


**THE USAID FY 1998 CONGRESSIONAL PRESENTATION**

*Note: This document may not always reflect the actual appropriations determined by Congress. Final budget allocations for USAID's programs are not determined until after passage of an appropriations bill and preparation of the Operating Year Budget (OYB).*

## INDIA

**FY 1998 Development Assistance ..... \$55,700,000**  
**FY98 P.L. 480 Title II ..... \$80,122,000**

### Introduction

USAID's program in India responds to three key U.S. interests: increased opportunities in trade and investment; global concerns about environment and health; and humanitarian efforts in alleviating world poverty and reducing malnutrition. With nearly a billion people, India is not only the world's largest democracy but a country of enormous economic and political potential. The United States is India's largest trade and investment partner. In recent years, annual trade between the two countries has been approximately \$9 billion; U.S. direct investment in 1996 was about \$200 million and portfolio investment in 1995-96 was about \$800 million. Expanded economic opportunities in India depend on the pace of India's economic reform process, begun in 1991 and undergoing a difficult political transition this year. They also depend on India's ability to improve infrastructure and its human resource base.

India's success in grappling with these demands is of global concern. India's industrial sector, the tenth largest in the world, is the fifth largest and second fastest growing producer of greenhouse gases. Much of its industrial growth is still to come and by incorporating new environmentally sound technologies, India can significantly reduce the impact of greenhouse gases on the world's environment. Its growing population and concentration of poverty in urban areas have significant implications for the development and spread of communicable diseases--including HIV/AIDS, malaria, TB and polio. Continued economic growth will be critical to finance infrastructure and social services required to reduce health threats and to allow inroads in alleviating India's massive poverty. The role and low status of women must also be transformed to speed and sustain economic growth. USAID is helping India with these challenges through programs supporting economic reform, promoting pollution prevention and environmental protection, enhancing food security, developing women's initiatives and strengthening services, both public and private, in health and family planning.

### The Development Challenge

The national election in May 1996 has ushered in a fragile coalition government that is trying with difficulty to continue the previous government's economic reform process. Trade and foreign investment are at roughly the same levels as the past three years, inflation is inching up but not yet threatening economic growth, and the GDP is growing at about 6%. India's extensive natural resources, well-developed industrial base, diversified agriculture sector, and burgeoning middle class--now more than 100 million--offer the potential for rapid and broad-based economic growth that can rival its east Asian neighbors. However, conventional

wisdom holds that such growth is dependent upon sustainable economic growth rates of between 7% and 8%. For this to occur, the reform process must accelerate and expand.

India needs sustained economic growth to bring the 400 million people now living below the poverty line into the modern economy. To obtain this growth--and to make the transition to a strong market economy--will require renewed commitment to the reform process. It is still unclear whether the current government will be able to marshal the political will for this commitment.

At the same time, India's ability to achieve a sustainable pace of development is affected by its ability to deal with population growth. India's population has doubled in the last 40 years and could double again, the equivalent of another China, by the time growth stabilizes. Such growth has dramatic implications not only for the economy, but also for urban infrastructure, health and social services, and the natural resource base.

The potential for USAID to have significant impact on economic reform, health and family planning, food security, and environment through limited, but well-targeted assistance, has been demonstrated. USAID programs helped launch a national depository, an institution vital to efficient operation of the secondary capital market, and are demonstrating new approaches to financing urban infrastructure; they have shown that by meeting the expressed needs of married couples, India can make major inroads into reducing population growth; they have demonstrated that joint ventures with U.S. firms can commercialize new energy efficient and pollution reducing technologies in India; and they have proven that food aid, if programmed carefully, can contribute importantly to improving nutrition. While progress is being made, India is not an early candidate for rapid graduation from USAID development assistance, saddled as it is with a total external debt, as of September 1995, of \$93.84 billion. However, India maintains a strong record of servicing its debt.

### **Other Donors**

In 1996-97, the United States provided about 2.5% of the \$6.661 billion in donor assistance to India and is its sixth largest donor. Major donors are: the World Bank, the Asian Development Bank, the European Union, Japan, Germany, and the United States.

### **FY 1998 Program**

The USAID program in India will achieve demonstrable results in advancing four of the Agency's strategic goals--economic growth, population and health, environment and humanitarian assistance. It advances U.S. interests in trade and investment through its support for sustained economic growth. It addresses global concerns about population growth and the HIV/AIDS pandemic. It strongly supports initiatives under the Indo-U.S. Common Agenda for the Environment (CAE) signed in 1995 by both countries to encourage collaboration on environmental issues of global and bilateral concern. It responds to humanitarian concerns about India's widespread poverty and malnutrition.

The program has strategic objectives in four areas:

- Accelerated broad-based economic growth through financial sector reforms and increased mobilization of capital;
- Stabilized population growth through reduction of fertility in north India, specifically through increasing contraceptive use in Uttar Pradesh, increasing child survival and

empowering women;

- Enhanced food security through increased child survival and improved nutrition; and
- Environmental protection through increased energy conservation and productivity, and reduced pollution.

It also has three special program objectives:

- Reduced transmission of HIV infection;
- Increased investment in agribusiness by private firms; and
- Expansion of women's role and participation in decision-making.

### **Agency Goal: Encouraging Broad-based Economic Growth**

With limited funding for economic growth, USAID's strategy targets activities that have broad impact through policy reform or by support to areas with significant multiplier effects. For example, USAID helped the private housing finance sector grow from a single institution to a network of 78 companies of which 21 companies are now classified and approved by the National Housing Bank (NHB). These companies have more than 250 branches managing more than \$2 billion in credit. Since USAID helped launch India's over-the-counter exchange in 1993, the exchange has raised more than \$76 million for small enterprises.

The current capital market assistance program is working with the Securities and Exchange Board of India (SEBI) to increase the transparency and administrative efficiency necessary to attract domestic and foreign capital. Last year, the market raised more than \$8 billion in new capital, with significant sums coming from foreign--including U.S.--investors. USAID is supporting continued growth of the market by providing assistance on both policy and regulatory reform and the introduction of new technologies required to assure protection to investors. USAID's Mumbai-based contractor, Price Waterhouse, helped the National Stock Exchange (NSE) to establish India's first securities depository which became operational on November 8, 1996. It is also assisting SEBI in the development of: (1) disclosure standards for the issuers of equity and debt; (2) market surveillance, inspection and enforcement plans that meet international standards; and (3) regulations for an efficient securities trade settlement system.

Inadequate urban infrastructure, such as water supply, sewage and waste treatment systems, is a significant impediment to sustained growth in India. It is now clear that the resources required to meet the demand for these urban services cannot come from the public sector. USAID, therefore, is supporting the development of a debt market to finance such environmental infrastructure projects in India. The program provides \$125 million in loan guarantees (Housing Guaranty funds), as well as technical assistance and training, to generate commercially viable, urban infrastructure projects. USAID has already developed the first project under the program in Tamil Nadu with \$25 million in loan guarantees support to leverage the first \$85 million phase of an important water and municipal sewage project. The project is expected to come to a financial closure and start implementation in FY 97 with a Build-Operate-Transfer (BOT) operator appointed and functioning. In the second such project, USAID is helping Ahmedabad Municipal Corporation to access capital markets through the offering of bonds worth \$25 million for investment into municipal infrastructure projects. The USAID-supported Financial Institutions Reform and Expansion

(FIRE) project has been instrumental in the completion of the credit rating for the Ahmedabad Municipal Corporation, with an investment grade (A+) rating for floating these bonds, the first credit rating ever for an Indian municipality.

USAID's housing finance program promotes the development of a financially sound, private sector, housing finance system. The objective is to expand long-term home finance for median-income and below-median income households. Building on past successes, this program, which draws on \$69.6 million in USAID loan guarantees, provides capital through the National Housing Bank to housing finance companies for on-lending to lower income families. The expanded policy agenda includes increasing the financial resources available to the housing sector, expanding the number of market-oriented housing finance institutions, expanding the supply of housing finance to below-median income households, and strengthening outreach and capabilities of "community based financial institutions" to provide financial services to lower income and informal sector families. The program assistance ends in September 1997.

- Strategic Objective 1: Increased Mobilization of Capital Through Financial Sector Reforms

### **Agency Goal: Stabilizing World Population Growth and Protecting Human Health**

With nearly a billion people, India has one-sixth of the world's population. At current rates of growth, its population will reach 1.6 billion and surpass China by the middle part of the next century. This growth has obvious implications for health and nutrition, growth in per capita income, demand for education and public services, employment, and the environment.

Nevertheless, impressive gains in reducing population growth have been made. Fertility rates have dropped by almost half in the past 30 years, and some southern states like Tamil Nadu and Kerala have reached the point of zero growth. If north India were able to achieve replacement levels similar to those in the south, India would have 480 million fewer people by the time it reaches population stabilization at the national level around 2088.

USAID's largest family planning program focuses on the north Indian state of Uttar Pradesh, India's most populous state. The mandate of the program is to provide contraceptive choice to couples who are at risk of having a child, who do not want to be pregnant, and who are not using effective contraception. Service provision is accomplished in a holistic manner, maintaining a comprehensive, women-centered approach.

Since 1994, the program has established an autonomous agency, the State Innovations for Family Planning Services Agency (SIFPSA), to coordinate implementation of the Innovations in Family Planning Services (IFPS) project. In the three years of program implementation, SIFPSA has brought both private and public sector services together in program implementation. Senior district officials, family planning managers and traditional doctors are committed to increasing access, improving quality, and creating greater demand for a broad range of reproductive health and family planning services. The agency has financed training of over 3,000 doctors in family planning counselling and the use of oral contraceptives; developed training curricula and programs for nurse midwives, private practitioners and traditional doctors; and provided USAID project-funded grants to 66 non-governmental organizations (NGOs) involved in providing a range of health and family planning services, thereby increasing the coverage to 10 million people. During the next three years, it will train 12,000 village doctors, upgrade hundreds of primary health care centers, and support a major campaign for the social marketing of contraceptives.

One major contribution in the past year has been USAID's role in the Government of India's (GOI's) adoption and launching of the Child and Reproductive Health (CRH) initiative. USAID provided operations research, data and guidance that supported the GOI program shift from the achievement of demographic goals through contraceptive targets to the empowering of individuals and couples to use contraceptives for planning and achieving their reproductive intent. One major concern is that the withdrawal of targets in the absence of a well-conceived and tested alternative may lead to deterioration of program functions. USAID, in partnership with other donors, is committed to keeping this issue foremost in all policy dialogue and program implementation.

As part of the effort to provide data for informed decision making, USAID financed the national family health survey, India's most complete analysis to date of family health, covering 24 states and based on interviews with nearly 90,000 women. It supported analysis, publicity and distribution of the valuable baseline data on demographic, health and nutrition status, fertility and family planning practices, and is the key to measuring the results of USAID's efforts. It was so well received that USAID is in the midst of negotiating with the GOI the mechanism for a follow-on survey.

Through the Private Voluntary Organizations in Health-II (PVOH-II) activity, USAID continued to support 85 NGOs in northern India in providing maternal and child health services to approximately two million beneficiaries in underserved rural communities. The program has resulted in a 40% increase in immunization coverage which now stands at 90%. Ante-natal coverage has increased from 30% to 70%. There has been a significant increase in awareness and use of family planning methods. Use has increased from 15% to 50%. NGO capacity to reach communities with quality health care has been strengthened through training and technical assistance.

USAID has continued its long involvement with and support to India's immunization program through assistance to the development of the National Institute of Biologicals which, when complete, will assure that high quality vaccines and biological products are used and produced in India. Commencing in 1995, USAID has pledged support to India's polio eradication initiative--one of the largest polio eradication drives in the world. In 1995, more than 90% of India's 75 million children under three years of age were immunized. The National Immunization Days (NIDs) for 1996 (December 1996 and January 1997) continued to receive USAID assistance.

USAID has finalized the results package for a new Women and Child Health (WACH) initiative in selected districts in the north Indian state of Madhya Pradesh. The initiative will focus on improving women's reproductive health services including birth spacing information, anemia prevention, and safe delivery care. The consequent gains in women's health will result in reduced neonatal mortality. Other interventions such as nutrition education, immunization, and management of acute respiratory and diarrheal diseases are designed to reduce infant mortality.

