against infant/child pneumonia developed and available	1 in development and 1 candidate	1 available; 1 under evaluation	no change	no change	2 available
Number of countries financing child vaccines from national budget	38	70	73	76	80
Number of countries adopting integrated management of childhood illness	0	50	58	65	72

[U.S. Financing Table for 936-003](#) (Microsoft Excel Document - 22 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Increased use of improved, effective, and sustainable responses to reduce HIV transmission and to mitigate the impact of the HIV/AIDS pandemic. 936-004

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$38,750,000 CSD

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$51,778,000 CSD

INITIAL OBLIGATION: FY 1997; **ESTIMATED COMPLETION DATE:** 2002

Summary: In 1999, the Global Center for Population, Health and Nutrition (G/PHN) finalized a set of new procurements for HIV/AIDS activities that continue proven interventions and add new components to enhance and complement the Agency's response. The 1998 GAO Report, HIV/AIDS: USAID and UN Response to the Epidemic in the Developing World, stated: "Despite the continued spread of HIV/AIDS in many countries, USAID has made important contributions to the fight against HIV/AIDS. USAID-supported research helped to identify interventions proven to curb the spread of HIV/AIDS that have become the basic tools for the international response to the epidemic."

Prevention of sexual transmission remains the primary focus. Behavior change interventions focus on individual behavior and on contextual change to ensure long-term sustainability. Access to barrier methods now goes beyond male condoms to include female condoms in selected settings. Reducing sexually transmitted infections (STIs) continues to focus on increasing appropriate syndromic management and increasing emphasis on ensuring access to effective drugs.

Policy reform efforts address the appropriate allocation of resources, discrimination toward infected persons, and increased participation by infected persons and affected communities. Biomedical research continues to assist with microbicide and STI diagnostics development. An expanded research agenda facilitates the development of vaccines, realistic methods to reduce mother to child HIV transmission, and other products suitable for the developing world. Social science research focuses on the socioeconomic determinants of vulnerability and ways to improve achieving sustainable behavior change.

The center's portfolio now includes a broad set of activities to further engage communities, nongovernmental organizations (NGOs), private voluntary organizations (PVOs), both local and U.S.-based, and the commercial sector's participation in HIV/AIDS prevention. Other areas of focus include development of the "prevention to care continuum." This expanded program includes selected basic care and psychosocial support for HIV infected individuals and their survivors. Since 1997, funding for care and support programs has increased to 7% of the USAID HIV/AIDS budget; in FY 2000, the level is expected to increase to 10%. This new emphasis will enhance the prevention agenda, and slow the deterioration of economic and social development. In addition, the expanded program provides increased emphasis on supporting HIV/STI surveillance systems to improve our understanding of the growth of the epidemic, as well as allow the assessment of the impact of interventions. There are now innovative initiatives to perform operations research to identify "best practices" on how best to adapt, replicate, and "scale up" such models (the HORIZONS project performs operations research in 11 major HIV/AIDS subjects, the SYNERGY project distills research and evaluations from around the world and disseminates it to partners, and support to UNAIDS permits USAID participation in the development of "Best Practice" documentation aimed at program managers and policy makers).

Key Results: The U.S. Government is the world leader in responding to the global pandemic of AIDS. Since 1986 the U.S. Government, through USAID, has dedicated over \$1.2 billion for the prevention and mitigation of this epidemic in

the developing world. USAID's HIV/AIDS budget of \$200 million for this year exceeds all other bilateral donors.

Educating people to prevent AIDS. In the past five years, USAID, through work with host country governments and community groups, has provided intensive AIDS education to over 25 million vulnerable men and women, helping them to reduce their risk of HIV infection. To accomplish this task, USAID has trained over 180,000 new, dedicated counselors and educators.

Reducing HIV prevalence in young adults in countries with severe epidemics. In Uganda, Dominican Republic, and Thailand intensive HIV/AIDS programs launched after major epidemics had erupted have resulted in reductions in the numbers of new infections. In Uganda, USAID's support was instrumental in reducing the prevalence of HIV in 15-24 year olds in urban areas by 50 % and nationally by a third.

Maintaining low HIV prevalence. In Senegal, Philippines and Indonesia, early, comprehensive HIV intervention programs supported by USAID and other donors have helped prevent a major epidemic, keeping the prevalence rate to less than 2%.

Reducing STIs in Africa. USAID is improving STI control programs in Cote d'Ivoire, Ghana, Nigeria, Rwanda and Zambia. In South Africa, USAID support was instrumental in reducing the prevalence of STIs by 40% among vulnerable mineworkers over a nine-month period.

Increasing the distribution of condoms. USAID has provided over one billion condoms and developed new technologies so that people can protect themselves and their partners. USAID support for social marketing of condoms has increased sales by over 100% between 1996 and 1998 in four African countries (Kenya, Madagascar, Mozambique, and Zimbabwe). In 1999, USAID will launch new social marketing programs in Eritrea, South Africa, and Haiti.

Supporting voluntary testing and counseling. In 1990, USAID provided funding for the AIDS Information Center in Uganda, the first program in Africa offering voluntary and anonymous HIV counseling and testing. In eight years, over 400,000 clients were served. USAID now supports voluntary counseling and HIV testing in more than 10 countries.

Involving communities in the fight against AIDS. USAID support has been critical to supporting local communities and community-based organizations in fighting AIDS in Malawi, Zambia, Tanzania, Uganda, Senegal and 40 other developing countries.

Supporting civil society groups in the fight against AIDS. In South Africa, USAID assisted the Council of South African Trade Unions to include HIV/AIDS as a key policy issue for their members. USAID has also supported religious communities and inter-faith networks critical to HIV/AIDS prevention successes.

Developing technologies to fight the transmission. USAID has been instrumental in the ongoing development of critical technologies to fight the transmission of AIDS in the developing world, including the female condom, a topical microbicide, rapid diagnostic tests for STIs and affordable, and realistic methods to reduce mother to child transmission of AIDS.

Assisting children affected by AIDS. Globally, 25 million children have lost one or both parents to AIDS. In 10 countries in Africa, Asia, and Latin America, USAID is helping children stay in their communities by supporting extended and foster families. USAID programs assist with housing, education, health care as well as helping children cope with the psychological stress of losing a parent.

Performance and Prospects: USAID is working in 47 of the hardest hit countries in all regions of the world. Nearly 70% of HIV/AIDS program assistance goes to small nongovernmental organizations that have direct connections to the poorest of the poor and those most vulnerable to infection. As part of the new *LIFE* Initiative and in collaboration with the UNAIDS International Partnership Against AIDS in Africa, USAID has established a set of five year HIV/AIDS goals. These include: reducing by 25% the incidence of HIV infection among 15 to 24 year olds; at least 75% of HIV infected persons will have access to basic care and support services; orphans will have access to education and food on an equal basis with their non-orphaned peers; 50% of HIV infected pregnant women will have access to interventions to reduce mother-to-child HIV transmission. Achievement of these goals is contingent upon an overall increase by 200% of available HIV/AIDS funds from all resources (bilateral donors, lending agencies and host country governments).

Possible Adjustments to Plans: The *LIFE* Initiative and the additional HIV/AIDS funds provided by Congress in FY 2000 have increased the Agency's budget for HIV/AIDS by approximately 57% from the previous year and the levels under consideration for FY 2001 will bring the increase to 73% of pre-FY 2000 levels. LIFE focuses on 15 target

countries (14 in sub-Saharan Africa, plus India), that represent those with the most severe epidemic, the highest number of new infections and where the potential impact is the greatest. This significant increase in HIV/AIDS resources will enable USAID to mount a more intensive program effort. In addition to continuing support for core activities, the expanded program will include home and community based care and support, care of children affected by AIDS, capacity and infrastructure development and primary prevention activities such as voluntary counseling and HIV testing, mother to child transmission prevention and blood safety.

Other Donor Programs: USAID is the largest donor to the UNAIDS program and works closely with them at global level for distilling best practices and performing critical operations research and at country level to develop improved national strategic plans. USAID is closely collaborating with other major donors, such as the World Bank and European Union, to coordinate country programs and increase their effectiveness. In Ukraine, the European Union and USAID are designing a joint \$4 million HIV/AIDS prevention campaign; in Brazil USAID is offering technical assistance to improve the national HIV/AIDS program which is supported by World Bank funds; and UNAIDS, in collaboration with USAID, is developing an HIV/AIDS Prevention Strategy for Northeastern Europe.

In addition, during 1999, USAID has developed, in collaboration with UNAIDS, the AIDS Program Index (API) which will measure the current national response to the HIV/AIDS epidemic in over 40 countries around the world. USAID, along with UNAIDS, WHO, and the European Union, has also completed a *Handbook for the Monitoring and Evaluation of Country Programs for HIV/AIDS Prevention and Care* which will become the world standard reference in this important area.

Principal Contractors, Grantees, or Agencies: Population Services International, the Population Council, Family Health International, CDC, PATH, the Futures Group International, Global Health Council, International HIV/AIDS Alliance, U.S. Peace Corps, U.S. Bureau of the Census, UNAIDS, TvT Associates, Carolina Population Center/University of North Carolina, Macro International, Inc and local NGOs.

Selected Performance Measures:	Baseline 1997	Actual 1998	Target 1999	Target 2000	Target 2001
Percent of target populations in emphasis countries who know two possible methods to prevent STI/HIV transmission *	41%-90%	41%-90%	45%-90%	50%-90%	50%-90%
Percent of emphasis countries with annual increases of 10% or more in male condom distribution	47%	60%	65%	65%	70%
Percent of condom use with last "casual" partner *	23%-51%	50%-66%	55%-70%	55%-70%	55%-75%
HIV prevalence rates in adults (15-49 years of age) (Source: UNAIDS/US Bureau of Census)**					
Sub-Saharan Africa	7.41%	8.0%	8.0%	8.64%	9.48%
Asia/Near East	0.31%	0.36%	0.36%	0.42%	0.49%
Latin America/Caribbean	0.60%	0.66%	0.66%	0.73%	0.80%
Eastern Europe/Central Asia	0.09%	0.14%	0.14%	0.22%	0.34%

*Target ranges reflect the fact that knowledge in HIV/AIDS prevention approaches varies depending on the length of the HIV/AIDS program and its coverage in target groups

**USAID supported programs reach approximately 10-15% of the target populations and, therefore, efforts reduce the rate of overall increased prevalence

[U.S. Financing Table for 936-004](#) (Microsoft Excel Document - 22 kb)



Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Increased use of effective interventions to reduce the threat of infectious diseases of major public health importance, 936-005

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$20,330,000 CSD

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$21,375,000 CSD

INITIAL OBLIGATION: FY 1998; **ESTIMATED COMPLETION DATE:** Continuing

Summary: Over the past decade, the re-emergence of diseases previously thought to be largely under control, such as malaria and tuberculosis, and the emergence of drug-resistant strains of widespread infectious diseases have threatened progress in improving health and well-being throughout the developing world, and present threats to the U.S. as well. Recurring outbreaks of vaccine-preventable diseases such as diphtheria and measles in areas where they had been controlled signal the fragility and breakdown of public health infrastructures that are already strained and weak in many countries. The ability to detect disease and to access data and mount an appropriate response is essential for establishing a line of defense and response to infectious diseases. However, health systems in many developing countries lack the necessary capacity for routine and sentinel disease monitoring.