The Program for Advancement of Commercial Technology Project's Child and Reproductive Health Component (PACT/CRH), which has the goal of increasing commercial production, distribution and marketing of child survival and reproductive health products in India, has made substantial progress during the last twelve months. Specifically, the London Rubber Company, the world's largest producers of condoms, has received a loan from the Industrial Credit and Investment Corporation of India Limited (ICICI) under the PACT/CRH project to substantially increase its marketing and distribution of condoms throughout India and to improve its quality maintenance program. This ambitious nation-wide undertaking will have

substantial positive impact on HIV and STD prevention and prevention of unwanted pregnancies. Furthermore, the program is conducted on a commercial basis and is, therefore, sustainable without further inputs. In addition to this activity, negotiations are underway between ICICI and various private companies for increasing the marketing and distribution for IUDs, oral rehydration salt (ORS), cold chain equipment and diagnostic products for various infectious diseases.

- Strategic Objective 2: Reduced Fertility in North India

### **Agency Goal: Enhancing Food Security**

With nine successive good monsoons, India's food grain production has increased markedly, but massive poverty, inadequate infrastructure and policy failures at both state and federal levels mean more than half of India's young children are malnourished and maternal malnutrition is widespread. One-third of India's population, or 300 million persons, is food insecure. Long-term food security is challenged by India's rapid population growth--18 million people every year--and the real likelihood of a failed monsoon.

USAID's strategy is to focus its food aid increasingly in the northern states where the need is greatest. The P.L. 480 Title II program, managed by the Cooperative for Assistance and Relief Everywhere (CARE) and the Catholic Relief Services (CRS), supports efforts to improve maternal and child nutrition and health, thereby reducing mortality rates, influencing fertility, and complementing our efforts in population and health. In 1995, both organizations moved more of their resources to the north. CARE closed operations in three southern states to concentrate more in the north; CRS closed operations in Tamil Nadu and Kerala and has initiated a program in Uttar Pradesh.

Both CARE and CRS work through local organizations to reach some seven million children and pregnant and lactating mothers. CARE supports the GOI's Integrated Child Development Services Program, the largest child survival program in the world. Responding to a USAID-funded impact evaluation, CARE has begun an integrated nutrition and health program to strengthen ancillary nutrition and health services in coordination with P.L. 480 Title II food supplements in more than 92,000 of India's villages. CRS works through organizations affiliated with people such as Mother Teresa and the Dalai Lama to reach some of India's most destitute. Included among the program's successes are the following:

CARE and CRS have developed an impressive logistical base, allowing the program to move large quantities of food to a widely dispersed beneficiary population and to respond quickly with disaster assistance.

CARE and CRS outreach systems provide access to the most remote geographical areas and to some of the most vulnerable people, including tribes and former 'untouchable' castes.

CARE and CRS programs support established women's groups and provide a point of entry for widespread dissemination of family planning, health, and nutrition information.

- Strategic Objective 3: Increased Child Survival and Improved Nutrition in Selected Areas

### **Agency Goal: Protecting the Environment**

The combination of accelerated economic development and rapid population growth could

precipitate an ecological crisis that reverses India's hard won economic gains and increases negative impacts on the global environment. Already the second fastest growing producer of greenhouse gases in the world, India could triple its emissions between 1987 and 2010 if there is no change in current practices. Carbon dioxide emissions are expected to double during the same period, and chloro-fluorocarbon (CFC) emissions, which cause ozone depletion, are growing rapidly. Mobile source, or vehicle pollution, is one of the most insidious and pervasive forms of air pollution in India. Major Indian cities, including New Delhi, Calcutta and Mumbai, are on the top ten list of the most polluted cities in the world, and the economic and health impacts (including asthma and other respiratory problems) are becoming endemic. With vehicle sales growth exceeding 20% per annum in many categories, air pollution worsens daily. In recognition of India's increasing importance to global environmental concerns, the U.S. signed with India the Common Agenda for the Environment (CAE), pledging both countries to collaboration on environmental issues. In support of CAE, USAID is working with the private sector, NGOs, and municipal and central government representatives in a variety of programs.

India's demand for power, expected to double in the next five years, poses a significant threat to the global environment. Power plants fueled with high ash coal are a major source of pollution in India. USAID's environmental energy program is increasing the percentage of power generated by clean technologies to decrease the volume of CO<sub>2</sub> emissions per unit of power generated. USAID promotes the development of innovative clean coal and renewable energy technologies. For example, USAID assistance has resulted in the establishment of India's first commercial coal washery for power plants. A small USAID grant for this Indo-U.S. joint venture has leveraged private investments of over \$14 million. Multilateral development banks are preparing more than \$1 billion in new energy efficiency and environmental programs.

USAID funds are catalyzing U.S.-India joint ventures and technology links for the manufacture and installation of a variety of air pollution control equipment to reduce emissions from steel, cement, copper smelter, and thermal power plants. Examples of results from successful ventures are 100% reduction of arsenic emissions at copper smelters, recycling of sulfuric acid, recycling of caustic soda, improved efficiency in the operation of power plants, power plant emission controls, and the accelerated growth of U.S.-India environmental industry collaboration. The next stage will build on the growing recognition by major portions of key Indian industrial sectors that improved environmental management will make them more competitive as well as benefitting the environment. Activities will support the introduction of ISO 14000 environmental management techniques, greening of supplier production chains and greater linkages to U.S. businesses.

A principal criterion for USAID's pollution prevention activities is their potential to serve as a catalyst to leverage expansion and follow-on activities supported by the private sector and other donors such as the World Bank and Asian Development Bank. USAID assisted the World Bank in the development of its \$250 million industrial pollution control project. It is also coordinating with the Asian Development Bank on environmental projects, including one designed to develop environmentally sound coal technology. Because of the considerable amount of donor activity in the environment sector, USAID maintains an active dialogue with other donors in this area. USAID has been particularly successful in leveraging, as demonstrated by Indian investments which are additional to the USAID program, more than \$10 million in air and water pollution control equipment and hundreds of millions in donor and privately financed electric power projects.

In addition to promoting increased private investment in clean power generation, the USAID

program also targets technical assistance on policies, regulations and technologies that can dramatically reduce the amount of air pollution per unit of power generated.

USAID-financed technical assistance to state electricity boards and the GOI facilitates the evaluation and processing of the numerous pending private power investment proposals which will result in more efficient and environmentally sustainable plants.

India's rapidly growing cities pose crucial environmental challenges: poorly managed urbanization, weak local governments, and the near absence of functioning urban infrastructure contribute to deplorable conditions affecting growing numbers of families. This situation leads to environmental degradation downstream from cities that lack suitable facilities to treat, recycle or dispose of municipal solid waste and sewage. USAID helps India address this urgent issue by strengthening the management capability of state and local governments, community groups and NGOs. This is done through a variety of approaches including: (1) the development of environment workbooks and risk assessments which create an accessible information base to prioritize investments; (2) assistance in design of legislation on decentralization of environmental authorities; (3) development of a process leading to women having a greater role in local environmental decision-making and control of resources; and (4) assistance to India's debt market to raise the capital necessary to meet the long-term requirements of new and upgraded environmental infrastructure. USAID assisted Infrastructure Leasing and Financial Services (ILFS) to package an integrated urban environmental infrastructure project for Tirrurpur, in the Indian state of Tamil Nadu, the first phase of which consists of a water supply and sewerage treatment system for Tirrurpur costing around \$85 million. This also helped ILFS to get a line of credit of \$200 million from the World Bank to be invested in urban infrastructure.

- Strategic Objective 4: Improved Environmental and Financial Sustainability in the Electric Energy Sector
- Strategic Objective 5: Improved Air and Water Quality at Selected Industrial Sites and Municipalities

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

USAID's HIV/AIDS prevention and control program, located in the southern Indian state of Tamil Nadu, responds to concerns about both health and economic growth. India has been cited as one of the world's most vulnerable growth points for HIV/AIDS. The number of Indians estimated to be HIV positive--between 1.5 and 3 million today--could grow to five million by the end of the decade. The cost to India, both in demand on its already overtaxed health system and in loss of productive workers, could be staggering. USAID is supporting NGO programs known to have impact on the spread of AIDS; these programs emphasize condom use, treatment for sexually transmitted diseases, and changing high-risk behavior. In the last year, 18 NGOs have been funded to work with high-risk groups on HIV/AIDS prevention. A comprehensive research study on the availability and quality of condoms at retail outlets in Tamil Nadu has been completed and follow up action undertaken with private sector manufacturers to improve both the distribution and the quality of condoms. A training module has been designed for training physicians in diagnosis and management of Sexually Transmitted Diseases (STDs) and training of physicians commenced in December 1996. A major study to gather baseline data on knowledge of HIV prevention methods, as well as condom use and care seeking behavior for STDs, was completed in December 1996. The study shows that while populations engaging in high risk behavior are well informed about how to protect themselves from HIV, the adoption of safe behavior, such as condom use, is low. NGOs are receiving training in developing proposals for community-based



activities in HIV/AIDS prevention. .

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

USAID's Agricultural Commercialization & Enterprise (ACE) program is working to improve the investment environment for private agribusinesses in horticulture and food processing in order to create jobs and increase productivity in agriculture. India currently processes less than one percent of its total agricultural production compared with 10% in Brazil. Its post harvest losses are high--some 30% of total production. The ACE program is designed to demonstrate to India's banking sector the feasibility of lending for agribusiness development and expansion. The ACE program also supports expansion of agribusiness through cost shared technical assistance and information exchange services to private companies and business associations. ACE has already shown results by increasing rural jobs in non-traditional high value crops. For example, the ACE program demonstrated the feasibility of high technology precooling of fruits and vegetables. There are 47 such precooling operations now concentrated in the same geographic area. The development of these operations has stimulated agriculture and related industries leading to increased employment opportunities in the area, especially for the rural poor including women. The ACE program also nurtures Indo-U.S. agribusiness linkages by providing information to, and facilitating trade and investment tours for, the Indian and U.S. agribusiness communities. In September 1996, the first high tech Agribusiness Information Center (AIC) was launched in collaboration with one of India's premier industry associations. The AIC provides access to worldwide agribusiness information on prices, markets and technology.

### **Special Objective 3: Expansion of Women's Role and Participation in Decision-Making**

USAID's Women's Initiative (WIN) increases economic and educational opportunities and reproductive rights of girls and women in India. In a country where over the last seven decades the ratio of females to males has consistently (and unnaturally) declined, there is an urgent need for women to participate in decisions which affect their reproductive and productive lives. WIN provides gender-specific support to improve the impact of USAID/India's program in key strategic objectives of broad-based economic growth, improved child survival and fertility rates, and environmental protection. WIN assists in building a constituency on key women's issues by strengthening a body of Indian organizations which are increasing the access of low-income women to microfinance (savings, credit, and insurance) and/or which are defining and reducing the problem of violence as an obstacle to women's advancement. WIN provides Friends of Women's World Banking assistance to improve business planning of 73 affiliates providing microfinance to women. WIN also provides a network of social science institutes support to develop information systems and a data bank for annual reports on violence against women in India.

Since one-half of primary school age girls are not in school in India's most populous state of Uttar Pradesh, USAID/India is supporting targeted action research conducted by teachers and community members in one district to improve classroom practices and teaching so that girls are more likely to stay in school. Once a teacher training module is developed, it can be adapted statewide and perhaps nationally.

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## INDIA

## FY 1998 PROGRAM SUMMARY

(\$000)

	Encouraging Economic Growth	Stabilizing Population Growth and Protecting Human Health	Protecting the Environment	Building Democracy	Providing Humanitar-ian Assist.	Total
USAID Strategic Objectives/ Special Objectives						
1. Increased Mobilization of Capital through Financial Sector Reforms						
Dev. Assistance	\$9,500					\$9,500
2. Reduced Fertility in North India						
Dev. Assistance		\$21,650				\$21,650
3. Increased Child Survival and Improved Nutrition in Selected Areas						
Dev. Assistance						\$2,150
P.L. 480 Title II		\$2,150			\$80,122	\$80,122
4. Improved Environmental and Financial Sustainability in the Energy Sector						
Dev. Assistance			\$5,700			\$5,700
5. Improved Air and Water Quality at Selected Industrial Sites and Municipalities						
Dev. Assistance			\$10,500			\$10,500
1. Reduced Transmission of HIV Infection						
Dev. Assistance		\$3,200				\$3,200
2. Increased Investment in Agri-business by Private Firms						
Dev. Assistance	\$0					\$0
3. Expansion of						

Women's Role and Participation in Decision-Making						
Dev. Assistance	\$3,000					\$3,000
Total						
Dev. Assistance					\$0	\$55,700
P.L. 480 Title II	\$12,500	\$27,000	\$16,200	\$0	\$80,122	\$80,122

USAID Mission Director: Linda E. Morse

## ACTIVITY DATA SHEET

### PROGRAM: INDIA

**TITLE AND NUMBER:** Increased Mobilization of Capital through Financial Sector Reforms,

386-S001

**STATUS:** Continuing

**PROPOSED OBLIGATION AND FUNDING SOURCE:** FY 1998: \$9,500,000 DA

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

Purpose: To increase mobilization of capital through financial sector reforms.

Background: India is struggling to raise the capital it needs for sustained economic growth, new infrastructure and expanded social services for a rapidly increasing population. Tax resources and other government revenues are inadequate. India's fledgling capital market offers great potential for mobilizing resources, foreign and domestic, for new and expanding businesses and for infrastructure investment in water, power and sewage. The extent to which it succeeds will depend, in large part, on its ability to develop more efficient administration, greater transparency and protection for investors. USAID's program offers technical assistance to improve securities market regulations, enforcement and oversight while modernizing the securities trading systems. It also supports the development of a debt market and innovative private-public financing arrangements to fund infrastructure projects such as water supply, sewerage and waste treatment systems. In addition, it promotes expansion of a housing finance system in order to reach lower income families.

USAID Role and Achievements to Date: USAID's economic growth strategy targets activities that have broad impact through policy reform or by support to areas with significant multiplier effects. For example, since USAID helped launch India's over-the-counter exchange in 1993, the exchange has raised more than \$76 million for small enterprises, creating many permanent jobs in the process. USAID support also has helped the private housing finance sector grow from a single institution to a network of 78 companies with over 250 branches managing more than \$2 billion in credit.

Description: USAID supports growth of the private capital market by helping on both policy

and regulatory reform and by introducing new technologies required to protect investors. Last year this market raised more than \$8 billion in new capital, including significant sums from foreign--including U.S.--investors. USAID is working with the Securities and Exchange Board of India (SEBI) to increase the transparency and administrative efficiency of its equity and bond markets.

USAID supports the development of a debt market to finance environmental infrastructure projects in India to meet the demand for urban services that cannot come from the public sector. The program provides \$125 million in loan guarantees (Housing Guaranty funds), as well as technical assistance and training, to generate commercially viable, urban infrastructure projects. The first project under the program--an initial \$85 million portion of a water and municipal sewage system in the state of Tamil Nadu is expected to come to financial close and start implementation in FY 97.

In the second such project, USAID's support was instrumental in completing credit rating (for the first time in India) for the Ahmedabad Municipal Corporation (AMC) to access capital markets through issuing bonds valued at approximately \$25 million to be invested in municipal infrastructure projects for the city of Ahmedabad. USAID is assisting AMC in structuring the bond and in the development and packaging of projects for the same.

USAID has supported private housing finance in India since 1979, has assisted in the rapid expansion of registered housing finance companies, and has supported the development of partnerships with community-based financial institutions which provide credit to upgrade homes. The housing finance program promotes the development of a financially sound, private sector, housing finance system. The objective is to expand long-term home finance for median-income and below-median-income households. This program, which draws on \$69.6 million in USAID loan guarantees, provides capital through the National Housing Bank (NHB) to housing finance companies, expanding the supply of housing finance to low income households and strengthening the outreach capabilities of community-based financial institutions to provide financial services to informal sector families. The program support ends in September 1997.

Host Country and Other Donors: The Asian Development Bank (ADB) has provided a \$250 million loan for development of India's capital markets through policy reforms. This and other multilateral bank loans directly support USAID efforts. USAID assistance to Infrastructure Leasing and Financial Services (ILFS) has leveraged the sanctioning of a line of credit of \$200 million by the World Bank to ILFS for investment in infrastructure. The host country contributes well above the total amount of assistance provided by USAID.

Beneficiaries: Beneficiaries include new employees of start-up and expanding companies which create jobs as a result of increased availability of debt and equity capital; Indian and foreign institutional investors (including U.S. investors) who benefit from access to an efficient and transparent capital market; and low-income urban dwellers, including many women, who benefit from improvements in urban sewage and water supply.

Principal Contractors, Grantees, or Agencies: USAID implements this strategic objective through two U.S. contractors and U.S. and local governmental and nongovernmental organizations.

Major Results Indicators:

Baseline Target

Increased amount of new capital 244 (1993/94)<sup>1</sup> 500 (1998/99)

(equity and debt) raised through the

securities markets (Rs. billion)

Increased foreign indirect 1.6 (1993/94)<sup>1</sup> 4 (1998/99)

institutional (portfolio) investment

(\$ billion)

Increased amount of private capital 0 (1994)<sup>2</sup> 3.75 (1998)

used to finance commercially urban

environmental infrastructure (Rs. billion)

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<sup>1</sup> Source: Securities & Exchange Board of India discussion paper

<sup>2</sup> Source: Regional Housing & Urban Development Office

National Institute of Urban Affairs

Infrastructure Leasing and Financial Services

Housing & Urban Development Corporation

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## **ACTIVITY DATA SHEET**

**PROGRAM:** INDIA

**TITLE AND NUMBER:** Reduced Fertility in North India, 386-S002

**STATUS:** Continuing

**PROPOSED OBLIGATION AND FUNDING SOURCE:** FY 1998: \$21,650,000 DA

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

Purpose: To reduce the current high level of fertility and improve women's reproductive health by increasing access to, quality of, and demand for a broad range of reproductive health and family planning services and to address related fertility parameters, including the status of women, in India's most populous state, Uttar Pradesh.

Background: The northern Indian, Hindi-speaking states have the country's highest fertility

and maternal and child mortality. National and state family planning programs have not provided adequate access to information and quality services to address these problems. The fertility and mortality rates in these states are high, in part, because of inadequate health care services, poorly trained and skilled health providers, and women's low social status (literacy below 30%). This strategic objective includes activities under the Innovations in Family Planning Services (IFPS) project in Uttar Pradesh, the PACT/Child and Reproductive Health (CRH) activity which develops new technologies and approaches in the private commercial sector, the Private Voluntary Organizations for Health - II (PVOH-II) activity which strengthens non-governmental organizations' (NGOs) capacity to provide maternal and child health and family planning services. New activities--Women and Child Health (WACH) and the Women's Initiative (WIN) -- currently under design will further complement this strategic objective.

USAID Role and Achievements to Date: USAID has played an active role in health and family planning activities and has made clear contributions to the substantial drop in fertility and child mortality. However, because India has made only limited use of new technologies and service approaches, progress in recent years has been considerably slower than in many other countries. USAID is now playing a major role in introducing new service approaches and technologies to improve quality of services and increase access. In 1994 and 1995, USAID's program in Uttar Pradesh successfully established and staffed an autonomous agency to implement USAID's largest family planning activity world-wide. It has successfully established support for improving government services and has brought in the participation of a wide range of NGOs to complement and strengthen the overall family planning and reproductive health program. To increase access to quality services, USAID has supported training of district health officials and family planning providers throughout the state; introduced new training methodologies to make the training programs more competency-based and client-oriented; financed training of over 3,000 private doctors in family planning counselling and contraceptive use; trained midwives and other village-level private practitioners and traditional doctors; and provided more than 66 NGOs with a range of health and family planning services. Current service coverage is over 10 million people. To greatly expand information and provide distribution of contraceptives and information, a pilot social marketing activity was launched and is progressing well. Negotiations are being held with the GOI to scale-up the social marketing activity state-wide.

At the same time, USAID financed the National Family Health Survey, one of the largest of its kind in the world, which provided extremely valuable data and analysis on key demographic and health, fertility and family planning practices and is a key to measuring the result of USAID efforts. It was so well received that negotiations are ongoing with the GOI for a follow-on survey.

Description: USAID's strategic focus supports broadened access to quality family planning and reproductive health services through the public sector; engagement and funding of the non-government sector, i.e., private voluntary organizations (PVOs), cooperatives, and employers groups in the provision of community-based family planning and reproductive health services; use of commercial networks to promote, market and sell contraceptive products through commercial outlets, and support for a range of government and non-government efforts to improve the role and status of women. The IFPS project, working in the state of Uttar Pradesh, will focus efforts in 15 priority districts over the next two years, serving 15 million people. Reaching out through the vast government infrastructure, government doctors and paramedical staff will be trained in contraceptive technology, screening for reproductive tract infections, infection prevention, counseling, client follow-up, and supervision and management of services. In the private sector, successful efforts will be

scaled-up through the provision of an additional 25 to 30 grants to PVOs (72 currently being implemented). At present a population of over 10 million people is served either directly or through referral to the government clinics for services. Contraceptive Social Marketing promotes awareness, sales and use of oral contraceptives and condoms. To date over 1.4 million cycles of oral contraceptives and 40 million condoms have been sold. This three-pronged approach through the public, private, and commercial sectors will be supported by a statewide communications campaign, and will lay the foundation for phasing into more districts throughout the state. Another effort (the Child and Reproductive Health component of the PACT project) will support private sector production, distribution and marketing of reproductive health products with sales volumes increasing by 15% annually.

Host Country and Other Donors: The World Bank, United Nations Population Fund (UNFPA), United Nations Children's Fund (UNICEF), and the British Overseas Development Administration (ODA) provide complementary donor support in reproductive health, safe motherhood and child survival. These efforts are primarily channeled through the existing government program. Thus, USAID's support to the private sector is a unique contribution in the Indian context. The GOI contributes substantial resources through its personnel and infrastructure which exists throughout India to provide health and family welfare services to the general public and serves an important need in reaching the large numbers of extremely poor clients that are unable to purchase health services from the private sector.

Beneficiaries: The direct beneficiaries of this strategic objective are the women of child-bearing age (age 15-49) of Uttar Pradesh, totaling approximately 30 million women. Secondary beneficiaries are the children under age five, in particular, female children whose survival will be enhanced by the activities in this program.

Principal Contractors, Grantees, or Agencies: The major grantees are the State Innovations in Family Planning Services Project Agency (SIFPSA) and the Industrial Credit and Investment Corporation of India Limited (ICICI). USAID supported cooperating agencies include: The Johns Hopkins Program for International Education in Reproductive Health, Association for Voluntary Surgical Contraception, Population Communication Services, Center for Development and Population Activities, The Futures Group, Deloitte and Touche, and International Training in Health, University of North Carolina.

#### Major Results Indicators:

##### Baseline Accomplished Target

Total Fertility Rate (TFR) for Uttar Pradesh 4.8 (1992) 3.9 (2001)

Contraceptive Use Rate for Uttar Pradesh 20 (1992)<sup>1</sup> 30 (1997)

Contraceptive Use Rate for 6 Focus Districts 33 (1995) 37 (1997)

Population Served by s (in million) 5 (1995) 15 (1997)

##### Contraceptive Social Marketing (CSM) Sales

###### A.

Condoms (million pieces) 21.3 (1995) 14.5 (1996) 29.6 (1997)

B. Pills (,000 cycles) 233 (1995) 272 (1996) 848 (1997)

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## ACTIVITY DATA SHEET

**PROGRAM:** INDIA

**TITLE AND NUMBER:** Increased Child Survival and Improved Nutrition in Selected Areas,

386-S003

**STATUS:** Continuing

**PROPOSED OBLIGATION AND FUNDING SOURCE:** FY 1998: \$2,150,000 DA; \$80,122,000 P.L. 480 Title II

**INITIAL OBLIGATION:** FY 1995; **ESTIMATED COMPLETION DATE:** FY 2001

Purpose: To reduce high levels of infant and child mortality of poor children and women in north India through integration of P.L. 480 Title II supplementary feeding into health, nutrition, and other services.