In FY 1998, USAID initiated a new objective to reduce the threat of infectious diseases of major public health importance. To help achieve this Agency-wide objective, Global's Center for Population, Health and Nutrition (G/PHN) developed a program to increase the use of effective interventions to reduce the threat of infectious diseases, focusing in four priority areas: malaria, tuberculosis (TB), anti-microbial resistance, and surveillance and response. Results in four key areas have been identified, including:

1. Developing, testing and making available new and improved interventions appropriate for use in the developing world;
2. Improving the policy environment for applying effective interventions for infectious diseases, with emphasis on the formulation of global strategies, such as in the case of tuberculosis and anti-microbial resistance, and on ensuring that national and local resources are available to address priority infectious disease areas.
3. Effective mobilization of the demand for and appropriate use of infectious disease interventions, including affecting choices and actions by families and communities for prevention, detection, and initial care-giving.
4. Improving the accessibility, quality, and effectiveness of targeted, cost-effective infectious disease services, both preventive and therapeutic. This includes improvement of the health care delivery system such as: more efficient management and planning; development of reliable supply management systems for essential drugs, vaccines, and commodities; improving the collection and use of information; and employing quality assurance techniques to improve compliance with standards of care.

The major beneficiaries of this objective are individuals in developing countries. However, given the potential for infectious diseases to spread quickly around the world, and the threat from increased anti-microbial resistance, this assistance will help reduce the potential spread of infectious diseases to the U.S.

Key Results: To achieve these results, several sub-results have been identified:

1. New technologies and products developed, tested, and introduced, including: target vaccines and related tools

and technologies; and diagnostic technologies and treatment regimens for selected infectious diseases and for slowing the emergence and spread of anti-microbial resistance.

2. Development and implementation of global strategies and action plans for addressing tuberculosis and anti-microbial resistance
3. Knowledge and use of appropriate behaviors for effective prevention of the emergence and spread of anti-microbial resistance and infectious diseases, particularly for malaria and tuberculosis, at the household and community level increased.
4. Performance of health workers - as measured by the quality of diagnosis and treatment of illness, and counseling of patients - improved.
5. Selection, procurement, regulation and rational use of drugs, vaccines, and commodities for the treatment and/or prevention of infectious diseases improved.

Performance and Prospects: USAID's Infectious Disease Initiative was developed through extensive consultations with external partners, including the World Health Organization (WHO), the Centers for Disease Control and Prevention (CDC), the National Institutes of Health (NIH), the research community, and nongovernmental organizations, private voluntary organizations and other elements of the private sector. Results will be achieved through continued close collaboration with these and other partners, including multilateral and bilateral donors and the commercial sector.

By the end of FY 2001, much progress will have been made in bringing more effective tools to bear on the fight against the spread of infectious diseases. For example, a rapid diagnostic for accurately testing for malaria will be ready for introduction into field programs. This will address a key problem in treatment of malaria - accurate and early detection. Because of intense interactions with partners over the last several years, there will be consensus on a global action plan for reducing the spread of anti-microbial resistance, and for a global strategy for reducing TB, including the establishment of a global charter, research agenda, and a global drug facility. Insecticide treated materials - which past research has shown to be very powerful for reducing mortality - will be more commercially available and accessible to the poorest in society. This will be accomplished by working with several countries to exempt insecticide-treated materials from value added tax - which makes them prohibitively expensive, and by working in close collaboration with the commercial private sector to make low cost netting and re-treatments available. More countries will have adopted and begun implementation of the Directly Observed Therapy - Short course strategy for tuberculosis control; and several countries will be on their way to improved capacity to monitor and respond to infectious diseases with improved surveillance capacity

Possible Adjustments to Plans: Progress in each of these areas - from research to policy change to behavior change and improved health service delivery systems -- must be recognized as a long term issue that must be dealt with in partnership with others. Therefore, adjustments must be made over time in response to new research developments, new partnerships, and changing realities at the field level. For example, clinical trials of new drug regimens or new drug combinations are comprised of several phases, and newly developed diagnostics, revised treatment guidelines and intervention approaches must undergo efficacy and usability trials, all of which may affect anticipated results. In collaboration with WHO and other partners, USAID is participating in the development of global strategies for anti-microbial resistance and tuberculosis. As these strategies are developed and as priorities emerge, some adjustments may be necessary.

Other Donor Programs: Organizations such as the World Health Organization (WHO), Centers for Disease Control and Prevention (CDC), National Institutes of Health (NIH), World Bank, Department for International Development have been engaged in the effort to prevent and control infectious diseases for many years. These and organizations such as Japan International Cooperation Agency, other bilateral donors, International Union Against Tuberculosis and Lung Disease (IUATLD) other NGOs and U.S. universities and research institutions are key partners for USAID in addressing infectious disease threats.

Principal Contractors, Grantees or Agencies: To undertake these activities, G/PHN provides support to: WHO, CDC, NIH, International Network for the Rational Use of Drugs, Management Sciences for Health, IUATLD, the Alliance for the Prudent Use of Antibiotics, Walter Reed Army Institute of Research, Naval Medical Research Center, Program for Appropriate Technology in Health, Johns Hopkins University, Harvard University, The United States Pharmacopeia Convention, Gorgas Institute, Camp Dresser and McKee, and International Clinical Epidemiology Network.

Selected Performance Measures:	Baseline (1998)	Actual (1998)	Target (1999)	Target (2000)	Target (2001)
Development and adoption of a Global Action Plan for control of anti-microbial resistance and Tuberculosis	No global plan exists	No global plan exists	Technical reviews for anti-microbial resistance strategy in progress; STOP TB launched by WHO with support from USAID	Development of draft AMR Global Strategy document; Development of action plan for TB underway,	Partners endorse AMR and TB action plans
New methods or low-cost diagnostics developed and field tested for (a) anti-microbial resistance; (b) TB; and (c) malaria	No low cost diagnostic exists for TB; malaria diagnostic developed and beginning field trials; in-vivo methods to monitor AMR for pneumonia and gonorrhea do not exist	No low cost diagnostic exists for TB; malaria diagnostic developed and beginning field trials; in-vivo methods to monitor AMR for pneumonia and gonorrhea do not exist	Field trials on efficacy and usability of two malaria diagnostics completed.	Strategy for introduction of malaria diagnostics developed; 2 new in-vivo methods for monitoring AMR ready for testing; development of a TB diagnostic nearly complete.	Introduction of malaria diagnostics underway; field trials underway for TB diagnostic and new methods to detect AMR
Number of additional countries where Directly Observed Therapy, Short-course strategy for TB is adopted nationally or sub-nationally	0	0	0	3	5
Number of countries where the commercial sector is providing widely available low cost bednets and insecticide treatment services	0	0	0	2	5



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Gender-based constraints to economic growth policies and programs increasingly addressed, 941-001

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$2,440,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$2,440,000 DA

INITIAL OBLIGATION: FY 1995; **ESTIMATED COMPLETION DATE:** FY 2003

Summary: This program, which corresponds to the Agency goal "broad-based economic growth and agricultural development encouraged," stresses the importance of full participation of women as well as men, to achieve broad-based, equitable, and sustainable growth. During the past year, the statement of this objective was refined to "achieving improvements in women's economic status by working with policy makers". Increasing policy makers' understanding of the constraints to gender-based participation in economic growth will result in policies and programs that are more inclusive and provide improvements in the economic status of women. Global's Office of Women in Development (G/WID) uses three types of activities to achieve this objective: direct engagement of policy makers; strengthening the capacity of nongovernmental organizations (NGOs) and other partners to address women's economic issues; and support for high-quality research on gender-based constraints to economic growth, including policy implications. The program works through USAID field missions and other operating units as well as directly with public and private sector policy makers.

Key Results: Three key intermediate results (IRs) are necessary to achieve this objective: (1) increased engagement of policy makers in addressing gender issues in economic growth; (2) increased effectiveness of NGOs and other partners in addressing women's economic issues; and (3) increased knowledge and skills to deal with gender issues affecting economic growth.

Performance and Prospects: Performance over the past year was measured according to the indicators listed under the previous statement of the objective. Performance exceeded expectations on all key indicators at both the objective and IR level. At the objective level, G/WID increased national, regional or local recognition of gender-based constraints to economic development in 18 countries, exceeding the target of 15. The engagement of policy makers was increased through 40 high visibility fora for dialogue on women's economic status among NGOs, host country government officials, and business leaders. Topics included women's roles in transition economies (Russia, Ukraine), constraints that affect agricultural production (Kenya), women's formal sector employment (Russia, Bangladesh), and access to credit, markets and vocational training (Sri Lanka, Cambodia, Senegal). The effectiveness of NGOs in addressing women's economic issues was increased by supporting over 30 NGO interventions, focused on improving women's economic status; and knowledge and skills were increased by supporting the production of over 25 peer-reviewed publications, research reports, and conference papers on women's economic status.

Possible Adjustments to Plans: This objective was refined in FY 1998 to adjust the indicators by which the results are measured, placing the emphasis more directly on measurement of impact rather than on measurement of output. G/WID does not foresee further adjustments at this time.

Other Donor Programs: WID's participation on the Working Group for Poverty Reduction of the Organization for Economic Cooperation and Development/Development Assistance Committee (OECD/DAC), the President's

Inter-Agency Committee on Food Security, and the Working Group of the President's Inter-Agency Council on Women in the Global Economy complements the activities outlined here for achievement of the objective through direct collaboration with these donor organizations and other agencies of the U.S. Government (U.S. Department of State, U.S. Department of Agriculture, U.S. Department of Labor) involved in similar programs.

Principal Contractors, Grantees or Agencies: Current grantees and contractors include DevTech Systems, Inc.; a consortium led by Development Alternatives, Inc.; the International Food Policy Research Institute; Winrock International; the International Center for Research on Women; and the University of Illinois at Urbana-Champaign. Several of these awards will end this year and new awards will be made to supplant those activities.

Selected Performance Measures:	(1997) Baseline	(1998)* Actual	(1999) Target	(2000) Target	(2001) Target	(2002) Target
Number of countries with increased national, regional, or local recognition of gender-based constraints to economic development.	10	18	20	23	24	25
Number of fora established for dialogue among WID cooperating NGOs and other partners and host country government officials and business leaders.	16	42	26	10	10	10
Number of peer-reviewed publications, research reports, and conference papers.	14	26	22	20	10	6

*FY 1998 actuals are based on WID's original strategy which was revised in FY 1999 to better reflect accomplishments under revised intermediate results.

[U.S. Financing Table for 941-001](#) (Microsoft Excel Document - 28 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Program

TITLE AND NUMBER: Broad-based, informed constituencies mobilized to improve girls' education in emphasis countries, 941-002

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$2,340,000 CSD

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCES: \$2,340,000 CSD

INITIAL OBLIGATION: FY 1995; **ESTIMATED COMPLETION DATE:** 2003

Summary: Through the central Office of Women in Development (G/WID), USAID has been working to mobilize host-country commitment and resources for girls' education in five emphasis countries: Mali, Morocco, Guatemala, Guinea, and Peru. Analytic studies underway in Bolivia, Honduras, and Nepal are assessing the impact of women's literacy training on countries' social and economic development, providing essential information for critical resource and programmatic decisions. In Peru, USAID is analyzing data collected on the impact of the onset of puberty on girls' school dropout rates and assessing its implications for educational policy to increase girls' school retention. USAID is also designing reliable indicators for measuring the progress and achievements of girls' education activities and is implementing a system to monitor the sustainability of girls' education initiatives in USAID-assisted countries.

Key Results: Four intermediate results contribute directly to the achievement of this objective: (1) strengthened capacity of public and private sector institutions to promote girls' education; (2) improved knowledge to implement policies, strategies, and programs for girls' education; (3) mobilized leadership to promote girls' education; and (4) broadened local community participation to promote girls' education.