Background: One-third of India's population of 900 million people lacks adequate food. Over half of India's young children (73 million) are underweight, and chronic maternal malnutrition is widespread. Infant and child mortality rates are very high. Poor access to health care, high illiteracy rates and poor nutrition and health practices are causative factors for high mortality rates.

USAID Role and Achievements to Date: USAID supports the Government of India (GOI) and non-governmental organization (NGO) efforts to improve child survival in the states where malnutrition, fertility, illiteracy and mortality rates are high. The Cooperative for Assistance and Relief Everywhere (CARE) and the Catholic Relief Services (CRS) have increasingly focused resources in needier northern states, closing down operations in more developed southern states. P.L. 480 Title II commodities provide nutrition and serve as an entry point for provision of services in health education and nutrition. A 1994 USAID impact evaluation of the CARE program found that immunization coverage and nutrition of under-three year old children was better in CARE-assisted village centers. Over the years, USAID assistance has contributed to a steady decline in infant and child mortality from 101 per 1000 in 1978-82 to 79 in 1992-93. The PVOs have developed a sustainable logistic base, allowing the program to move large quantities of food to desperately poor people in remote areas.

Description: The P.L. 480 Title II program and Private Voluntary Organization (PVO) Health II project assist efforts to improve maternal and child nutrition, thereby reducing mortality rates and enhancing the impact of USAID's population and health activities. Under the Quality Control of Health Technologies (QCHT) project, the National Institute of Biologicals is being constructed to expand India's capacity to ensure quality vaccines, blood products and other biologicals. Also, USAID's large family planning project in the state of Uttar Pradesh supports spacing contraception which positively impacts child survival. CARE



supports India's Integrated Child Development Services program (India's Head Start Program) and reaches 6.5 million beneficiaries in 92,000 villages. In response to the impact evaluation, CARE developed an integrated nutrition and health program to improve performance. CRS, working through private registered social service societies, reaches 648,620 beneficiaries, including programs managed by Mother Teresa's and the Dalai Lama's organizations.

Host Country and Other Donors: The GOI funds all of the Integrated Child Development Services Program's personnel, infrastructure, in-country transportation (for both CARE and CRS) and storage costs for P.L. 480 Title II commodities. CARE provides technical assistance, training and logistic support. Other donors include the United Nations Children's Fund (UNICEF), World Bank, Swedish International Development Agency, and UN World Food Program (WFP). Japan is a co-donor with USAID for the QCHT.

Beneficiaries: Direct beneficiaries are the more than seven million children under six years of age and pregnant and lactating women and adolescent girls.

Principal Contractors, Grantees and Agencies: USAID implements the P.L. 480 Title II India program through CARE and CRS.

Major Results Indicators:

Baseline Target

Under-five mortality rate U.P. 141 (1992/93)<sup>1</sup> U.P. 113 (2000)

declines (No. of under 5 deaths Orissa 131 Orissa 105

per 1000 children) in selected M.P. 130 M.P. 104

states in north India Bihar 128 Bihar 103

Rajasthan 103 Rajasthan 81

Infant mortality rate U.P. 100 (1992/93)<sup>1</sup> U.P. 85 (2000)

declines (No. of infant deaths Orissa 112 Orissa 95

per 1000 live births) in selected M.P. 85 M.P. 73

states in north India Bihar 89 Bihar 75

Rajasthan 73 Rajasthan 62

Percent of children less than U.P. 50 (1992/93)<sup>1</sup> U.P. 38 (2000)

four years old classified as under-weight M.P. 57 M.P. 38

in selected states in north India (%) Rajasthan 42 Rajasthan 38

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<sup>1</sup> Source: National Family Health Survey.

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## ACTIVITY DATA SHEET

**PROGRAM:** INDIA

**TITLE AND NUMBER :** Improved Environmental and Financial Sustainability in the Energy Sector,

386-S004

**STATUS:** Continuing

**PROPOSED OBLIGATION AND FUNDING SOURCE:** FY 1998: \$5,700,000 DA

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

Purpose: To improve efficiency of energy supply and use in selected industrial sectors; and to increase the use and adoption of clean coal and renewable energy technologies in generation of power.

Background: A major factor affecting both the pace of India's economic growth and the quality of its environment will be its ability to generate and use electricity efficiently. India is unable to cope with current demand for power. The state power utilities are inefficient, often bankrupt, and unable to serve the needs of a country which already has one of the lowest rates of per capita electricity availability, at less than 300 kilowatt hours per person per year. Yet at current rates of economic growth, demand for electricity will grow at more than 30% during the next five years, and, to the extent that it is met, it will be met by the use of India's abundant but high-ash coal with negative environmental implications in India and globally.

USAID Role and Achievements to Date: USAID's technical assistance to the Power Finance Corporation, state electricity boards, and private power companies has helped leverage millions of dollars of loans from the World Bank and the Asian Development Bank. Specifically, technical assistance to the Government of India for development of standardized legal and financial documents; and training in support of regulatory and policy reforms has helped open the way for millions of dollars of potential U.S. investment in private power generation. USAID grants and technical assistance aimed at supporting renewable energy technologies have contributed to an increase in the share of power generation from renewable energy sources from 0.2% of total power generating capacity in March 1994 to over 1% in March 1996. The signing of partnership agreements between leading Indian and U.S. power utilities under the USAID-funded Utility Partnership Program has established a long-term mechanism for transfer of U.S. technology and experience to Indian utilities. USAID assistance also facilitated the signing of the first small hydro power purchase agreement between the Uttar Pradesh State Electricity Board and a private hydro power consortium lead by a U.S. hydro power developer, paving the way for rapid development of 10,000 MW produced by small hydro power plants in India.

Description: USAID has three major activities focused on achieving increased financial and environmental sustainability in the energy sector. Working with major development banks, the Energy Management Consultation and Training (EMCAT) project uses a combination of

technical assistance and training to address the critical issues affecting the Indian power sector: identifying and supporting policy reforms related to power sector regulation and restructuring, increasing investments in energy efficiency and demand-side management, and promoting innovative financing of energy efficiency projects. The Program for Acceleration of Commercial Energy Research (PACER) works through a major development financial institution to provide conditional grants for market driven research to develop energy efficient and renewable energy technologies which have potential for near-term commercial success. The Greenhouse Gas Pollution Prevention (GEP) program combines the strengths of Indian industry with the technological prowess of the U.S. to reduce greenhouse gas emissions by facilitating investments in advanced coal combustion technologies and bagasse co-generation, and providing specialized technical assistance for efficiency improvement in existing coal fired power plants.

Host Country and Other Donors: Host country contributions exceed \$1 billion through implementing agencies' and industries' cost share. Multilateral development banks are preparing more than \$1 billion in new energy efficiency and environmental programs.

Beneficiaries: Independent power producers, national and state level utilities, private power utilities, selected high energy intensity industries, energy audit and service companies, sugar industries, agricultural biomass providers, development financial institutions and consumers -- both urban and rural -- also need access to power for everything from irrigation to lighting.

Principal Contractors, Grantees, or Agencies: U.S. companies and consultants, non-governmental organizations and U.S. Government organizations such as the U.S. Department of Energy.

Major Results Indicators:

Baseline Target

Private power as percentage of power 4.4 (1993/94)<sup>1</sup> 20 (2001/02)

generating capacity (%)

Percentage increase in kilowatt hour billed to 73 (1992/93)<sup>1</sup> 77 (2002/03)

KWH produced (%)

Ratio of net CO<sub>2</sub> emissions per unit 1.24 (1993/94)<sup>2</sup> 1.05 (2004/05)

of power generated (volume of emissions/KWH) (kg/KWH)

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<sup>1</sup> Source: Center for Monitoring Indian Economy

<sup>2</sup> Source: Asian Development Bank

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## ACTIVITY DATA SHEET

**PROGRAM: INDIA****TITLE AND NUMBER:** Improved Air and Water Quality at Selected Industrial Sites and Municipalities,

386-S005

**STATUS:** Continuing**PROPOSED OBLIGATION AND FUNDING SOURCE:** FY 1998: \$10,500,000 DA**INITIAL OBLIGATION:** FY 1995; **ESTIMATED COMPLETION DATE:** FY 2002

Purpose: To improve environmental protection through competitive technologies for the industrial and energy sectors and municipalities; and to finance environmental investments through long-term debt instruments to strengthen local governments' management capability.

Background: India, the second fastest growing producer of greenhouse gases in the world, could triple its emissions between 1987 and 2010; its carbon dioxide emissions are expected to double; and ozone-depleting emissions will grow considerably. Of India's 3,119 towns and cities, only eight have full sewage disposal and treatment and only 209 have partial facilities. Environmental conditions are deteriorating rapidly within these cities, and the effects fall disproportionately upon the poor.

USAID Role and Achievements to Date: USAID has initiated programs to identify technology gaps or emerging market opportunities and to enable U.S. companies to supply a wider market for environmentally friendly technologies. India's current market for pollution control goods and services of around \$1.7 billion is expected to surge to \$4 billion by the turn of the century. To date, USAID has facilitated, through technical assistance and funding support, 11 Indo-U.S. environmental business collaborations. For example, the Indo-U.S. joint venture between Mysore Kirloskar and Snyder General, Texas with \$1.8 million in USAID project assistance has already resulted in installed air pollution control equipment valued at \$10 million to reduce gaseous and particulate emissions. Another Indo-U.S. joint venture between Agro Pulp Machinery Limited and Enders Process Equipment Corporation, Illinois was set up in 1994. Under this collaboration, a new efficient fluidized bed technology has been successfully introduced and demonstrated. Shreyans Papers Mills in Ludhiana is now treating black liquor effluent to reduce pollution load and recover valuable caustic soda (80%) used as a pulping chemical. With 100 agrobased paper mills in India, the potential market for this technology has been estimated at \$400 million. Similarly, DI Filters Systems Private Limited and Donaldson Co. Inc., Minneapolis have collaborated to set up a plant to manufacture air intake filters for gas turbines to reduce air pollution. With the constantly increasing demand for energy in India, the need for such efficient air filters is expected to grow exponentially. USAID also is fostering the evolution of India's debt market to address the enormous requirement for long-term financing for environmental infrastructure. Under USAID's Financial Institutions Reform and Expansion (FIRE) program, the first commercially viable urban water supply and sewerage project has been developed in Tirrupur, in the state of Tamil Nadu, which will provide access to potable drinking water and sewage disposal system to around 250,000 people in the Tirrupur area. USAID assisted environmental workbook and risk assessment studies have helped the city of Ahmedabad in India to identify, prioritize and develop environmental infrastructure projects worth around \$175 million, part of which will be financed through the domestic capital market, and another

new innovation in the development of a municipal debt market.

Description: USAID has three major activities focused on addressing environmental concerns. The Trade in Environmental Services and Technologies (TEST) activity provides technical assistance to foster increased Indo-U.S. business linkages and project financing to assist Indo-U.S. environmental collaborations. The Greenhouse Gas Pollution Prevention (GEP) program, provides assistance to promote efficient use of bagasse and other biomass fuels to co-generate power for reducing greenhouse gas emissions. GEP also promotes the use of advanced technologies in conventional fossil fuel plants to bring in efficiency improvements and encourage commercial utilization of fly ash. Part of the Financial Institutions Reform and Expansion (FIRE) project helps expand India's capacity to finance treatment and safe disposal of sewage and municipal waste through a commercially viable system.

Host Country and Other Donors: Indian industries receiving financial assistance through the Industrial Credit and Investment Corporation of India (ICICI) will provide the equivalent of \$10.8 million; the Industrial Development Bank of India (IDBI) will lend up to \$80 million for bagasse co-generation investments, and the National Thermal Power Corporation (NTPC) will provide \$10 million investment in energy efficient equipment as part of the host country's contribution. The Housing and Urban Development Corporation (HUDCO) and Infrastructure Leasing and Financial Services Limited (ILFS) together will mobilize from domestic sources at least an amount equivalent to \$125 million for investment in environmental infrastructure projects.

Beneficiaries: The beneficiaries are Indian companies and municipalities, primarily in urban areas, benefiting from clean air and improved access to water and sewerage; Indian technology and service firms; industry and business associations; financial institutions, power utilities, sugar industry, municipalities, and lower-income communities.