Performance and Prospects: Performance over the past year has been positive, with major gains in several countries. Significant progress has been made toward achieving increases in girls' primary school completion in target areas in Morocco, Guatemala, and Guinea. In Morocco, USAID has mobilized private-sector resources to implement girls' education projects. Taking on the challenge issued to business leaders during the 1998 International Conference on Girls' Education held in Washington, D.C., the high-level Moroccan delegation returned to Morocco and organized a national conference on girls' education. Nine hundred representatives of the private sector attended the conference, which highlighted a pilot program by WAFABANK to develop partnerships between bank branches and schools. As a direct result, 16 banks and 1,600 members of the private sector created the "School-Enterprise Partnership Association" to implement 600 new school/business partnerships in collaboration with the Moroccan Ministry of National Education. In Guatemala, in a public-private partnership, the government has committed to increase the number of scholarships for girls by a total of \$1.6 million of Guatemalan government resources. USAID has also supported the formation of 100 parent groups in a remote and disadvantaged area of the country; the parent groups are actively working on actions to increase girls' school participation. In addition, major businesses, NGOs, and media networks are contributing funds and administrative support for a publicity campaign on girls' education for the year 2000.

In Guinea, local communities are implementing locally designed girls' education projects, including the construction of latrines, the adding of classrooms to existing schools, the development of media spots on the importance of girls' education, and road maintenance to make school access easier. In Mali, for the first time, ministry officials and key representatives of civil society organizations, including NGOs, media organizations, businesses, and religious leaders, worked together to develop a program of life skills for girls that includes over 90 separate modules (instructional materials for students and teachers' guides for lessons on such life skills as nutrition, hygiene, first aid, and managing

money). Teachers are now being trained to use the modules. In Honduras, Bolivia, and Nepal, data collection and analyses on the impact of women's literacy training on social and economic development are ongoing and preliminary findings are being disseminated to decision-makers. In Peru, data collection on the impact of the onset of puberty on girls' primary school rates of dropout and retention ended and data analysis is nearing completion. A program for monitoring the progress of USAID and other donor-assisted girls' education initiatives in achieving sustainable actions for girls' education is underway.

The Agency continues to promote the rigorous review and dissemination of issues that dominate the field of girls' education. In FY 1999, USAID brought together fifty of the leading actors in girls' education to define the issues and is planning to present these issues to a wider audience at an international symposium on girls' education where analysis and recommendations of improved strategies and actions for girls' education will be made. Progress continues to be made in achieving the target of 20% increase in girls' primary school completion in six targeted areas during this period.

Possible Adjustments to Plans: No adjustments are anticipated at this time.

Other Donor Programs: With support from a multi-donor planning committee, which includes representatives from UNICEF, the Inter-American Development Bank, the Delegation of European Commission, the Lewis T. Preston Education Program for Girls, and the World Bank, USAID is monitoring the commitments made by high-level delegations at the international conference on girls' education to improve policies and programs for girls' education. USAID continues to convene the major donors at USAID-sponsored fora, seminars, and symposiums that include reports on findings from research and evaluations on girls' education and deliberations on policy implications and implementation for girls' education. Donors are active in conducting research, program development, advocacy, and policy dialogue on girls' education.

Principal Contractors, Grantees or Agencies: Current grantees and contractors include the Institute for International Research; World Education, Inc.; Creative Associates International Inc.; the Academy for Educational Development; DevTech Systems, Inc.; and Juárez and Associates.

Selected Performance Measures:	Baseline (1997)	Actual (1998)	Target (1999)	Target (2000)	Target (2001)	Target (2002)
Number of civil society organizations (CSOs) & other private sector organizations initiating actions to promote girls' education	0	12	9	12	18	18
Number of public sector units initiating actions to promote girls' education	0	5	3	5	6	8
Number of CSOs & other private sector organizations with increased revenue from non-USAID sources to promote girls' education	0	5	6	12	18	24
Number of analytical tools and studies produced and disseminated to inform policies, strategies, and programs for girls' education	18	9	12	12	12	12



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Women's legal rights increasingly protected, 941-003

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$3,020,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$2,520,000 DA

INITIAL OBLIGATION: FY 1995; **ESTIMATED COMPLETION DATE:** FY 2003

Summary: Limitations on women's legal and property rights are widespread in developing and transitional countries. Legal restrictions on women's ownership of land and other property are common, and laws often support inheritance patterns that favor men. Uneven application of the law often discriminates against women, disallowing their full participation in society, and resulting in unequal treatment in economic activities. USAID's Women's Legal Rights Initiative, developed under and implemented through the Global Bureau's Office of Women in Development (G/WID) objective and announced at the United Nations Fourth World Conference on Women in Beijing, seeks to improve women's legal rights in order to ensure that women can achieve such goals as economic parity and increased participation in governance and civil society.

Key Results: Four intermediate results contribute to the effective protection of women's legal rights: (1) improved legislation that protects women's rights; (2) enhanced justice sector capacity to interpret and enforce legislation in a gender-equitable manner; (3) strengthened civil society organizations to advocate for women's legal concerns; and (4) increased knowledge of, and receptivity to, women's legal rights.

Performance and Prospects: Performance targets for the past year have been met. Nonetheless, there are still barriers to achieving women's legal rights, which include cultural constraints, a policy environment inadequately informed by gender perspectives, and lack of awareness of the obstacles that women face to the full enjoyment of their human rights.

Mounting evidence of human rights abuses directed specifically at women, and of situations where the law does not provide women equal protection, has led to calls for a direct focus on the legal and human rights of women within the broad mandate of respect for human rights. This focus has been affirmed by the Convention to Eliminate All Forms of Discrimination Against Women and the Platform for Action from the Fourth World Conference on Women. Recently, Secretary of State Albright highlighted the primacy of attention to the human rights of women, as a basic tenet of U.S. foreign policy.

Inequality before the law not only denies women their basic human rights, but limits their access to and control over productive resources and decision-making, which are essential to full participation and achievement in all the Agency's goal areas. The premise for this program is that while sustainable development and democratic governance depend upon the equality of all citizens under the law, limitations of women's legal rights are widespread and inhibit women's economic and social progress, undermine democratic reform, and reduce the effectiveness of all development programs.

Possible Adjustments to Plans: Based on a customer survey conducted in FY 1995 and in-depth discussions with WID's development partners within and outside the Agency, this objective was refined in FY 1999 to adequately reflect the reality of G/WID efforts at a number of levels: (1) USAID program and policy; (2) support to Washington operating units; (3) support to field missions in all four geographic regions; and (4) closer collaboration with development partners and implementing organizations, including research institutions and non-governmental organizations (NGOs). Results

of these discussions point to the need to more closely integrate programming with mission democracy and governance portfolios. Therefore, a new contract will be awarded this year that specifically links this program to missions' work while maintaining high-quality worldwide results.

Other Donor Programs: Relationships are maintained with a number of development partners and multilateral and bilateral donors in order to advance women's legal rights. Key partners in this area are the President's Interagency Council on Women, which coordinates USG work on sexual trafficking; the United Nations Commission on the Status of Women, which is the major UN forum to raise gender issues (including those of women's rights and status); the Working Party on Gender Equality and the Network on Poverty Reduction of the Organization for Economic Cooperation and Development/Development Assistance Committee, which produces policy documents and holds high-level meetings on gender issues (including those of women's rights); the United Nations Children's Fund, which is including issues of gender-based violence into country and regional programs; and the World Bank, which has disseminated research on laws which constrain women's full participation in society.

Principal Contractors, Grantees or Agencies: Current grantees and contractors include the International Center for Research on Women; the Center for Development and Population Activities; the Asia Foundation; Women, Law, and Development International; DevTech Systems, Inc., and Development Alternatives, Inc. WID anticipates the award of a new competitive contract in FY 2000.

Selected Performance Measures:	(1997) Baseline	(1998)* Actual	(1999) Target	(2000) Target	(2001) Target	(2002) Target
Number of WID programs in women's legal rights actively supported by G/DG, Regional Bureaus and Missions.	4	13	8	11	15	18
Number of legislative actions taken to embody women's human rights in law.	2	9	4	5	7	10
Number of NGOs submitting reports to national, regional or international human rights monitoring bodies	9	22	3	5	5	5

*FY 1998 actual numbers are based on G/WID's original strategy which was revised in FY 1999 to better reflect accomplishments under revised intermediate results.

[U.S. Financing Table for 941-003](#) (Microsoft Excel Document - 28 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Enhance communities' capabilities to conduct low-cost, grass-roots, sustainable development activities, 940-001

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$1,500,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$1,500,000 DA

INITIAL OBLIGATION: FY 1995; **ESTIMATED COMPLETION DATE:** FY 2004

Summary: Since FY 1995, the Peace Corps Small Project Assistance (SPA) program has supported Peace Corps Volunteers (PCVs) in identifying, designing, and implementing small-scale, community-level, self-help, sustainable development activities in areas of priority to USAID. These activities increase participation at the local level and help lay the foundation for transition to democratic societies. As a direct result of USAID's intervention, working through the Peace Corps, an estimated 3,928 indigenous community groups have enhanced their capacity to address self-identified community needs by increasing economic and educational opportunities and improving health conditions for over 2.1 million community members.

The SPA program facilitates local grassroots efforts by combining PCV knowledge of local conditions with USAID technical and financial resources. This activity has two primary components. First, SPA grants provide funding to small sustainable development activities developed by PCVs in conjunction with local community organizations. In FY 1998, each grant averaged about \$2,000. Second, technical assistance supports the participation of host country nationals in training activities that enhance activity design and management.

Key Results: In FY 1998 a total of 803 community-based activities were supported by SPA. These activities directly benefited over 561,475 individuals. SPA grants totaled \$1,728,593 and local community contributions exceeded \$1,273,998. SPA also supported 80 training events, benefiting 10,918 Host Country Nationals. Over 2,300 organizations were strengthened.

Performance and Prospects: SPA targets have been exceeded each year since the inception of this objective. Each year, regional bureau demand for services and the use of the SPA mechanism has increased, both in Washington and field missions. It appears, however, that future regional bureau needs may not be met due, in part, to overall declining Agency budget levels and limited availability of economic growth (EG) funds.

Possible Adjustments to Plan: Since the SPA objective was largely designed to respond to regional bureau and mission demand, reduced funding levels will mean that SPA programs will operate in fewer countries and at reduced levels of effort in selected counties.

Other Donor Programs: Local community organizations make in-kind contributions of land, labor, and materials. The host country government sponsoring agency and the Peace Corps provide oversight and fiscal accountability for all USAID-supported activities.

Principal Contractors, Grantees or Agencies: USAID makes funds available through a participating agency service agreement to the Peace Corps which, in turn, provides funds and technical assistance to local community organizations. Grant recipients provide 35% of total project costs.

Selected Performance Measures:	Baseline (1997)	Actual (1998)	Target (1999)	Target (2000)	Target (2001)
Projects developed	781	803	850	950	950
Beneficiaries	458,347	561,475	640,000	700,000	700,000
Host country nationals trained	7,948	10,918	10,500	12,551	12,551
Local dollars leveraged	1,772,593	1,273,998	1,400,000	1,800,000	1,800,000
Organizations strengthened	2,259	2,281	300	2,300	2,300

[U.S. Financing Table for 941-004](#) (Microsoft Excel Document - 28 kb)



Budget Justification FY 2001

Global Bureau Summary Tables

[Program Summary](#)
 [Work Force Data](#)
 [Program/Sector Summary](#)

Program Summary

(In Thousands of Dollars)

Category	FY 1998 Actual	FY 1999 Actual	FY 2000 * Estimated	FY 2001 Request
Development Assistance	245,595	263,392	250,596	357,588
Development Fund for Africa	0	0	0	0
Child Survival & Disease Fund	110,425	122,860	132,234	140,251
Freedom Support Act Funds	0	0	0	0
SEED Act Funds	0	0	0	0
Economic Support funds	7,000	7,039	10,000	5,000
P.L. 480 Title II	0	0	0	0
P.L. 480 Title III	0	0	0	0
Total Program Funds	363,020	393,291	392,830	502,839
Operating Expenses	989	1,019	1,035	1,040
Environment Travel	170	213	197	0
Trust Funds	0	0	0	0
Total Operating Costs	1,159	1,232	1,232	1,040

* Excludes \$19.5 million being transferred from the Africa, Asia Near East and Latin America Bureaus.