Principal Contractors, Grantees, or Agencies: Principal U.S. partners include: Sanders International and Community Consultants Inc.; U.S. Department of Energy PETC. Principal Indian partners include: Industrial Development Bank of India, Industrial Credit and Investment Corporation of India, National Thermal Power Corporation, Housing Urban Development Corporation (HUDCO) and the Infrastructure Leasing and Financial Services (ILFS).

Major Results Indicators:

Baseline Target

Reduction in pollutants in waste water 0 (1993/94)<sup>1</sup> 10 (1997/98)

at selected industrial sites (%) )

Reduction in gaseous emissions and 0 (1993/94)<sup>1</sup> \* 90 (1997/98)\*

suspended particulate matter in air at 0 (1994/95) \*\* 4 (2000/01)\*\*

selected industrial sites and power plants (%)

Hectares of fly-ash ponds and land fills 0 (1994/95)<sup>2</sup> TBD (2002/03)

avoided due to commercial utilization of  
ash (hectares)

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\* Data is for TEST Project.

\*\* Data is for GEP Project.

<sup>1</sup> Source:

Project Reports, National Environmental Engineering Research Institute,  
Central/State Pollution Control Boards, Industry.

<sup>2</sup> Source: National Thermal Power Corporation, State Electricity Boards,  
Captive Power Plants.

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## ACTIVITY DATA SHEET

**PROGRAM:** INDIA

**TITLE AND NUMBER:** Reduced Transmission of HIV Infection in India, 386-SPO1

**STATUS:** Continuing

**PROPOSED OBLIGATION AND FUNDING SOURCE:** FY 1998: \$3,200,000 DA

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

Purpose: To assist the southern state of Tamil Nadu to control the spread of the human immunodeficiency virus (HIV) and the acquired immunodeficiency syndrome (AIDS).

Background: USAID's program in the southern state of Tamil Nadu to prevent and control HIV/AIDS responds to concerns about both health and economic growth. Recent studies have shown that India is potentially one of the countries in the world most vulnerable to a dramatic increase in HIV/AIDS. The number of Indians estimated to be HIV positive--between 1.5 and 3 million today--could grow to five million by the end of the decade. The cost to India, both in demand on its already overtaxed health system and in loss of productive workers, could be staggering. Tamil Nadu is one of the areas of documented high HIV transmission.

USAID Role and Achievements to Date: USAID's AIDS Prevention and Control (APAC) activity in Tamil Nadu supports the participation of nongovernmental organizations (NGOs) in AIDS prevention, capitalizing on their commitment, credibility and access to high-risk groups. USAID has financed the establishment of a new AIDS unit at Voluntary Health Services, Madras, a well respected Indian NGO, as the implementing agency to manage sub-grants to NGOs working with high-risk groups, their spouses, children and communities.

In the last year, 18 NGOs have been funded to work with high-risk groups on HIV/AIDS prevention. A comprehensive research study on the availability and quality of condoms at retail outlets in Tamil Nadu has been completed and follow-up action undertaken with private sector manufacturers to improve both the distribution and the quality of condoms. A training module has been designed for training physicians in diagnosis and management of Sexually Transmitted Diseases (STDs) and the training of physicians began in December 1996. A major study to gather baseline data on knowledge of HIV prevention methods, as well as condom use and care seeking behavior for STDs was completed in December 1996. Findings indicate that although 90% of individuals engaging in high risk behavior do know about means of preventing the transmission of HIV/AIDS, adoption of safe behavior lags behind. Only about 37% of high risk populations protect themselves with condoms. NGOs are receiving training in developing proposals for community-based activities in HIV/AIDS prevention. The challenge is to maintain the current high levels of knowledge and to move people from knowledge to adoption of safe behavior.

Description: USAID supports NGOs with both funds and technical assistance to design and implement community-based prevention programs which target high-risk populations, including prostitutes and their clients, and STD patients. NGOs educate target populations, promote condom use, and enhance STD services and counseling.

Host Country and Other Donors: The Government of India's (GOI) World Bank-funded \$100 million, seven-year, National AIDS Control Program (NACP) assists the government health system in Indian states to work on HIV/AIDS prevention. The British Overseas Development Administration (ODA) is engaged in developing a country-wide intervention with truck drivers to promote behavior modification and STD treatment. The European Union is supporting NGO activities in several Indian states. Most other donors contribute funds to the GOI's NACP. UNAIDS provides technical assistance to the NACP.

Beneficiaries: Though high-risk sexual activity takes place mostly between female commercial sex workers and their male clients, infection is primarily transmitted to the female partners of clients. In addition to commercial sex workers and their clients, women and their children who are family members of clients form 50% of the beneficiaries.

Principal Contractors, Grantees, or Agencies: USAID's worldwide AIDSCAP Project provides technical support to Voluntary Health Services, Madras, which is the nodal voluntary agency entrusted with APAC activity implementation.

Major Results Indicators:

Baseline Target

Knowledge of at least two 90% 90% increase (2001/2002)\*

protective measures against HIV

transmission amongst those

engaging in high-risk behavior.

Use of condoms among high- 37% 62% (2001/2002)\*

risk groups.

Proportion of the high-risk 52% 77% (2001/2002)\*

populations seeking care from qualified

medical practitioners for symptomatic STDs

Number of APAC assisted NGOs involved 0 (1995) 100 (2001/2001)\*

in HIV/AIDS prevention activities.

## ACTIVITY DATA SHEET

**PROGRAM:** INDIA

**TITLE AND NUMBER :** Increased Investment in Agribusiness by Private Firms, 386-SPO2

**STATUS:** Continuing

**PROPOSED OBLIGATION AND FUNDING SOURCE:** FY 1998: \$0 DA

**INITIAL OBLIGATION:** FY 1995; **ESTIMATED COMPLETION DATE:** FY 1998

Purpose: The purpose of the Agricultural Commercialization and Enterprise (ACE) project is to reduce post harvest losses and accelerate competitive agribusiness development through increased investment flows and Indo-U.S. business linkages.

Background: Agriculture contributes over 30% of India's gross domestic product (GDP) and, directly or indirectly, provides a living to almost 700 million people. Less than 1% of India's horticultural production is processed in India, compared to 70% in Brazil and the United States. Inadequate infrastructure causes an approximate 30% post harvest loss.

USAID Role & Achievements to Date: USAID, through its Agricultural Commercialization and Enterprise (ACE) program, assists competitive and pioneering agribusiness ventures producing high value horticultural produce and agroprocessing that expand rural employment (including jobs for women) and incomes. Among the 22 commercial ventures supported by ACE, four for fruits and vegetable pre-cooling in the Nasik region of Maharashtra state have led to an additional 47 similar investments in Nasik alone.

Convinced by this success, formerly reticent financial intermediaries now invest nine dollars for every dollar financed by the ACE project in agribusiness ventures. USAID has also actively facilitated Indo-US agribusiness linkages through arranging training programs in leading U.S. universities (e.g., the University of California, Davis) and encouraging participation of Indian agribusiness leaders in trade and investment shows in the U.S. These business nurturing activities have improved India's perception of U.S. exporters and manufacturers of agribusiness equipment. For example, ACE facilitated an Indian delegation's participation in Chicago's 1995 Megashow which resulted in a new joint venture



in cooling equipment which will open South Asia's markets to new technology from a mid-sized U.S. company. In September 1996, the ACE program successfully launched India's first, state of the art Agribusiness Information Center (AIC) in collaboration with the Federation of Indian Chambers of Commerce and Industry (FICCI), India's premier industry association. In September 1996, the ACE project provided an opportunity to American biotech companies to meet with Indian firms interested in acquiring new technology at a Biotech Business Forum. As a direct result, one of the participating American companies has sent a team to negotiate and appoint agents and dealers for their technology in India.

Description: USAID through the ACE program and its partner the Industrial Credit and Investment Corporation of India (ICICI) lends seed capital for pioneering horticultural and agribusiness ventures in order to demonstrate the feasibility of lending to agribusiness. The ACE program also provides technical assistance and training to individual firms and industry associations and nurtures Indo-US agribusiness linkages as a mechanism for technology transfer. The Mission plans to extend this activity through additional funding anticipated from the Agency's new economic growth plus-up initiative.

Host Country and Other Donors: In response to ACE effectiveness, the Government of India transferred over \$20 million in local currency to ICICI to finance agribusiness operations. Additionally, after the creditworthiness of agribusiness lending was demonstrated, ICICI has invested over \$50 million from its own resources in similar agribusiness projects. Other donors such as the European Union, UNDP, FAO and the World Bank have used USAID experience in plans for replicating these activities. As an example, the World Bank is designing a similar \$300 million project for the state of Uttar Pradesh.

Beneficiaries: Farmers, rural women, young entrepreneurs, financial institutions and business associations benefit from the establishment and expansion of agribusiness.

Principal Contractors, Grantees, or Agencies: USAID implements activities through Chemonics International, a U.S. contractor; the International Executive Service Corps (IESC), a U.S. private voluntary organization; ICICI, the leading Indian private development bank; FICCI, India's premier industry association; and Winrock International, a U.S. contractor that implements the Farmer-to-Farmer program in India.

#### Major Results Indicators:

##### Baseline Target

Increase in total investments 0 (1991/92)<sup>1</sup> 60 (1997/98)

in ACE-funded agribusiness projects (\$ million)

Increase in ICICI lending to the agri- 0 (1991/92)<sup>1</sup> 200 (1997/98)

business sector (\$ million)

Increase in value of horticultural 155 (1991/92)<sup>2</sup> 380 (1997/98)

exports (\$ million)

<sup>1</sup> Source: Industrial Credit and Investment Corporation of India, Chemonics International

<sup>2</sup> Source: Agricultural Products Export Development Authority (APEDA)

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## ACTIVITY DATA SHEET

**PROGRAM:** INDIA

**TITLE AND NUMBER:** Expansion of Women's Role and Participation in Decision-Making, 386-SPO3

**STATUS:** Continuing

**PROPOSED OBLIGATION AND FUNDING SOURCE:** FY 1998: \$3,000,000 DA

**INITIAL OBLIGATION:** FY 1996; **ESTIMATED COMPLETION DATE:** FY 2001

Purpose: To expand women's role and participation in decision-making through activities addressing constraints in the areas of microfinance, girls' school participation, violence against women, management of the community environment and women's control over her reproductive and childrens' health.

Background: Women are the most disadvantaged members of the Indian population and comprise the largest portion of the population living in absolute poverty. The low status is reflected in indicators such as low literacy rate, a significant gender gap in primary education, high prevalence of a number of forms of violence against women, and lack of access to financial resources. Worsening environmental conditions and the absence of basic infrastructure in poor communities deprive women of prospects for healthy, dignified lives as productive members of society. Perhaps the most telling is the figure for "missing women" as reflected in excess female mortality (when compared to male mortality), especially high maternal mortality rates and the declining sex ratio (927 per 1000 males as per the 1991 census). Between 1981 and 1991 more than four million girl children joined the ranks of "missing women." Approximately 1.2 million of them disappeared either through selective abortion following sex-determination in pregnancy or because of inadequate attention after birth.

USAID Role and Achievements to Date: All the activities supported by the Women's Initiative (WIN), which began in FY 1996, address aspects of women's issues not supported by any other donor. It is envisioned that considerable progress will be made in USAID supported programs being implemented by the International Center for Research on Women and its subgrantee, the Centre for Development and Population Activities in partnership with Indian organizations. During the first phase of WIN, more than 20 non-governmental organizations (NGOs) providing financial services to low-income women will be trained in business planning by USAID's local partner, Friends of Women's World Banking (FWWB). Training materials in several Indian languages will be made available to these and other grassroots institutions serving low-income women, and the institutional capacity of FWWB will be strengthened. A systematic methodology in collection and analysis of secondary data and indicators measuring the incidence, prevalence and costs of violence against women will be piloted in some states in India by local institutions, and plans to refine this pilot undertaking in order to replicate at a national level will be underway.

USAID support through the Global Girl's and Women's Education Initiative will result in development of new instructional methods in gender-sensitive classroom interaction of teachers in primary schools of one block in Uttar Pradesh. Baseline data will be collected by core team of local teachers using classroom observations of both qualitative and quantitative interactions and interviews with teachers, parents and community members.