** Excludes Development Credit (DC). DC information is located in the credit section.

Work Force Data

Category	FY 1998 Actual	FY 1999 Actual	FY 2000 Estimated	FY 2001 Request
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OE Funded*				
U.S. Direct Hire	225	199	204	208
Other U.S. Citizen	0	0	0	0
FSN/TCN	0	0	0	0
Subtotal OE Funded	225	199	204	208
Program Funded*				
U.S. Citizen	57	62	73	75
FSN/TCN	0	0	0	0
Subtotal Program Funded	57	62	73	75
Other				
TAACS	18	22	24	24
Fellows	70	67	70	70
IDIs	0	0	0	0
Subtotal Other	88	89	94	94
Total Work Force	370	350	371	377

* Excludes Technical Advisors for AIDs and Child Survival (TAACS), Fellows, and International Development Interns (IDIs)

** Excludes Development Credit (DC). DC information is located in the credit section

Global: Office of the Assistant Administrator Administrative Management Staff Office of Program Development and Strategic Planning

[Program Summary](#)

[Work Force Data](#)

[Program/Sector Summary](#)

Program Summary

(In Thousands of Dollars)

Category	FY 1998 Actual	FY 1999 Actual	FY 2000 Estimated	FY 2001 Request
Development Assistance	1,273	1,299	1,500	1,500
Development Fund for Africa	0	0	0	0
Child Survival & Disease Fund	0	1,400	0	0
Freedom Support Act Funds	0	0	0	0
SEED Act Funds	0	0	0	0
Economic Support funds	0	0	0	0

P.L. 480 Title II	0	0	0	0
P.L. 480 Title III	0	0	0	0
Total Program Funds	1,273	2,699	1,500	1,500
Operating Expense**	123	156	148	149
Trust Funds	0	0	0	0
Total Operating Costs	123	156	148	149

Work Force Data

Category	FY 1998 Actual	FY 1999 Actual	FY 2000 Estimated	FY 2001 Request
OE Funded*				
U.S. Direct Hire	23	19	20	20
- AA/G	(6)	(5)	(6)	(6)
- AMS	(8)	(7)	(6)	(6)
- PDSP	(9)	(7)	(8)	(8)
Other U.S. Citizen	0	0	0	0
FSN/TCN	0	0	0	0
Subtotal OE Funded	23	19	20	20
Program Funded*				
U.S. Citizen	0	0	0	0
FSN/TCN	0	0	0	0
Subtotal Program Funded	0	0	0	0
Other				
TAACS	0	0	0	0
Fellows	0	0	0	0
IDIs	0	0	0	0
Subtotal Other	0	0	0	0
Total Work Force	23	19	20	20

* Excludes Technical Advisors for AIDs and Child Survival (TAACS), Fellows, and International Development Interns (IDIs)

Program/Sector Summary

(In Thousands of Dollars)

USAID Strategic and Special Objectives	Economic Growth & Agriculture	Population & Health	Environment	Democracy	Human Capacity Development	Humanitarian Assistance	TOTALS
940-001 Enhance communities' capabilities to conduct low-cost, gras-roots, sustainable development activities							
- DA	1,500	0	0	0	0	0	1,500
- DFA	0	0	0	0	0	0	0
- CSD	0	0	0	0	0	0	0
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0
Total							
- DA	1,500	0	0	0	0	0	1,500
- DFA	0	0	0	0	0	0	0
- CSD	0	0	0	0	0	0	0
- SEED	0	0	0	0	0	0	0
- ESF	0	0	0	0	0	0	0
- P.L. 480/II	0	0	0	0	0	0	0
Center Total	1,500	0	0	0	0	0	1,500

Barbara Turner
Acting Assistant Administrator



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Enhance communities' capabilities to conduct low-cost, grass-roots, sustainable development activities, 940-001

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$1,500,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$1,500,000 DA

INITIAL OBLIGATION: FY 1995; **ESTIMATED COMPLETION DATE:** FY 2004

Summary: Since FY 1995, the Peace Corps Small Project Assistance (SPA) program has supported Peace Corps Volunteers (PCVs) in identifying, designing, and implementing small-scale, community-level, self-help, sustainable development activities in areas of priority to USAID. These activities increase participation at the local level and help lay the foundation for transition to democratic societies. As a direct result of USAID's intervention, working through the Peace Corps, an estimated 3,928 indigenous community groups have enhanced their capacity to address self-identified community needs by increasing economic and educational opportunities and improving health conditions for over 2.1 million community members.

The SPA program facilitates local grassroots efforts by combining PCV knowledge of local conditions with USAID technical and financial resources. This activity has two primary components. First, SPA grants provide funding to small sustainable development activities developed by PCVs in conjunction with local community organizations. In FY 1998, each grant averaged about \$2,000. Second, technical assistance supports the participation of host country nationals in training activities that enhance activity design and management.

Key Results: In FY 1998 a total of 803 community-based activities were supported by SPA. These activities directly benefited over 561,475 individuals. SPA grants totaled \$1,728,593 and local community contributions exceeded \$1,273,998. SPA also supported 80 training events, benefiting 10,918 Host Country Nationals. Over 2,300 organizations were strengthened.

Performance and Prospects: SPA targets have been exceeded each year since the inception of this objective. Each year, regional bureau demand for services and the use of the SPA mechanism has increased, both in Washington and field missions. It appears, however, that future regional bureau needs may not be met due, in part, to overall declining Agency budget levels and limited availability of economic growth (EG) funds.

Possible Adjustments to Plan: Since the SPA objective was largely designed to respond to regional bureau and mission demand, reduced funding levels will mean that SPA programs will operate in fewer countries and at reduced levels of effort in selected counties.

Other Donor Programs: Local community organizations make in-kind contributions of land, labor, and materials. The host country government sponsoring agency and the Peace Corps provide oversight and fiscal accountability for all USAID-supported activities.

Principal Contractors, Grantees or Agencies: USAID makes funds available through a participating agency service agreement to the Peace Corps which, in turn, provides funds and technical assistance to local community organizations. Grant recipients provide 35% of total project costs.

SELECTED PERFORMANCE MEASURES	Baseline (1997)	Actual (1998)	Target (1999)	Target (2000)	Target (2001)
Projects developed	781	803	850	950	950
Beneficiaries	458,347	561,475	640,000	700,000	700,000
Host country nationals trained	7,948	10,918	10,500	12,551	12,551
Local dollars leveraged	1,772,593	1,273,998	1,400,000	1,800,000	1,800,000
Organizations strengthened	2,259	2,281	300	2,300	2,300

[U.S. Financing Table for 940-001](#) (Microsoft Excel Document - 28 kb)



Budget Justification FY 2001

Development Credit Summary Tables

[Credit Administrative Expenses](#)

[Credit Funded Staffing](#)

Credit Administrative Expenses

(\$000)

Location	FY 1998 Actual	FY 1999 Actual	FY 2000 Estimate	FY 2001 Request
Global Bureau	4,262	3,573	3,838	4,400
Management Bureau				2,400
Centrally Funded Costs				
Ecuador	381	316		
Guatemala	169	268	421	400
India	436	270	333	350
Indonesia	297	289	253	150
Morocco	181	128	128	
Peru				
Poland	490	236	219	
South Africa	174	248	298	300
Zimbabwe	74	68		
Total Credit Funding	6,464	5,396	5,490	8,000

FY 1998 through FY 2000 includes US and MSED Credit Administrative Expenses

Credit Funded Staffing

Location	9/30/1998 Actual				9/30/1999 Actual				9/30/2000 Estimate				9/30/2001 Request				
	USDH	Other Credit	Prog.	Total	USDH	Other Credit	Prog.	Total	USDH	Other Credit	Prog.	Total	USDH	Other Credit	Prog.	Total	
Global Bureau																	13
Environment	11		1	12	9			9	9			9					0
				0				0				0					0
All Other				0				0				0					0
Total Global Bureau	11		1	12	9		0	9	9		0	9	13			0	0
Management Bureau				0				0				0	9				9
Total Washington	11		1	12	9		0	9	9		0	9	22			0	9

Ecuador	1	6	4	11	1			1				0				0
Guatemala	1	2		3	2	3	2	7	2			2	2			2
India	2	3	3	8	1	1	7	9	2			2	2			2
Indonesia	1	3		4	1	2		3	2			2	1			1
Morocco	1		2	3	1	1	1	3	1			1				0
Peru	1		2	3				0				0				0
Poland		3		3		2	2	4				0				0
South Africa	3			3	3		3	6	3			3	2			2
Zimbabwe	1	2	1	4	1	2	1	4				0				0
Total Overseas	11	19	12	42	10	11	16	37	10	0	0	10	7	0	0	7
Total Credit	22	19	13	54	19	11	16	46	19	0	0	19	29	0	0	16



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Increased capacity of private voluntary and cooperative development organizations to enhance their Title II planning, implementation and evaluation capacities, 962-001/962-002

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$2,159,000 DA, \$2,941,000 CSD

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$3,978,000 DA, \$2,022,000 CSD

INITIAL OBLIGATION: FY 1986; **ESTIMATED COMPLETION DATE:** Continuing

Summary: The Institutional Support Assistance (ISA) program supports sustained improvement in household and agricultural productivity for vulnerable groups served by USAID food aid programs implemented by USAID's Office of Food for Peace. The program does so through increasing USAID's FFP partners' effectiveness in carrying out Title II development activities with measurable results related to food security and meeting critical food needs in emergencies. As a result of these activities, private voluntary organizations (PVOs) and cooperative development organizations (CDOs) benefit from an increased capacity for Title II planning, implementation and evaluation. Institutional Support Assistance helps PVOs and CDOs design and implement P.L. 480 Title II programs aimed at fostering food security. ISA agreements provide support to PVOs and CDOs to: (1) better target food aid activities; (2) promote increased country (national) food security through better definition of purpose, key elements, trends, data quality and discrepancies, and local government commitment; (3) further develop and implement common, generic food aid performance indicators and mutually acceptable methodologies that cooperating sponsors and USAID can use in measuring the impact of food aid; and (4) establish sound monitoring and evaluation systems.

Key Results: In FY 1998 over \$24,000,000 in life-of-project funding for ISAs were awarded to 14 PVOs and CDOs. Annual Reports submitted at the close of FY 1999 indicate that the awards are yielding good results. The PVOs are continuing to strengthen monitoring and evaluation systems put into place under the Institutional Support Grant Program (FY 1992 - 1997). The PVOs are also continuing to build both their headquarters and in-country staff through technical exchanges, training workshops, and involvement in monitoring and evaluation activities. Examples of achievements include:

- World Vision (WV) cited increased capacity both in the field and at headquarters to implement Title II emergency, transition, and development programs. In FY 98, WV's first Title II program in Asia was approved for Indonesia.
- Food Aid Management (FAM) has further institutionalized working groups that were established under the previous ISGs, to continue the exchange of operational and technical skills among the Title II cooperating sponsors.
- Food for the Hungry International (FHI) - FHI held five (5) workshops in which ninety (90) food security staff were trained in development program monitoring and evaluation methods and emergency program preparedness.

Other Donor Programs: The World Food Program, other relevant United Nations agencies and the European Commission coordinate with USAID and the U.S. cooperating sponsors on food security policies. Local governments enhance the flow and effectiveness of investments in Title II supported programs.

Possible Adjustments to Plans: None

Principal Contracts, Grantees or Agencies: USAID implements activities through U.S. PVOs, cooperative development organizations and institutional support contractors on a competitive basis.