Description: After an extensive customer survey of women's NGOs, grass roots organizations, research institutions, government offices, media groups and other donors, USAID decided to provide support for: (a) developing, with the participation of a prominent teacher's association, a teacher training module that eliminates gender-biases in classroom practices and increases girl's school enrollment and retention in one district in the Indian state of Uttar Pradesh; (b) upgrading the business planning skills of NGOs to increase outreach of financial services to low-income women; and (c) expanding informed research and advocacy by Indian organizations on and against violence against women by development of nationwide data base for publication of annual status reports. Support in these areas will strengthen interventions in the areas of increased political participation and awareness of legal rights of women.

WIN also seeks to strengthen alliances of women's organizations through advocacy workshops and dissemination of research results and models. Through these alliances, there will be positive synergistic impact on the health and family planning and urban environmental management activities supported by USAID.

Host Country and Other Donors: WIN contributes to many significant Indian initiatives and donor programs. In the primary education sector, the World Bank is providing over \$700 million to improve coverage and quality of primary education, and several UN agencies have coordinated to provide assistance for teacher training and community participation and management of schools. The European Union and the British Overseas Development Administration (ODA) also have significant primary education programs in Madhya Pradesh and Andhra Pradesh, respectively. The USAID activity complements these comprehensive programs by focusing specifically on teacher training through skills development for teachers that are intended to increase teachers' abilities to address girls' specific learning needs, improve school and classroom learning environments for girls so they stay in school.

Although violence against females is a widely recognized and serious problem in India, most donors have assisted support services or legal awareness programs rather than building an information base. USAID is the first donor to work with Indian organizations to establish an objective and national data bank, through systematic analysis and collection of data on violence against women.

The UN, World Bank, Swiss, Dutch and Canadians have all supported credit and enterprise programs for women. However, most of these programs have focused on women's self-help group formation and development of home-based enterprises. WIN focuses instead on upgrading the technical and managerial capabilities of alternative financial organizations which, by operating on a sound, sustainable basis, will increase the quality and outreach of the financial services they provide to women.

Beneficiaries: Girls, women and local institutions of India in areas assisted by WIN.

Principal Contractors, Grantees or Agencies: Center for International Education, University of Massachusetts International Center for Research on Women and subgrantee, Centre for

Development and Population Activities (CEDPA), Friends of Women's World Banking (FWWB) and other local institutions.

Major Results Indicators:

\* Increased enrollment and retention of girls in primary Baseline (1996/97) and target figures schools in one district in UP (% increase) (2000/2001) will be developed for

these indicators in consultation with

\* Increased number of women clients receiving G/WID, G/EG/MD and ICRW/CEDPA and financial services from NGOs trained in business key Indian partner institutions.

planning (% increase)

\* Increased number of institutions reporting regularly on

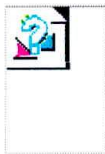
violence against women

\* Increased number of local institutions and their constituencies

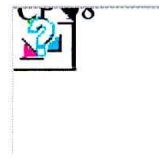
conducting methodological research on and informed

advocacy against violence against women (% increase)

\* Publication of an annual report on violence against women.



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Congressional Presentation

## INDIA

	<b>FY 1998 Actual</b>	<b>FY 1999 Estimate</b>	<b>FY 2000 Request</b>
<b>Development Assistance</b>	\$25,631,000	\$24,700,000	\$28,700,000
<b>Child Survival and Disease</b>	\$17,044,000	\$17,150,000	---
<b>P.L. 480 Title II</b>	\$94,948,000	\$110,503,000	\$81,650,000

### Introduction

USAID's program in India responds to two key U.S. national interests: (1) global issues of population growth, infectious diseases, and climate change; and (2) humanitarian concerns of alleviating poverty and reducing malnutrition. India is the sixth largest and second fastest growing producer of greenhouse gases. Its growing population, concentrated increasingly in urban areas, contributes to the spread of communicable diseases--HIV/AIDS, tuberculosis and polio. India continues to have the largest concentration of poor in the world, more than 300 million. Despite gains in food production, half of its children are malnourished. With nearly a billion people, India's progress in slowing population growth, greenhouse gas emissions and infectious diseases and reducing poverty are vital to successfully addressing U.S. global issues and humanitarian concerns.

As a consequence of India's May 1998 nuclear tests, the United States imposed sanctions on India. Programs terminated under sanctions include financial sector reform and agribusiness development.

The United States continues to be India's largest trade and investment partner. In 1997-98, trade between the two countries was \$10.36 billion; approvals of U.S. direct investment totaled \$783.4 million in the first three quarters of 1998. The potential for expanded trade and investment is enormous but dependent upon a second wave of Indian economic reform. India's external debt is manageable as indicated by 1998 estimates of the stock of debt (\$92 billion), foreign exchange reserves in months of imports (six months), the current account deficit as a percent of GDP (2.3%) and the debt service ratio (21.7%) which are all largely unchanged from the previous year.

### Development Challenges

India's ability to achieve sustainable growth and reduce poverty depends greatly on its ability to stabilize population growth. Its population will reach one billion by the year 2000 and, not long after, will surpass China as the world's most populous country. A major contributing factor to India's rapid population growth is the lack of access to reproductive health services. Hence, USAID's program to stabilize population growth focuses on improving the quality of, and access to, family planning services in Uttar Pradesh, India's most populous state with

condoms and oral contraceptives to rural areas. These two activities will broaden access to temporary contraceptive methods, allowing couples more choice in planning their family.

The second USAID-funded National Family Health Survey for the 25 states of India is currently underway. Key health indicator data will be available by mid-1999. This data is utilized widely by the GOI, donors and others within India and internationally to track health trends over time.

Considerable progress has been made in building program momentum to reduce fertility and improve reproductive health in north India. Emphasizing improved access to quality reproductive health services, the program is rapidly expanding to 29 districts covering a population of 72 million.

**Possible Adjustments to Plans:** None

**Other Donor Programs:** The World Bank, United Nations Population Fund (UNFPA), United Nations Children's Fund (UNICEF), and the British foreign aid program provide complementary donor support in reproductive health, safe motherhood and child survival. USAID's program has introduced a number of innovative approaches to supporting both public and private sector efforts, some of which have been incorporated into a major new initiative in reproductive health being launched by the World Bank. The GOI contributes substantial resources through its existing personnel and massive infrastructure to provide health and family welfare services to the general public. GOI health and family welfare services address the needs of large numbers of extremely poor clients who are unable to purchase health services from the private sector.

**Principal Contractors, Grantees, or Agencies:** The major grantees are the State Innovations in Family Planning Services Agency and Industrial Credit and Investment Corporation of India (ICICI) Limited. USAID-supported cooperating agencies include: The Association for Voluntary and Safe Contraception, Cooperation for Assistance and Relief Everywhere, Center for Development and Population Activities, Johns Hopkins University/Population Communication Services, Deloitte Touche Tohmatsu, University of North Carolina, International Training in Health - PRIME Project, MACRO International Inc., Program for Appropriate Technologies in Health, Population Reference Bureau, and John Snow, Inc.

**Selected Performance Measures:**

	Baseline (1997)	Target (2000)	Target (2004)
* Number of public sector clinics with satisfactory quality ratings <sup>1</sup>	4	72	361
* Annual number of public sector family planning clients by methods <sup>1</sup>	303,000	454,000	661,000
* Annual number of private sector family planning clients by spacing methods <sup>1</sup>	11,000	24,000	41,000
* Annual contraceptive Social Marketing (CSM) and Commercial sales of			
- oral pills (million cycles) <sup>2</sup>	4.2	6.3	10.4
- condoms (million pieces) <sup>2</sup>	104	127	205
* Percentage of pregnant women receiving Ante Natal Care (ANC) services <sup>1</sup>			
- two doses of Tetanus Toxoid	43%	46%	50%
- 100 Iron and Folic Acid Tablets	32%	34%	40%
* Percentage of deliveries attended by trained provider	17%(1995)	22%	30%

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<sup>1</sup> in 28 priority IFPS Activity districts; <sup>2</sup> in Uttar Pradesh

## ACTIVITY DATA SHEET

### PROGRAM: INDIA

**TITLE AND NUMBER:** Improved Child Survival and Nutrition in Selected Areas of India, 386-SO03

**STATUS:** Continuing

**PROPOSED OBLIGATION AND FUNDING SOURCES:** FY 2000: \$2,000,000 CSD; \$81,650,000 P.L. 480 Title II

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

**Summary:** One-third of India's nearly one billion people lacks adequate food. More than half of India's young children (73 million) are underweight, and chronic maternal malnutrition is high: one of every nine children die before the age of five. Infant and child mortality rates are very high. Poor access to health care, high illiteracy rates and poor nutrition and health practices contribute to the high mortality and malnutrition. Because poor women and children, particularly in remote rural and tribal areas, have the greatest mortality risks, the purpose of this strategic objective (SO) is to reduce the high levels of child mortality and malnutrition. The major activity that contributes to this SO is the P.L. 480 Title II program being implemented by Cooperative for Assistance and Relief Everywhere (CARE) and Catholic Relief Services (CRS). The program reaches more than seven million women and children by integrating Title II commodities and other GOI and non-governmental resources in the program. Through the GOI's Integrated Child Development Services (ICDS) program (India's equivalent of Head Start), CARE taps into a network of over 111,000 village centers. CRS, working through private registered social service societies including programs managed by Mother Teresa's and the Dalai Lama's organizations, reaches those women and

children who are not served by the GOI's ICDS.

A bilateral activity, the Program for Advancement of Commercial Technology/Child and Reproductive Health (PACT/CRH), complements the Title II program by providing support at the national level for technologies aimed at improving child survival while increasing commercial marketing and distribution of quality child survival products and services such as Oral Rehydration Salts (ORS) and vaccines.

**Key Results:** Among the multiple factors influencing child survival and nutrition, three key intermediate results were identified by USAID as critical in the Indian context to achieve this objective: (1) increased use of key child survival interventions; (2) improved maternal and child nutrition; and (3) improved targeting of at-risk populations.

**Performance and Prospects:** Under the Title II activity, performance surpassed expected levels for all key results. In FY 1997, under the CARE program areas, immunization rates were 60% (planned - 31%); iron-folate supplementation of pregnant women improved from 13% to 26% (planned - 20%) despite problems in GOI supplies of the tablets; the percentage of infants receiving complementary foods at 6-9 months of age increased from 46% to 65% (planned - 50%); and the coverage of under-two-year-olds in the program rose from 40% to 63% (planned - 43%). These initial results are encouraging and the trends indicate that the strategy of using food to draw children and mothers into programs where they can receive health care services is working. The program is, thus, expected to achieve the projected improvements in nutritional status of children. A mid-term review of the CARE and CRS Title II programs planned for FY 1999 will assess the success of the strategy and recommend any mid-course corrections in strategy and activities.

Nearly one-fourth of child deaths are due to diarrhea, a substantial proportion of which can be prevented by the use of oral rehydration salts (ORS). Under the PACT/CRH activity: (i) the Industrial Credit & Investment Corporation of India (ICICI) is in the process of approving a loan to a firm with an extensive distribution network to manufacture, market and promote ORS in India. A generic promotion campaign to position ORS as the scientific, doctor-recommended, first-line product for all cases of childhood diarrhea is scheduled to be launched this year; (ii) ICICI has also entered into an agreement with the premier vaccine manufacturer in India, the Serum Institute, to produce and market a high quality Mumps, Measles and Rubella vaccine through commercial channels; and (iii) a grant has also been provided to set up an Information Center for Child and Reproductive Health and AIDS Prevention.

USAID, along with the World Bank, has funded a large Deworming and Enhanced Vitamin A (DEVTA) trial. The ongoing trial covers 8,000 villages and about 1 million children and is based on results of a smaller study that showed improved impact of Vitamin A on growth of children with concomitant deworming. The study will determine the impact of enhanced vitamin A coverage and deworming on mortality and growth of children and will also provide a sustainable model for improved delivery of micronutrients, including vitamin A. USAID plans to fund additional research that will inform government policy on vitamin A and anemia control programs.

**Possible Adjustments to plans:** USAID proposes to develop new activities that would strengthen its contribution to improving child survival and nutrition, particularly micronutrient status. Discussions have been initiated with key nutrition and research institutions in this regard.