Selected Performance Measures: Progress has been made and will continue to be made in improving Title II development, transitional and emergency programs. In order of their completion during 1995 - 1998, the following are indications of progress:

1. A comprehensive Food Aid and Food Security Policy Issued.
2. FFP food security strategic objectives redefined and more precisely focused.
3. Food aid performance core indicators developed to better assess the impact of food aid.
4. Guidelines issued on food aid monetization and internal transport, storage and handling (ITSH) of Title II emergency commodities; and procedures for closeout countries refined.
5. Impact indicators defined and impact monitoring and evaluation systems improved.
6. Collaboration by cooperating sponsors and USAID missions to plan, design and implement Title II activities increased.
7. Introduced new standardized assistance agreements, i.e., Transfer Authorization documents.

[U.S. Financing Table for 962-001/962-002](#) (Microsoft Excel Document - 28 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Increased private voluntary organization capacity to achieve sustainable service delivery, 963-001/960-001

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$26,699,000 DA, \$24,155,000 CSD

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$26,442,000 DA, \$25,969,000 CSD

INITIAL OBLIGATION: FY 1981 **ESTIMATED COMPLETION DATE:** Continuing

Summary: USAID, through the Office of Private and Voluntary Cooperation (PVC), provides support to U.S. private voluntary organizations (PVOs) and cooperative development organizations (CDOs) to support innovative programs at the field level and to strengthen their managerial, operational and technical capabilities and those of their local non-governmental organization (NGO) partners to achieve sustainable results through participatory, grassroots development activities in USAID priority sectors.

Key Results: USAID supports activities that improve the effectiveness and sustainability of service delivery. PVC focuses on improving: (1) U.S. PVO operational systems and technical capacity; (2) partnerships between USAID and U.S. PVOs; (3) partnerships between U.S. PVOs and their local NGO partners; (4) mobilization of resources by PVO partners; and (5) public awareness of international development activities. Over the past 15 years, USAID, other donors and host countries have seen evidence of success in capacity-building as PVOs and NGOs become more capable development partners. In addition, PVC's programs are unique in that they serve as a learning laboratory for new and more effective approaches to service delivery. The matching grants program is especially important to USAID's partners, as it is one of the few Agency programs that provides support to PVOs and NGOs to build the internal operational systems that are necessary to address scale-up and replication. Through the efforts of the Matching Grants Program, the PVOs working in microenterprise programs were able to develop their systems, build staff capacity and strengthen their ability to deliver services. There has been significant growth in the loan portfolios of these PVOs. Lending volume, or the value of the active portfolio, increased from approximately \$116 to \$143 million dollars in the last reporting period. The total number of loans increased by approximately 20% and the number of women borrowers by 10% from the previous reporting period. In addition, Child Survival and Microenterprise PVOs have formed consortia to act as a forum for the exchanges of successes and "best practices". The professional networks, which were established with PVC seed money, have evolved and taken a leading role in improving technical standards in their respective sectors, they have increased the use of state-of-the-art approaches, and the networks have become important players in the international arenas. The power and potential of these PVO networks is demonstrated by the willingness of the Global Bureau to program \$8 million dollars for global polio surveillance through CORE the child survival network. Regarding resource mobilization, the Matching Grants program leverages PVO funding that is more than 100% of USAID support for the program's 43 active grants, being the only USAID program that leverages a minimum 50% cash only match. Both the Development Education and Cooperative Development program partners leverage resources from domestic sources not traditionally involved in international development issues or in development education. The Biden-Pell Development Education program requires grantees to partner with a national trade or membership organization. The partnership strategy has proven to be an effective means of leveraging resources through matching contributions and of reaching new audiences with development education messages. The Global Excellence in Management program has helped to build local NGO capacity through PVO-NGO partnering and training workshops, strengthening NGO national and regional associations and MBA-related certificate programs.

Performance and Prospects: The Matching Grants Program supports U.S. PVOs in their efforts to implement programs through structured partnerships with local organizations. The capacity of PVOs to design and administer sectoral programs is strengthened, and support is given to integrate cost-recovery mechanisms into all programs. The Child Survival Grant Program increases U.S. PVO technical and managerial competence and expands their coverage of basic child survival interventions; thus directly contributing to increased immunization rates and reduced mortality from diarrhea and other life-threatening diseases. This competitive grant program has enhanced the participation of U.S.-based PVOs and their local partners in reducing infant, child, and maternal mortality. It places high priority on sites with under-five mortality of greater than 100/1,000, where poor maternal care, lack of water and sanitation services, and the scarcity and declining quality of health services contribute to high mortality from such causes as malaria, diarrhea, pneumonia, malnutrition, and vaccine-preventable diseases. PVOs work with local governments, non-governmental groups and communities to transfer preventive health care technologies and skills and improve services and education to address these problems in areas that are least-served by existing health care services. The Cooperative Development program enables U.S. cooperative development organizations to create or strengthen cooperative movements in developing countries and new democracies. CDOs provide assistance, training and investments to local counterpart organizations to serve a broad range of needs including housing, electrical and telephone services, financial services, and agricultural development. The Ocean Freight Reimbursement program continues to meet some of the costs of shipping PVO supplies to developing countries in support of development and humanitarian activities. This program enables approximately 50 PVOs each year to meet costs of shipping supplies. Recipients of Ocean Freight funds generally have a strong link to grassroots recipient organizations, with which they work and are able to leverage cost-shared resources that are many times greater than the funds USAID administers. For example, for every USAID grant dollar, \$43 in private resources is leveraged. The Ocean Freight program has become a starting point for newly-registered PVOs as they learn to administer overseas programs. The Development Education program supports new partnerships and expanded networks to create opportunities for the U.S. public to understand international development. This program works with PVOs and other non-profit organizations in providing Americans with opportunities to learn about developing countries, the U.S. foreign assistance program, and the work of PVOs and CDOs abroad. This is consistent with the 1980 Report of the Presidential Commission on World Hunger, which called for increased public awareness of the factors relating to hunger and poverty abroad.

Possible Adjustments To Plans: A new activity will be initiated this FY with initial funding of up to \$1 million. Its purpose is to enhance the capacities of USAID Missions and U.S. PVOs to partner with local NGOs to increase their contribution to the development process in the countries where USAID works. This centrally-managed activity will be closely coordinated with USAID Missions. It will provide training and technical assistance to Missions, U.S. PVOs and local NGOs to strengthen their organizational and technical capacity.

Other Donor Programs: The United States is a leader among donors in support to PVOs and NGOs. Other donors include multilateral development banks, multilateral agencies (such as the United Nations Development Program), the European Community and other bilateral donors. USAID works with other donors through the Advisory Committee on Voluntary Foreign Aid and by cooperating with the NGO Liaison Units of the multilateral development banks. The U.S. private sector also contributes substantially through individual, corporate, and foundation donations to PVOs. Increasing emphasis is being placed on cost-recovery mechanisms at the local level.

Principal Contractors, Grantees, or Agencies: The activities are implemented through U.S. PVOs and cooperative development organizations selected through a competitive process.

Major Results Indicators: The indicators used to measure progress toward the objective include measures at the level of capacity-building, service delivery, and sustainability:

1. Capacity Building Indicator

Change in the average score of PVC-supported PVOs on an organizational capacity, self- assessment instrument.

Results: In 1999, 17 PVC grantees were assessed in six different capacity categories. The data shows clear increases in two categories, maintenance in three and a slight drop in one capacity category.

2. Service Delivery Indicators

Changes in extent and quality of service delivery in key sectors where USAID has invested through PVOs, e.g., change in percentage of children immunized, or volume of credit provided to microenterprises.

Results: Under the Child Survival program, PVOs have achieved significant improvements in child and family health. The comparison of data from child survival projects in Indonesia with national data (DHS) indicates that the PVOs

achieved improvements in tetanus coverage similar to data for the country as a whole, while performance in childhood immunization coverage was above the national average. In Senegal, where frequent shortages of vaccines is a constraint to improvements in vaccination coverage rates, program areas where PVOs were working with and strengthening vaccination programs had higher coverage rate than the national average.

With funding from a PVC Matching Grant, CARE, one of the nation's largest and best-known PVOs, has completely transformed its worldwide approach to planning, evaluating, and implementing the delivery of services to the poor. The Matching Grant program is unique in the Agency for providing direct institutional support for innovation on such a scale. With the Matching Grant, CARE dramatically altered its development approach by introducing a multi-sector, household-level strategy that places the needs of poor families at the core of its program. According to recent evaluations, the new approach has enabled CARE field offices to achieve greater impact and help poor families develop coping strategies.

After refining and testing the approach with Matching Grant support in Peru, Bolivia, Tanzania and Mali, CARE leveraged other donor funding and invested its own resources to install the new system at its Atlanta headquarters and in all 60 field offices. CARE/Tanzania, using this household-centered approach, determined that access to clean water was the single most important issue to households in poor urban communities such as Dar es Salaam. The family-based assessment that led to this conclusion became the rallying point to engage the entire community in actions that resulted in new construction and upgrading the water system in Dar es Salaam. This engineering feat combined a civil society, public health, and micro-enterprise approach for construction and maintenance of the water system.

3. Sustainability Indicators

Results: Forty-eight percent of PVC-funded microfinance programs have credible plans in place for achieving financial sustainability within seven years. Fifty-two percent (97 data) of PVC-funded programs have local contributions of time, money, human resources, and financial inputs at the local level.

[U.S. Financing Table for 963-001/960-001](#) (Microsoft Excel Document - 28 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Programs

TITLE AND NUMBER: Strengthen overseas institutions which demonstrate American ideas and practices, 964-001

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$15,005,000 DA

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$15,000,000 DA

INITIAL OBLIGATION: FY 1957 **ESTIMATED COMPLETION DATE:** Continuing

Summary: USAID, through the American Schools and Hospitals Abroad (ASHA) program, enables competitively selected private, non-profit universities and secondary schools, libraries, and medical centers abroad to more effectively: (1) provide foreign nationals the benefits of American ideas and practices in education and medicine; (2) serve as demonstration and study centers which foster interchange, mutual understanding and favorable relations with the United States; and (3) promote civil society. Around one million people benefit from educational and health training research and services at ASHA-assisted institutions each year. These include full and part-time students, hospital in-patients, and out-patients. ASHA grants are contributing to improved professional skills, standards, and services as well as leadership development in public service and private enterprise. These ASHA funded institutions reflect over 2500 years of excellence in providing U.S. style education/medical practices around the world.

Key Results: Since its inception in 1957, ASHA has provided grant assistance to institutions in 58 countries, facilitating the development and sustainability of many excellent libraries, schools, and medical centers. The program currently manages a portfolio of 97 grants and continues to award approximately 30 new grants per year. The ASHA-supported institutions contribute directly to development of a country or region by providing education and professional experiences in areas where the need is overwhelming, and U.S. approaches and organizations are recognized as the world standard. The institutions promote democracy, private initiative, free inquiry and innovative approaches to problem-solving. They reach a student population drawn from across the economic and social strata of the country.

Performance and Prospects: With USAID assistance, beneficiary institutions are able to construct and equip facilities thereby improving access to and quality of educational and medical services. Funding also helps local institutions develop and implement programs which otherwise would not have been possible, and to take advantage of opportunities which contribute to the growth of the institutions and benefit the local community. These institutions include: (1) secondary schools which provide academic and vocational training; (2) undergraduate institutions with programs in liberal arts, medicine, nursing, agriculture and the sciences; (3) graduate institutions which provide specialized training to potential national and international leaders in health sciences, physical sciences and other professional areas; (4) libraries which open access to information and encourage its use in decision making; and (5) medical centers which prepare leaders in the professions, influence standards and provide facility and community based health care, training and research.

Possible Adjustment to Plans: USAID strives to include new, competitive institutions in the ASHA program each year, while continuing to provide grant assistance to highly qualified, established institutions and maintain geographic diversity in the program.