**Other Donor Programs:** Other donors working in the nutrition and health sector include the United Nations Children's Fund, World Bank, Swedish International Development Agency, and World Food Program . In addition, the GOI funds all of the ICDS services, program personnel, infrastructure, for the CARE program and in-country transportation and storage costs for all P.L. 480 Title II commodities. CARE and CRS provide technical assistance, training and logistic support.

**Principal Contractors Grantees or Agencies:** USAID implements the P.L. 480 Title II India program through U.S. PVOs, namely CARE and CRS. The PACT/CRH is implemented through ICICI, with U.S. technical assistance from Program for Appropriate Technology in Health.

**Selected Performance Measures:**

	Baseline <sup>1</sup>	Target <sup>1</sup>	Target <sup>1</sup>
	CARE: 1996	CRS: 1997	CRS: 2001
Percent of children fully immunized by age one			
CARE:	28	40	44
CRS:	28	43	48
Percent of pregnant women who Received 90-100 iron-folate tablets During their pregnancy			
CARE:	13	30	35
CRS:	13	28	33
Percent of infants who received Breast-milk and solid-mushy foods At 6-9 months of age			
CARE:	46	62	65
CRS:	64	78	78

<sup>1</sup> Population covered lies within CARE and CRS serviced catchment areas.

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## ACTIVITY DATA SHEET

**PROGRAM:** INDIA

**TITLE AND NUMBER:** Increased Environmental Protection in Energy, Industry, and Cities, 386-SO04

**STATUS:** Continuing

**PROPOSED OBLIGATION AND FUNDING SOURCES:** FY 2000:\$10,000,000 DA

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

**Summary:** This strategic objective (SO) funds work which increases efficiency and reduces pollution in the electric power and industrial sectors to reduce greenhouse gas (GHG) emissions, and improves urban environmental planning and infrastructure. India is the sixth largest and second fastest growing producer of GHG in the world. Electric power generation is the major source of GHG emissions in India, accounting for 48% (or 71 million tons) of India's carbon emissions from fossil fuels. The activity supports the adoption of GHG reduction technologies and practices by the electric power sector. The activity also assists adoption of environmental management systems and clean technology practices by high energy-intensive industries, directly benefiting the firms, their workers and the local

community. In addition, the activity improves living conditions in urban areas by assisting local governments in providing commercially viable basic services (water, waste collection and sewerage) to the fast growing urban population, especially to low income groups. The rapid growth in India's urban population has put urban environmental infrastructure, including water supply, sanitation, and sewerage systems, under tremendous strain. Close to 40% of the urban population live in slums and squatter settlements without any significant access to these basic services, causing severe health problems to the most vulnerable groups of the population.

**Key Results:** Achievement of three key results by 2002 will indicate the successful attainment of this SO: (1) increased access to improved drinking water, waste water and solid waste services through commercially viable systems; (2) increased avoidance of emission of carbon dioxide equivalents; and (3) increased number of firms that meet international environment quality standards in selected industrial sectors.

**Performance and Prospects:** USAID helped the Ministry of Power draft the Energy Conservation Act to be approved by the Indian Parliament in early 1999. In the state of Haryana, USAID identified and developed projects worth \$40 million for the World Bank to improve low-tension electricity distribution. USAID technical assistance to the states of Punjab, Haryana and West Bengal is helping establish State Electricity Regulatory Commissions to improve power sector efficiency. USAID recommendations have led to the reduction of two million metric tons of carbon dioxide by power plants of the National Thermal Power Corporation and by the Gujarat Electricity Board.

USAID's support for renewable energy technologies has resulted in the installation of nearly 200 MW of sugar co-generation power plants using bio-mass fuels and domestic lighting for nearly 2500 rural homes using solar photovoltaic technology. The signing of new partnership agreements between leading Indian and U.S. power utilities and regulatory agencies under the USAID-funded Utility Partnership Program provides a long-term mechanism for transfer of U.S. non-nuclear technology and experience to Indian organizations, while opening the door for U.S. exports. The USAID Energy Training Program provides training for ongoing regulatory reform and energy efficiency in India.

USAID's Clean Technology Initiative is providing assistance to Indian industry to adopt certified environmental management systems and is enhancing the capacity of industry to incorporate best technologies and practices into their operations to enhance productivity and profitability. Energy intensive sectors of cement, thermal power and steel were targeted for assistance. Nine firms will achieve ISO 14000 certification under a pilot phase.

USAID's achievement in improvement of urban environmental infrastructure in India is well recognized. The Ahmedabad Municipal Corporation (AMC) succeeded in issuing a \$25 million municipal bond, the first one in South Asia, to help finance the city's environmental infrastructure projects including provision of basic services to slum communities. Thereafter, USAID assisted AMC to prepare commercially viable water supply and sanitation projects. USAID's Urban and Environmental Credit Loan Guaranty of up to \$25 million to AMC has also been an important "confidence builder" for this innovative package of changes. In the state of Tamil Nadu, the negotiations for the first build-operate-transfer project on water supply and sewerage in Tiruppur has been completed and is nearing financial closure and the commencement of construction.

Responding to the needs of both city governments and NGOs working on community based environmental improvements, USAID provided technical assistance to develop a "tool kit" of

improved environmental management approaches and helped five cities to prepare environmental status reports/workbooks, comparative risk assessments, and environmental management plans.

**Possible Adjustments to Plans:** New funding for energy activities under this Strategic Objective was suspended in May 1998 as a part of the response to India's nuclear tests. Limited energy activities are currently being implemented with "pipeline" budgets from years prior to FY 1998. If there is no change in the suspension by mid-1999, the target achievements will have to be revised. Results and benefits will decrease significantly.

**Other Donor Programs:** USAID works closely with the World Bank (WB), the British Department for International Development and Asian Development Bank (ADB) on power sector reform and restructuring. A proposal for funding to improve the low-tension distribution system in the energy sector is under review by the WB. USAID is working with the WB and ADB to provide complementary grant-funded technical assistance to the states of Haryana, Punjab and West Bengal for power sector regulatory reform. Negotiations for WB assistance to augment the resources of the Tamil Nadu (TN) Urban Development Fund for financing environmental infrastructure projects in the state, have reached the final stages. The WB project paper has been developed in consultation with USAID and draws heavily from the work experience of USAID in TN. USAID will complement the WB's effort in the institutional strengthening component of the project.

**Principal Contractors, Grantees or Agencies:** Current grantees and contractors include: International Resources Group; Federal Energy Technology Center of U.S. Department of Energy; Winrock International; Institute of International Education; United States Energy Association; Hagler Bailly Services Corporation; and Community Consultants Inc. Indian partners include: Ministry of Power; Central and State Electricity Regulatory Commissions; State and private sector power utilities; Ministry of Environment and Forests; Power Finance Corporation; Industrial Development Bank of India; ICICI Limited; National Thermal Power Corporation Limited; Confederation of Indian Industry; Federation of Indian Chambers of Commerce and Industry; National Institute of Urban Affairs; Housing and Urban Development Corporation; and Infrastructure Leasing and Financial Services.

#### Selected Performance Measures:

	Baseline (1995)	Target (2000)	Target (2002)
Increased access to improved drinking water, waste water and solid waste services through commercially viable systems (population in million)	0	.70	5
Emissions of carbon dioxide equivalents avoided (in million tons)	0	12.0	22.4
Increased number of firms that meet international environmental quality standards in selected industrial sectors (number of firms)	0 (1998)	15.0	25

<sup>1</sup> cumulative CO2 avoided

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## ACTIVITY DATA SHEET

**PROGRAM:** INDIA

**TITLE AND NUMBER:** Reduced Transmission and Mitigated Impact of Infectious

Diseases, especially STD/HIV/AIDS in India, 386-SO07

**STATUS:** Continuing

**PROPOSED OBLIGATION AND FUNDING SOURCES:** FY 2000: \$8,500,000 CSD

**INITIAL OBLIGATION:** FY 1995 **ESTIMATED COMPLETION DATE:** FY 2005

**Summary:** In FY 1992, USAID responded to early evidence of a growing problem of Human Immuno Virus/Acquired Immunodeficiency Syndrome (HIV/AIDS) in India by developing the AIDS Prevention and Control (APAC) activity in the south Indian state of Tamil Nadu - one of India's three recognized epidemic epicenters. APAC activities aim to prevent and control sexual transmission of HIV among groups engaging in high-risk behavior by: 1) using proven strategies of education for behavior change; 2) expanding access to and utilization of high quality condoms; and 3) expanding access to and utilization of quality treatment for sexually transmitted diseases (STD). In addition, the Program for Advancement of Commercial Technology/Child and Reproductive Health (PACT/CRH) aims to stimulate the private sector to improve access to and quality of health products and services, especially condoms.

In FY 1998, USAID/India expanded its program to include the state of Maharashtra, which accounts for over 50% of all reported HIV and AIDS cases in India, with a \$41.5 million funding effort. In Maharashtra, comprehensive prevention programs will focus on the urban areas of Mumbai, Pune, Thane and Sangli, where more than 80% of Maharashtra's sex workers live and work. The activity will also help strengthen the capacity of the state government to respond to the epidemic.

While commercial sex workers and their clients are the immediate direct beneficiaries of HIV/AIDS prevention programs, women and children represent 50% of all beneficiaries.

Another objective of the SO is to help eradicate polio. USAID, through the Global Bureau, provided \$4 million to UN organizations and Rotary International to help implement the Government of India's (GOI) polio eradication program. Also, the Global Bureau provided \$2 million through the World Health Organization to the GOI's tuberculosis research center in Chennai and for development of integrated national disease surveillance systems. Another \$2.2 million has been provided to the International Clinical Epidemiology Network (INCLEN) for research on infectious diseases in India.

**Key Results:** Critical to HIV/AIDS prevention programs is moving those engaged in high-risk behavior beyond knowledge about methods of preventing sexual transmission to actual adoption of safe practices.

**Performance and Prospects:** In the last three years, 102 non-governmental organizations (NGOs) in Tamil Nadu have been funded to carry out prevention programs for high risk groups such as truck drivers and their helpers and women in prostitution and their clients. At least six NGOs have received grants to serve each of these groups. In 1997, 66% of truck drivers and their helpers reported condom use during their last sexual encounter with a female commercial sex worker - up from 55% in 1996. Also in 1997, 79% of truck drivers and their helpers reported that they sought care from qualified medical practitioners for STD symptoms - up from 64% in 1996, while 83% of male factory workers reported similar health-seeking behavior, an improvement over the previous year's 58%. To improve the quality of care for STDs, 615 (480 males and 135 females) physicians have been trained using a module developed by APAC. To improve the availability of and demand for high quality condoms for disease prevention, APAC entered into a collaborative effort with a manufacturer to expand the retail sales network from 25,000 to 65,000 outlets in Tamil

Nadu. 2,125 retailers in Tamil Nadu will be trained over the next 12 months to motivate them to more actively promote condoms at point of purchase.

PACT/CRH has provided loans to private-sector manufacturers to expand the marketing and distribution of condoms and to manufacture and market condom vending machines. PACT/CRH has assisted manufacturers to improve their internal quality control procedures, an issue of central importance to HIV/AIDS prevention. PACT/CRH technical experts are also assisting the Drugs Controller of India to strengthen the Government's quality control monitoring capacity and work with manufacturers to improve condom packaging in India. PACT/CRH has provided a grant to the Confederation of Indian Industry to develop and market educational packages for prevention of HIV/AIDS in industrial workplaces.

Under the polio eradication activity, the support of USAID, the GOI and other donors resulted in a large-scale campaign which inoculated 125 million children under five years on a single day in 1997-98. Reported polio cases have dropped by 94% from 24,257 cases in 1988 to 1,477 in 1997. India's contribution to the worldwide burden of polio cases has been significantly reduced.

**Possible Adjustments to Plans:** It is expected that the Maharashtra activity will be signed with the GOI and that implementation will begin by April 1999.