Other Donors Programs: ASHA grants supplement predominantly private and other contributions which these institutions receive from both local and U.S. sources.

Principal Contractors, Grantees or Agencies: ASHA makes grants on a competitive basis to U.S. non-profit founding or sponsoring organizations for the benefit of the overseas institutions.

Selected Performance Measures:	Baseline (Actual 1997)	Actual (1998)	Target (1999)	Target (2000)	Target (2001)
Percent of grants that complete all the agreed upon actions by the original PACD:	9.5%	33%	35%	50%	75%
Percent of grants that have and use Performance monitoring Plans:	4.3%	43%	50%	75%	100%
Percent of grants that have expanded access as a result of ASHA-funded activities:	48%	64%	50%	50%	50%
Percent of grants that resulted in quality improvements in key areas:	60%	66%	75%	75%	75%

[U.S. Financing Table for 964-001](#) (Microsoft Excel Document - 17 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Indonesia

TITLE AND NUMBER: Indonesia Transition Program, 938-4497

STATUS: Continuing

PLANNED OBLIGATION AND FUNDING SOURCE: FY 2000: \$45,000 DA

PROPOSED OBLIGATION AND FUNDING SOURCE: FY 2001: \$0 DA

INITIAL OBLIGATION: FY 1999; **ESTIMATED COMPLETION DATE:** FY 2000

Summary: After suffering natural disasters that destroyed croplands and a crippling economic crisis, Indonesia lost much of its capacity to provide for even basic needs of millions of citizens. The civil unrest that followed took a turn for the worse when nation-wide riots erupted after security forces killed several students following three months of peaceful demonstrations in early 1998. National and international pressure led to the resignation of President Suharto on May 21, 1998 and the transfer of power of the presidency to B.J. Habibie. On July 9, 1998, the U.S. Ambassador to Indonesia declared that an economic and political emergency existed nationwide. He requested disaster assistance from USAID's Office of Transition Initiatives (OTI) and an OTI/Indonesia program was immediately established. Subsequently, \$3 million of IDA funds were obligated for OTI programs in 1998. In FY 1999, an additional \$1.7 million of International Disaster Assistance (IDA) funds were obligated for OTI/Indonesia programs, as well as \$15 million of Development Assistance (DA) funds in response to a Congressional earmark. In the summer of 1999, Wahid was elected and East Timor's independence was assured by an Act of Parliament in the Fall of 1999. The DA funds were used to help jump-start the transition toward peaceful democratic change in response to more volatile and frequent demonstrations and rioting.

Activities included: Elections support, including a nationwide voter education campaign and public service announcements; strengthening independent media by increasing the news quality and managerial capacity of independent radio stations, and by training journalists in investigative reporting; strengthening civil society through improving inter-ethnic, inter-faith, and gender relations, anti-corruption efforts, and human rights, particularly through civil society organizations; working with civil society organizations and international experts to enhance civilian capacity for oversight of the military through a civil society-security partnership; and assisting and participating in public service announcement campaigns which appeal to the Indonesian people and encourage a peaceful transition to democracy.

Key results: To encourage Indonesia's transition from political and economic crisis to democracy.

Performance and Prospects: OTI has contributed to violence free elections, increased voter turnout, increased voter awareness of key issues facing the country's transition, and achieved success in conflict mitigation. The U.S. Government's efforts to help Indonesia through its volatile political transition and economic crisis require flexible and fast response capabilities. OTI has teamed up with the Mission to enhance USAID's response to the crisis in several critical areas: increasing the quality and capacity of the independent media; strengthening ethnic tolerance and cooperation; helping to establish civilian democratic control over the military; and continuing to provide limited short-term assistance in preparation for elections and other key events.

Possible Adjustments to Plans: In FY 2000, OTI anticipates a redesign of the program to focus exclusively on civil society issues and independent media development in the critical crisis regions of Aceh, Molouccas, Irian Jaya, and West Kalimantan.

Other Donor Programs: USAID is working in consultation with other donors, including the World Bank, the United Nations, Australia, Britain, and the International Committee for the Red Cross.

Principal Contractors, Grantees, or Agencies: U.S.-based NGOs and contractors, such as The Asia Foundation, PACT, InterNews, and Development Alternatives, Inc. Hundreds of Indonesian NGOs and other organizations are included as OTI partners. Over 340 grants have been awarded to Indonesian and U.S. NGOs.

[U.S. Financing Table for 938-4497](#) (Microsoft Excel Document - 27 kb)



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Sierra Leone

TITLE AND NUMBER: Transition to Peace, 968-6613

STATUS: Continuing

PLANNED OBLIGATION AND FUNDING SOURCE: FY 2000: \$250,000 ESF, \$4,000 DFA

PROPOSED OBLIGATION AND FUNDING SOURCE: FY 2001: \$0

INITIAL OBLIGATION: FY 1996; **ESTIMATED COMPLETION DATE:** FY 2001

Summary: The U.S. Government has been, and expects to continue to be, the largest donor of humanitarian relief assistance to Sierra Leone. In 1997 USAID's Office of Transition Initiatives (OTI) began a program in Sierra Leone, funded with \$1.0 million in Development Fund for Africa (DFA), to help Sierra Leoneans address the root causes of the conflict through political reform and reconciliation. OTI operations were suspended in June 1997 following the Armed Forces Revolutionary Council (AFRC) coup, but resumed in June 1998 after the reinstatement of democracy. Since then, OTI's programming has been focused on two primary areas: Leadership, Dialogue, and Communication for peace through targeted support to civil society organizations; and Technical Assistance to the Government of Sierra Leone (GOSL). OTI activities are now supporting implementation of the Lome Peace Agreement through: (1) Continued support to civil society organizations to enhance dialogue, build confidence among stakeholders, and create an enabling environment for reintegration and reconciliation; (2) Provision of technical assistance to the GOSL on the implementation of specific aspects of the Peace Accord; and (3) Development of a nationwide, non-formal education campaign for disenfranchised youth to support demobilization, reintegration, and reconciliation. OTI's total funding to Sierra Leone in FY 1999 was \$1,031,811. Planned funding for FY 2000 is \$2,750,000.

It is important to note that USAID's ongoing relief and recovery programs also directly support the demobilization and reintegration of former combatants through the provision of badly needed humanitarian assistance to the communities to which the former combatants will return. Relief food, food-for-work projects, seeds and tools programs, and other USAID assistance will be expanded into previously insecure areas and will assist the people of Sierra Leone, including former combatants, as they work to rebuild their communities and their lives. USAID programs will help reunify children with their parents and will assist in facilitating dialogue and confidence among communities, former enemies, and all of the stakeholders to the Lome Accord.

Key results: To promote an enabling environment for reconciliation and post-conflict political and economic reform.

Performance and Prospects: In 1999, OTI supported a broad based civil society movement for peace which resulted in a negotiated peace agreement, bringing eight years of brutal war to an end. OTI fielded a technical team to the Lome talks that worked closely with the ECOWAS chair to the talks. Subsequently, OTI has provided technical assistance to the GOSL in implementation of the Lome Agreement.

USAID's Office of Transition Initiatives will continue to assist the Government and the Revolutionary United Front (RUF) and the AFRC in designing and implementing the newly created Commission for the Management of Strategic Resources, National Reconstruction and Development. This is part of a larger program to support implementation of the Lome Peace Accord (provided there continues to be momentum toward peace). The package will also include support to civil society to sensitize communities and combatants on the terms of the peace--including the Disarmament, Demobilization and Reintegration (DDR) program--and assistance in coordinating the activities of the newly created peace accord structures.

Possible Adjustments to Plans: The program design and direction will depend on the speed and effectiveness with which the Lome Accord is implemented.

Other Donor Programs: USAID recognizes and applauds the contributions of other donors, particularly the World Bank and the United Kingdom, to the Disarmament, Demobilization and Reintegration Program. If the DDR program demonstrates real prospects for a successful demobilization, USAID Office of Food for Peace will provide up to \$1 million to provide food commodities to the DDR program.

Principal Contractors, Grantees, or Agencies: U.S. based NGOs and contractors, such as World Vision and Management Systems International. Many local, small NGOs and other organizations are OTI implementing partners. Over 47 organizations were assisted with 232 peace-related activities in all parts of the country.

[U.S. Financing Table for 968-6613](#) (Microsoft Excel Document - 21 kb)



The United States Agency for International Development

Budget Justification FY 2001

Office of U.S. Foreign Disaster Assistance

USAID's Disaster Relief program objectives are to: (1) meet the critical needs of targeted vulnerable groups in emergency situations; and (2) increase adoption of mitigation measures in countries at risk of natural disasters. To accomplish these objectives, USAID has a well-established management structure and disaster relief experts who can draw on public and private sector resources to respond within 24 to 72 hours after a disaster. USAID fields assessment teams to identify needs and provides disaster assistance response teams (DARTs) to facilitate communication and coordinate appropriate emergency responses. USAID also provides communication support equipment, search and rescue teams, medical assistance, shelter, food, and potable water.

Effective humanitarian assistance requires that the USAID relief, mitigation, transition and development programs support each other, as described below. In addition, USAID collaborates closely with other assistance providers in the international community. This is particularly important both to coordinate programs and to share the burden of relief costs. U.S. private voluntary organizations (PVOs) are critically important partners and play an essential role in raising private sector support, providing assistance, and implementing programs. USAID's partnerships with U.S. PVOs and nongovernmental organizations include support for mechanisms to facilitate the exchange of information among international partners and to prevent duplication of effort.

Pursuant to Section 493 of the Foreign Assistance Act of 1961, as amended, the President has designated the USAID Administrator as his Special Coordinator for International Disaster Assistance. USAID works closely with the Departments of State and Defense, other federal agencies, and the private sector to coordinate American relief efforts. For urgent disaster situations, 24-hour coverage is provided by staff to ensure the transmission of accurate information across different agencies, and between the disaster area and important response centers. Satellite communication equipment augments USAID's ability to carefully target emergency assistance and to coordinate with donors and other U.S. Government and nongovernmental agencies.

Demands on disaster assistance resources have been increasing steadily for a number of years. In FY 1999, USAID, through the Office of U.S. Foreign Disaster Assistance obligated nearly \$293 million in response to disasters, including the Kosovo crisis. Because of the magnitude of Hurricane Mitch and the Kosovo crisis, Congress provided a special supplemental appropriation of \$188 million in FY 1999.

USAID responded to a total of 66 declared disasters from Albania to Vietnam in FY 1999. Among the disasters were 17 floods, 2 epidemics, 10 cyclones or hurricanes, and 6 earthquakes. Among the worst natural disasters of 1999 were:

- **Hurricane Mitch:** The deadliest Atlantic storm in 200 years caused an estimated 11,000 deaths in Honduras, Nicaragua, Guatemala and El Salvador. In Honduras alone, 170 bridges were destroyed, 70% of the roads were damaged and 95% of the crops were destroyed. Over \$34 million in disaster relief provided for health, water and sanitation needs, as well as food, shelter and other emergency relief commodities thus helping to avert possible civil unrest and major health problems associated with water contamination.
- **Kosovo Crisis:** The ethnic cleansing in the Balkans resulted in the onset of a massive humanitarian crisis that affected the former Yugoslavia, Albania and Macedonia. Since January 1998, approximately 1.5 million of a population of 1.8 million ethnic Albanian Kosovars were displaced. By the end of May 1999, over 700,000 Kosovars were in private homes and refugee camps in Macedonia, Albania, Montenegro and other countries. Thousands of homes and businesses had been plundered, destroyed or badly damaged in at least 400 cities, towns and villages in Kosovo. Many areas were completely devastated. With \$116 million in FY 1999 disaster

relief, over 200,000 people were fed and an indeterminate number were helped through food airdrops at the height of the conflict. Approximately 46,000 people were provided shelter, 40% of the war-affected population were provided with health related interventions, and 50% of the conflict-affected populace in 16 municipal regions received access to safe, clean water and sanitation services. At least 15,740 farm families returned to pre-conflict livelihood. As a result, no fatalities due to starvation or exposure were reported.

- Indonesia Emergency: Following an overwhelming United Nations-supported vote for independence from Indonesia, pro-integrationist militias in East Timor rampaged through several cities and towns. Thousands of civilians were killed in the ensuing violence. There was widespread destruction of homes and private assets on the island. More than 350,000 East Timorese were displaced from their homes due to the violence, including 200,000 internally displaced people who fled to the surrounding hills and jungles of East Timor. With \$1.7 million in disaster relief, 25,000 persons affected by violence in East Timor were provided with 300,000 Department of Defense Daily Rations, wool blankets, water jugs, and plastic sheeting. In addition, 17,000 persons were provided with latrines and wells at four sites along the West Timor border.
- Turkey Earthquake: On August 17, 1999, an earthquake lasting 45 seconds and confirmed to be 7.4 on the Richter scale hit Izmit, Turkey, approximately 55 miles east-southeast of Istanbul. Major affected areas included various districts of Istanbul and provinces of Izmit, Adapazari, Yalova, Bursa, Eskishir and Bolu. Geophysicists at the U.S. National Earthquake Information Center described the quake as one of the most powerful recorded in the 20th Century. The Prime Minister's Crisis Management Center estimated that 15,644 people were dead and 23,954 injured as a result of the earthquake. Moreover, the Government of Turkey estimated that the total cost for reconstruction might exceed \$25 billion. The relief effort, involving \$4.4 million in disaster relief funds, included the dispatch of the Fairfax County and Miami-Dade Search and Rescue Teams to help recover earthquake survivors. OFDA also provided water purification units and search and rescue equipment, which was subsequently used by the Turkish authorities in the November 1999 earthquake.

There is no evidence to suggest future disaster assistance requirements will be reduced.

Complex emergencies -- those involving civil conflict often complicated by natural disasters -- account for an increasing share of the International Disaster Assistance budget. Nearly \$194 million was obligated in FY 1999 in response to complex emergencies. Although these conflicts fluctuate in intensity, their resolution is very difficult, and relief assistance may be necessary to meet emergency needs of civilian populations for long periods. USAID is placing increased emphasis on applying preparedness and mitigation lessons learned from natural disasters to complex disasters, especially encouraging local participation and efforts to promote self-sufficiency.

Rapid population growth, coupled with inadequate infrastructure support systems in many developing countries, has increased the number of people vulnerable to natural hazards such as earthquakes, hurricanes, and volcanoes. Urban areas are expanding, with unsafe habitation in many shanty areas and slums. Population pressures also force people to move onto marginally viable and unsafe lands where natural hazards and their side effects have disastrous impact. USAID's prevention efforts focus mainly on strengthening local preparedness and response capacities. Disaster preparedness requires careful examination of relief and recovery planning. USAID's field missions play an important role in helping government, municipal, and community leaders prepare for disasters and design development projects that fully reflect the risk from disasters.

In addition to the continued challenge of responding to the growing needs of complex and natural disasters, USAID has responsibility for participating as part of the U.S. Government response to incidents involving nuclear, biological and chemical disasters overseas. As a result, USAID is increasing its response capability and incident command system in this field of emerging threats.

In adherence to a Congressional recommendation, OFDA is expanding its search and rescue capacity to include two West Coast-based search and rescue teams. This expansion is expected to enhance the overall effectiveness of the search and rescue effort within the Pacific and Asia regions.

Following are tables, which illustrate the unobligated pipeline as of January 31, 2000 and details of FY 1998 and FY 1999 obligations, as well as FY 2000 estimates for OFDA.

**OFDA SUMMARY OF UNLIQUIDATED FUNDS
FOR FISCAL YEAR 2000
AS OF JANUARY 31, 2000
(U.S. Dollars)**

	Projected Budget Available	Obligated and Committed	Unobligated Funds based on Availabilities
OFDA Funding	\$219,614,000	\$66,038,384	\$153,575,616

OFDA COUNTRY SUMMARY OF OBLIGATIONS

FY 1998 TO FY 2000

(U.S. Dollars)

COUNTRY/REGION DETAILS	FY 1998	FY 1999	FY 2000**
AFGHANISTAN	6,715,829	1,395,850	3,500,000
ALBANIA	25,000	11,890,876	
ALGERIA		8,056,595	
ANGOLA	3,984,672		15,000,000
ARGENTINA	414,900		
AZERBAIJAN	25,000		
BAHAMAS		332,785	
BANGLADESH	1,557,160	73,388	
BELIZE		275,000	
BOLIVIA	387,042	14,256	
BOSNIA-HERZEGOVINA	2,634,997		
BRAZIL	25,000		
BURUNDI	14,369,664	9,387,738	14,000,000
CAMBODIA		25,000	
CAMEROON		13,101	
CENTRAL AFRICAN REPUBLIC		25,000	
CENTRAL AMERICA		14,328,320	
CHAD	50,000	25,000	
CHINA	1,514,660	553,092	
COLOMBIA		2,843,495	
COMOROS	25,000	25,000	
CONGO/BRAZZAVILLE	1,363,150	1,379,485	3,980,000
COSTA RICA		55,000	
DEMOCRATIC REPUBLIC OF CONGO	5,446,318	4,597,135	11,400,000
DJIBOUTI	25,000	25,000	
DOMINICA	25,000		

DOMINICAN REPUBLIC	1,932,477	2,963,439	
EASTERN CARIBBEAN	386,772	136,661	
ECUADOR	80,826	29,700	
EL SALVADOR		1,086,780	
ERITREA	1,011,534	1,170,287	2,400,000
ETHIOPIA	1,055,266	1,458,058	5,700,000
FEDERAL REPUBLIC OF YUGOSLAVIA (KOSOVO)	14,908,121	89,698,986	22,000,000
GAMBIA	15,000	65,000	
GREECE		50,000	
GUATEMALA	531,236	1,278,322	
GUINEA-BISSAU	931,160		
HAITI	336,480	1,732,440	
HONDURAS		14,909,750	
HUNGARY		25,000	
INDIA	74,472	71,600	
INDONESIA	570,695	1,657,125	11,000,000
KENYA	6,038,480	1,129,013	2,700,000
KOREA (NORTH)	5,448,227	342,992	1,000,000
KOREA (SOUTH)	25,000	25,000	
KYRGYZSTAN	25,000		
LAOS	156,557		
LIBERIA	8,955,337	2,276,071	500,000
MACEDONIA		14,161,371	
MALAYSIA	25,000	5,000	
MALI		10,000	
MAURITANIA		25,000	
MOLDOVA	15,000		
MEXICO	8,142,847	5,000	
MOZAMBIQUE	459,294	25,000	
NICARAGUA		6,395,114	
NIGER	25,000		
NIGERIA		35,000	
PAKISTAN	25,000	25,000	
PAPUA NEW GUINEA	293,415		
PARAGUAY	25,000	25,000	
PERU	2,952,450		
PHILIPPINES		50,000	

PORTUGAL	22,000		
ROMANIA	25,000		
RUSSIA	25,000	25,000	
RWANDA	4,340,188	3,334,034	1,500,000
SIERRA LEONE	8,251,717	13,875,085	12,000,000
SLOVENIA	10,000		
SOMALIA	7,996,121	5,850,867	8,400,000
SOUTH AFRICA, REPUBLIC OF			
SUDAN	37,874,874	24,621,493	20,000,000
SWAZILAND	10,000		
TAIWAN		1,411,362	
TAJIKISTAN	25,000	25,000	
TANZANIA	1,100,000	34,789	
THAILAND		25,000	
TURKEY		4,393,715	1,500,000
UGANDA	2,036,378	1,346,336	2,500,000
UKRAINE	25,000	25,000	
UZBEKISTAN	25,000		
VIETNAM	608,004	421,000	
WEST BANK/GAZA	25,000		
OPERATIONS AND PROGRAM SUPPORT	30,924,861	41,087,023	32,134,000
REGIONAL RESPONSE			
ASIA PACIFIC			7,000,000
LATIN AMERICA & CARIBBEAN			18,550,000
EAST, CENTRAL & SOUTHERN AFRICA			1,500,000
WEST, SAHEL & NORTHERN AFRICA			1,000,000
EUROPE, MIDDLE EAST & CENTRAL ASIA			5,900,000
REGIONAL MITIGATION			
ASIA PACIFIC			4,000,000
LATIN AMERICA & CARIBBEAN			4,850,000
EAST, CENTRAL & SOUTHERN AFRICA			1,000,000
WEST, SAHEL & NORTHERN AFRICA			2,000,000
EUROPE, MIDDLE EAST & CENTRAL ASIA			1,000,000
TOTAL	186,358,181	292,664,529	218,014,000

* Amount after \$866,000 rescission.

** These amounts represent OFDA's estimates as of February 2000 and are subject to change.



The United States Agency for International Development

Budget Justification FY 2001

Office of Transition Initiatives

Countries experiencing a significant political transition in the midst of a disaster or emerging from civil conflict have unique needs that cannot be fully addressed by simple disaster relief. Timely and effective assistance to promote and consolidate peaceful, democratic advances can make the difference between a successful or a failed transition. USAID's Office of Transition Initiatives (OTI), created in 1994, bridges the gap between emergency humanitarian assistance and long-term development assistance. Its fast and flexible interventions are disaster response mechanisms designed to address immediate post-conflict needs and critical threats to stability and democracy.

OTI uses such mechanisms as support for demobilization and reintegration of ex-combatants into civilian society; development of initiatives to promote national reconciliation; identification of quick-impact community self-help projects to meet urgent economic needs; and aid to independent media outlets and community-based organizations to help promote informed debate and broaden public participation.

Because OTI has demonstrated a unique ability to design and implement rapid responses to complex situations in key countries, requests by U.S. Embassies and USAID field missions for OTI interventions are increasing. OTI makes its decisions to enter new countries in collaboration with all relevant bureaus and offices, and every program is designed with a strategy for hand-off of projects to the local USAID mission or others so that OTI can complete its operations and exit the country, optimally within two years.

Demand for OTI assistance to countries in transition has grown as the need for rapid, flexible, and catalytic transition response mechanisms is more widely understood, and as the number of civil conflicts and complex emergencies has risen. Experts cite rising trends in the number of nations in conflict, to nearly twice the level near the end of the Cold War. Peace negotiations, settlements, and other diplomatic efforts focused on ending conflict have experienced a concomitant increase in recent years, providing opportunities for transition assistance to countries of strategic and national interest to the U.S. Government.

In FY 1999, OTI initiated programs in seven countries or provinces (Albania, Colombia, East Timor, Honduras, Kosovo, Lebanon, and Montenegro); terminated operations in four countries (Angola, Guatemala, Liberia, and Rwanda); and continued operations in eight (Bosnia-Herzegovina, Croatia, Democratic Republic of Congo, Indonesia, Nigeria, Philippines, Serbia, and Sierra Leone). Technical assistance was provided in Cambodia, Northern Ireland, Peru, Ecuador, Zimbabwe, and Sri Lanka.

Among the priority emergency transitions of 1999 were:

- Post-conflict Kosovo. OTI has been operating in Kosovo since the fall of 1997, but was evacuated to Macedonia during the North Atlantic Treaty Organization (NATO) air strikes where it continued to support Kosovar independent media, civil society and democratic governance activities in exile. Immediately after the Serb army withdrew from the province, OTI redirected additional resources in the region to (1) develop and implement community-identified improvement projects; (2) promote democracy, human rights, and basic freedoms; (3) disseminate more-objective information; and (4) support the peaceful reintegration of refugees. A central feature of the Kosovo program is the creation of community improvement councils (CIC). The CICs bring together local communities to identify and address urgent community needs. OTI funding for Kosovo in FY 1999 was \$12.7 million.
- Ethnic violence in Indonesia. In the wake of massive riots, ethnic violence and tenuous prospects for a peaceful

transition to democratic rule, OTI saw a unique opportunity to support Indonesia's recovery from economic and political crises. A short-term, high-impact small grants program was quickly established in order to support pro-reform indigenous NGOs. Program highlights for FY 1999 include an integrated mass media civic education campaign, which had a major impact on voter education for the June 1999 elections; support for human rights and reconciliation activities in Aceh and East Timor; and facilitation of a public dialogue to promote non-violence and ethnic and religious tolerance. The U.S. Ambassador asked OTI to lead an assessment of needs and to develop a transition strategy for East Timor. OTI funding for Indonesia in FY 1999 was \$1.6 million of International Disaster Assistance funds, \$0.2 million of ESF, and \$15 million of Development Assistance funds.

- Political transition in Nigeria. USAID is a key participant in a U.S. Government effort to support Nigeria's transition from years of corruption and decline and its move from military to democratic rule, including assistance in developing mechanisms for peaceful conflict resolution. In coordination with the USAID Mission, the U.S. Embassy and other U.S. Government and Nigerian partners, OTI focused its efforts in FY 1999 on four target areas: (1) capacity building for good governance; (2) addressing regional and ethnic-based conflict; (3) improving civilian oversight of the military and civilian-military relations; and (4) building coalitions for peaceful economic and policy reform. Highlights include a training program for over 10,000 elected officials at the national, state and local levels on effective government leadership, transparency and accountability, and a media program that encouraged a broader political debate on democratic practices and principles. OTI funding in FY 1999 for Nigeria was \$7.9 million.

In addition to the continued challenge of responding to the growing needs of emergency transitions, OTI continually monitors additional countries and situations - including in Azerbaijan and Armenia (Nagorno-Karabakh), Burma, Cambodia, Sudan, Sri Lanka and the West Bank and Gaza - for potential transition responses. OTI seeks to limit its engagement to those areas where a clear window of opportunity exists, where there is a reasonable likelihood of success, where OTI possesses a unique capacity to assist, and where significant U.S. foreign policy interests are at stake. OTI conducts regular assessments and reviews to ensure that its programs are carefully focused on the key make-or-break transition issues, and that its activities complement, but do not duplicate, those of other bureaus, agencies or donors.

Following is a list of OTI programs by country, with obligations for FY 1998 and FY 1999, estimated levels for FY 2000, and the notional request for FY 2001. FY 2000 and FY 2001 levels may change based on priority needs.

Country	Description	Dates	FY 1998 Obligations	FY 1999 Obligations	FY 2000 Estimated	FY 2001 Request
Albania	Strengthen local governments by helping meet community needs for infrastructure and basic services	Start: June 1999 Estimated Exit: September 2000	-	3,000,000	1,500,000	1,000,000
Bosnia	Promote reform efforts by supporting independent media and local NGOs	Start: February 1996 Estimated Exit: May 2000	8,944,270	2,867,795	750,000	-
Croatia	Help people participate in elections and decision-making, give them access to more objective news and information, and help the government become more transparent and accountable	Start: July 1997 Estimated Exit: March 2000	809,622	2,186,036	900,000	-

Kosovo	Promote local democratic leadership by organizing community improvement councils, meeting their priority needs and promoting development of an independent media and a strong civil society	Start: July 1997 Estimated Exit: 2001	-	12,680,000	8,000,000	7,000,000
Montenegro	Promote tolerance and democracy by supporting local governments, NGOs and independent media and promoting legal reform	Start: July 1997 Estimated Exit: 2001	-	1,210,567	1,000,000	2,000,000
Serbia	Support democratic elements in society, including opposition municipalities, independent media, and NGOs	Start: July 1997 Estimated Exit: 2001	1,030,916	1,000,000	2,500,000	4,000,000
Liberia	Enhance security and the nascent democratic process through support for the demobilization and reintegration of ex-fighters through job creation, and the development of alternative news outlets to provide objective information	Start: FY 1996 Exit: 1999	418,057	250,000	-	-
Nigeria	Support transition to democratic government by training officials, promoting civilian oversight of the military, supporting conflict resolution and mediation efforts, jumpstarting economic reform and strengthening the media	Start: May 1999 Estimated Exit: 2001	32,727	7,881,500	9,000,000	6,000,000
Sierra Leone	Support implementation of the Lome Accords by encouraging demobilization of troops, reintegration of war-torn communities and respect for human rights	Start: January 1997 Estimated Exit: 2001	109,686	35,951	2,750,000	3,000,000

Angola	Build rural foundations for democratic participation with support for anti-mine action and awareness, facilitation of community-initiated projects, and enabling the flow of objective news and media	Start: FY 1994 Exit: 1999	2,716,119	399,711	-	-
Congo (DROC)	Advance the peace process by supporting dialogues on national reconciliation and helping to implement the Lusaka Accord	Start: November 1997 Estimated Exit: 2001	7,194,501	1,407,914	2,000,000	2,000,000
Rwanda	Advance local participation in rebuilding society by encouraging the participation of women survivors in community decisions, providing technical assistance on political decentralization, and disseminating information on the War Crimes Tribunal	Start: FY 1994 Exit: 1999	1,221,837	551,596	-	-
Zimbabwe	Promote constitutional reform, independent media, and reconciliation and mediation in conflict areas	Start: January 2000 Exit: TBD	-	122,046	1,460,000	1,500,000
East Timor	Facilitate emergence of democracy by providing start-up funding for local NGOs and media outlets and supporting community-led reconstruction projects	Start: June 1999 Estimated Exit: 2001	-	-	1,500,000	1,500,000
Indonesia	Support transition to democracy through voter education and registration, helping local NGOs mobilize political participation, teaching media how to cover political issues and helping civilians regain oversight of the military	Start: August 1998 Estimated Exit: Dec 2001	4,759,339	1,617,895	8,500,000	5,000,000

Lebanon	Help combat corruption by increasing public awareness, changing attitudes, strengthening investigative journalism, and helping local governments become more transparent and accountable	Start: September 1999 Estimated Exit: 2000	-	1,088,961	1,000,000	300,000
Philippines	Strengthen the peace in Mindanao by integrating MNLF ex-combatants and their families into local communities and encouraging the Philippine Government's investment in neglected, Muslim areas	Start: September 1997 Estimated Exit: Oct 2000	1,565,846	2,033,077	1,528,000	-
Colombia	Advance the peace process by providing resources to neglected communities in conflict areas and facilitating negotiations between the government and FARC	Start: January 1999 Estimated Exit: 2001	-	1,095,352	1,400,000	1,000,000
Honduras	Supported relief and reconstruction efforts by implementing an innovative emergency housing project, repairing rural infrastructure in strategic areas, and initiating an anti-corruption effort	Start: May 1999 Exit: February 2000	-	4,735,461	127,000	-
Ireland	Supported cross-cultural employment and conflict resolution for individuals on both sides of the conflict	Start: FY 1999 Exit: FY 1999	-	800,000	-	-
New Countries			-	-	3,062,15	16,700,000
World wide	Program Support		2,406,596	2,659,399	3,000,000	3,000,000
World wide	Technical Assistance		250,101	277,164	22,785	1,000,000
TOTAL - INTERNATIONAL DISASTER ASSISTANCE			31,459,617	47,900,425	50,000,000	55,000,000
FY 1998 -Total does not include activities from another account managed by OTI -\$2,400,000, ND Funds transferred from Department of State to OTI/Angola demining project.						
FY 1999 - Total does not include activities from other accounts managed by OTI that total \$21,382,257 (\$14,955,211 DA for Indonesia, \$2.5 million ESF for DROC(Congo), \$2 million SEED for the Balkans, \$995,860 DFA for Sierra Leone, \$605,186 ESF for Nigeria, \$175,000 ESF for Indonesia and \$151,000 DFA for Rwanda).						

	FY 2000 – Estimate is based on a provisional level of \$50 million, which will be reviewed later in the year. Does not include approximately \$12 million ESF for East Timor managed by OTI.
	FY 2001 - Allocation by country is notional at this time and could change based on resource availabilities and future priorities.



The United States Agency for International Development

Budget Justification FY 2001

ACTIVITY DATA SHEET

PROGRAM: Central Program

TITLE AND NUMBER: Learning from experience, 930-001 (PPC)

STATUS: Continuing

PLANNED FY 2000 OBLIGATION AND FUNDING SOURCE: \$6,364,000 DA; \$2,118,000 CSD

PROPOSED FY 2001 OBLIGATION AND FUNDING SOURCE: \$5,521,000 DA; \$3,272,000 CSD

INITIAL OBLIGATION: FY 1976; **ESTIMATED COMPLETION DATE:** Continuing

Purpose: Leading USAID and development partners in learning from development experience to improve development results and inform agency policy. Started in FY 1998, this is a follow-on to similar activities in the past used to finance evaluations, policy studies, etc.).

USAID Role and Achievements to date: PPC serves the USAID by meeting Agency-wide strategic planning and management requirements. In addition, bureau staff assist USAID senior managers directly by assessing development and foreign policy priorities, analyzing development experiences, identifying issues and developing policy and guidance, monitoring the implementation of strategic policy decisions and facilitating effective development partnering. PPC enhances USAID's development results by providing clear and coherent guidance and technical support for the Agency's front line staff. In fulfilling these duties, PPC is primarily a "wholesaler" of products and services, providing direct support to individual operating units and staff.

Description: PPC develops policy and technical guidelines for achieving results and for program monitoring and evaluation, assists and trains staff in strategic planning and evaluation, prepares agency reports and ensures that they met USAID needs and the requirements of Government Performance and Results Act (GPRA). PPC evaluates key USAID programs and topics. It coordinates with other donors, international financial institutions, the United Nations and other international agencies, and private non-profit organizations in sharing evaluation and analyses of development topics. PPC also archives and disseminates over 100,000 development documents in paper and electronic format annually. PPC responds to requests for analysis and synthesis of development experience; provides on-line access to these documents through USAID's intranet as well as the World Wide Web; and assists USAID staff and partners in the use of information to achieve objectives.

Host Country and Other Donors: PPC represents USAID in various Development Assistance Committees (DAC) including the DAC Experts Group on Evaluation, and works in collaboration with donors on various monitoring and evaluation efforts. PPC collaborates with its development partners to strengthen development information and evaluation capabilities and share development experience.

Beneficiaries: PPC directly and indirectly influences all USAID beneficiaries by creating, marshalling, and disseminating development experience information that is used to increase the impact of all USAID development efforts. PPC's direct customers include international research and training institutions, government technicians and decision-makers, private voluntary organizations, non-governmental organizations, international donors and other development partners.

Principal Contractors, Grantees, or Agencies: LTS Corporation, DevTech, Inc., CONWAL, Inc., Academy for Educational Development, and Price Waterhouse Coopers.

Major Results Indicators:	<u>Baseline FY1998</u>	<u>Target FY1999</u>	<u>Actual FY1999</u>	<u>Target FY2000</u>	<u>Target FY2001</u>
Annual number of evaluations and reviews of experience	9	9	8	9	9
Annual number of completed requests for development experience information	30,000	30,000	31.142	30,000	30,000
Annual number of documents down- loaded by intranet/internet web sites	4,827	N/A	66,866	75,000	85,000
Annual number of users sessions at USAID web sites	17,921	N/A	103,682	120,000	120,000

[U.S. Financing Table for 930-001](#) (Microsoft Excel Document - 28 kb)