**Other Donor Programs:** The GOI's World Bank-funded \$100 million, seven-year National AIDS Control Program (NACP) assists the government health system in Indian states to work on HIV/AIDS prevention. A second phase \$200 million, five-year program is presently being negotiated for an April 1999 start. The British Department for International Development is currently negotiating with the GOI to launch an \$80 million assistance program that will encompass a country-wide intervention with truck drivers to promote behavior modification and STD treatment, and also behavior change programs in the Indian states of Andhra Pradesh, West Bengal, Kerala, Gujarat, and Orissa. The European Union supports NGO activities in several Indian states. UNAIDS coordinates the response of the UN agencies to HIV/AIDS in India. All donor programs, including USAID's, have been carefully coordinated to complement the World Bank-assisted NACP.

**Principal Contractors, Grantees, or Agencies:** Voluntary Health Services and Industrial Credit and Investment Corporation of India have been the central organizations implementing the Tamil Nadu and PACT/CRH activities. Family Health International, a U.S. organization that collaborated in the Tamil Nadu activities, and Deloitte Touche Tohmatsu are collaborators under the PACT/CRH activities.

#### **Selected Performance Measures (in Tamil Nadu):**

	Baseline	Target (2000)	Target (2002)
Percentage of individuals belonging to specified high-risk groups who report condom use in most recent sexual encounter with a non-regular partner.	37% (1996)	57%	62%
Percentage of population seeking care from qualified medical practitioners for symptomatic STDs.	52% (1996)	72%	77%
Cumulative number of APAC grants for AIDS prevention.	0 (1995)	75	100

## ACTIVITY DATA SHEET

**PROGRAM:** INDIA

**TITLE AND NUMBER:** Expanded Advocacy and Service Delivery Networks for Women, 386-SP03

**STATUS:** Continuing

**PROPOSED OBLIGATION AND FUNDING SOURCES:** FY 2000: \$1,700,000 DA; \$1,000,000 CSD

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

**Summary:** Women are the most disadvantaged members of the Indian population and comprise the largest section of the population living in absolute poverty. The low status of women is reflected in indicators such as a low literacy rate, a significant gender gap in primary education, high prevalence of a number of forms of violence against women, and lack of access to financial services. India's most recent census figures (1991) indicate that there are 927 females for every 1000 males, and a 1992-93 study of literacy identifies literacy rates of 43% for females and 69% for males. Activities under the strategic objective (SO) seek to expand women's role and participation in decision making through the areas of micro-finance for women, greater school participation for young girls, and the prevention of violence against women. The program is based on extensive consultations with women's groups, grassroots organizations, research institutions, government, media groups, and other donors. This special objective benefits the school-going girls in Rae Bareilly district of Uttar Pradesh (UP), low-income women in rural areas who will have access to financial services as a result of USAID intervention and women who are, or potentially may become, victims of violence.

**Key Results:** The special objective has three intermediate results: (1) increased number of women clients receiving financial services as a result of improved business planning of participating institutions; (2) increased number of local institutions and their constituencies collecting data and advocating against violence against women; and (3) increased enrollment and retention of girls in primary schools in one district in UP.

**Performance and Prospects:** Through USAID assistance, Friends of Women's World Banking (FWWB) trained 31 NGOs in strategic business planning. The first group of trained NGOs, who were serving a total of 26,578 low-income women, were able to achieve a 70% increase in coverage following a training exercise in strategic business planning. FWWB expects a similar increase in the remaining year of the activity.

By the end of 1998, draft reports had been completed on effective responses to domestic violence in the States of Maharashtra, Madhya Pradesh, Gujarat and Karnataka. A case study on violence against women from the Kheda District of Gujarat was also produced in 1998. The analysis of records from local police offices and hospitals is nearing completion and should be ready in time for the dissemination conference scheduled for April 1999. While studies of institutional records will give insights into trends, patterns, and responses to domestic violence, there is a need for more rigorous empirical data to establish prevalence, identify risk and protective factors, and determine the health and economic outcomes. To meet this need, the International Clinical Epidemiology Network (INCLLEN) is undertaking a large, multi-site, population-based survey in seven different geographical sites of India, and it is expected to be completed by December 1999. The emphasis in 1999 will be on placing all research studies (and the INCLLEN survey) in the larger context of generating awareness around the issue of domestic violence, sensitizing the stakeholders to the nature of the problem, and advocating programs and policies to address the problem. Dissemination

conferences are scheduled for April and November 1999, and these will be aimed at researchers, medical practitioners, policy makers, bureaucrats, police, judiciary and human rights groups.

Under this special objective, USAID is also implementing an activity to increase enrollment and retention of girls in primary schools in one district of UP. The girls' education activity focuses on in-class variables, particularly on the pattern of classroom interaction between teacher and girls. In 1998, the action research phase was successfully concluded and resulted in a draft teacher-training module and a gender handbook. The plan now is to implement the training module in the remaining 19 blocks of Rae Bareilly district.

**Possible Adjustments to Plans:** Technical assistance was sought to analyze existing girls' education programs, to identify a niche for an expanded USAID activity and to set up an effective performance monitoring system for all USAID-supported education activities.

**Other Donor Programs:** The UN, World Bank, Swiss, Dutch and Canadian Governments all support credit and enterprise programs for women. However, most of these programs focus either on the formal banking system or on women's self-help group formation and development of home-based enterprises. USAID focuses instead on upgrading the technical and managerial capabilities of non-traditional financial institutions, which, by operating on a sound, sustainable basis, will increase the quality and outreach of non-formal financial services they provide to women.

In primary education, the World Bank, UN agencies, European Union and the British Department for International Development (DFID) are providing assistance to the Indian Government's District Primary Education Program (DPEP) to improve coverage and quality of primary education, including provision of assistance in several states for school construction, teacher training and decentralized management of schools. The USAID activity complements this comprehensive program by focusing specifically on gender training for teachers to improve community and classroom environments for girls' enrollment and participation in schools.

**Principal Contractors, Grantees and Agencies:** Center for International Education, University of Massachusetts, International Center for Research on Women and sub-grantees, The Center for Development and Population Activities, Friends of Women's World Banking and other local institutions.

#### **Selected Performance Measures:**

	Baseline (1996)	Target (1999)	Target (2000)
Improved business planning process established in participating institutions	0	50	
Increased number of local institutions and their constituencies creating data and informed advocacy on violence against women	0	30	
Training module being used in 'X' blocks in Uttar Pradesh	0 (1996)	6	20





# USAID Strategic Plan

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## Preamble

Promoting sustainable development among developing and transitional countries contributes to U.S. national interests and is a necessary and critical component of America's role as a world leader.<sup>1</sup> It helps reduce the threat of crisis and create the conditions for economic growth, the expansion of democracy and social justice, and a protected environment. Under these conditions, citizens in developing and transitional countries can focus on their own social and economic progress, which creates demand for U.S. goods and services and expands cooperative relationships between the United States and assisted countries.

Sustainable development leads to a lasting increase in the capacity of a society to improve the quality of life of its people. Humanitarian assistance is a vital part of sustainable development, essential to saving lives during natural or man-made crises and for returning societies to social and economic progress in post-crisis countries.

Sustainable development results from: the implementation of open, market-oriented economic policies and institutions; social policies that increase human capacity and opportunities for individuals to better their lives; open and accessible political institutions and processes that encourage the active engagement of all members of a society; environmental policies and practices that sustain a country's and the world's natural resource base and the collaboration of public and private institutions and groups, especially at the local level. USAID recognizes that each of these conditions is necessary for sustainable development; each contributes to the success of the others, and the lack of any one impedes the success of all the others. USAID also recognizes that these conditions can only be created by the people and governments of developing and transitional countries. In the right settings, however, American resources, including its ideas and values, can be powerful catalysts enabling sustainable development.

USAID expects its activities to encourage stability rather than crisis, convert poverty to prosperity, and open closed economies and societies. It considers effective institutions of democratic governance and vibrant civil society organizations essential foundations of sustainable development and encourages the development of such institutions wherever it works. USAID is committed to full participation by women and disadvantaged groups in all sustainable development activities and to ensuring that sustainable development includes improvements in the lives of children. USAID recognizes the critical role training and access to information and information technology play in achieving its goals for



sustainable development generally and incorporates these activities across all sectors. USAID acknowledges its success depends on working effectively with its partners, including the people and governments of developing and transitional countries; U.S. public, private and voluntary organizations; and other assistance organizations. USAID values this mutual commitment to sustainable development, however, because it ensures its programs will be, on the one hand, customer-focused and, on the other, coordinated with the work of others, thereby enhancing the impacts of its efforts and those of others.

## Where and how USAID works

USAID typically works in countries committed to achieving sustainable development, but which lack the technical skills or resources necessary to implement policies and programs that will accomplish this result. In such countries, USAID's program emphasizes one or more of the Agency's strategic goals depending upon a country's specific needs and the activities of other donors.

USAID also works in countries that have made major commitments to cooperating with the United States in achieving complementary goals, particularly the establishment and maintenance of regional peace. In such countries, USAID's programs typically enhance the country's capacity to continue to collaborate with the United States on goals of mutual interest.

USAID is also substantially involved in assisting countries committed to shedding economically repressive and ruinous totalitarian legacies. In these countries, USAID focuses on building the human and institutional capacities needed to implement major reforms.

Increasingly, USAID is involved with countries emerging from post-conflict situations. Here, USAID's emphasis is on restoring fundamental social, institutional and physical infrastructure in ways that reduce the risk of renewed conflict and return the country to a path of sustainable development.

USAID responds to natural disasters within each of these country contexts. USAID also addresses developmental problems along regional and global lines, including slowing the transmission of infectious diseases, reducing the threat of global climate change, stabilizing world population and enhancing food security and regional trade and investment.

Generally, USAID-supported activities are based on the strategic goals and objectives identified in this plan, although the way in which it operates is affected by the different settings in which the Agency works. In post-conflict situations or humanitarian crises, USAID's ability to achieve humanitarian results is greatly affected by the willingness of contending groups to cooperate in the restoration of normal social, economic and political relationships. In those situations where USAID is supporting major reform efforts, its success depends heavily on sustained public support for change and a continued commitment among leaders to carry out reform. In its more traditional assistance programs, results can be sidetracked by political unrest, changes of government or policy, natural disasters that affect a large proportion of the country's population or infrastructure, or significant shifts in the international economy, which reduce government revenues and its capacity to invest in sustainable development activities.

At the country level, such factors are tracked by USAID field missions. They estimate the effects such factors have on the achievement of individual country programs and modify their programs to offset the impact of these factors. This may mean adopting a different approach to government policy makers, initiating new activities in a new goal area, or terminating assistance in areas where there is no longer a productive partnership. At the Agency level, however, USAID is a highly diverse corporate entity, pursuing six strategic

**USAID'S MISSION:**  
USAID contributes to U.S. national interests through the results it delivers by supporting the people of developing and transitional countries in their efforts to achieve enduring economic and social progress and to participate more fully in resolving the problems of their countries and the world.

goals in more than 100 countries around the world. This diversity serves to offset the adverse program effects that developments in any single country may have on USAID's overall performance and progress toward its strategic goals. In this context, the major external factor affecting USAID's performance is the continued commitment of other donor countries and multilateral agencies to sustainable development, a commitment that USAID promotes through active interactions with its development partners.

USAID pursues its mission through partnerships with the people and governments of assisted countries, U.S. businesses, non-governmental organizations (NGOs), private voluntary organizations (PVOs), academic institutions, other U.S. government agencies and international assistance agencies including international financial institutions, multilateral and bilateral donors and private foundations. In cooperation with its many partners, USAID identifies the needs of a country, assesses the country's commitment to sustainable progress, and develops country-specific plans to address the country's needs or to enhance its contribution to the resolution of regional or global problems. USAID also seeks to strengthen the capacities of host governments and of its U.S. and local PVO and NGO partners to expand their development and humanitarian activities and consults with them on USAID's policies and practices.

USAID's success depends on the quality of its many partnerships. Accordingly, it actively seeks to improve the quality of its partnerships and cooperation among partners.

At the country level, USAID seeks to build partnerships that facilitate local resource mobilization and action, that encourage local participation and advocacy for development and humanitarian efforts, and that foster cooperation among local actors. There are three key components to USAID's local partnering: (1) creating an enabling environment supportive of development and humanitarian actions by both individuals and communities; (2) encouraging investments in human and institutional capacity at the local level; and (3) building strategic partnerships among state, society and market actors through new linkages at the community, national and society-to-society levels. This ensures that host government priorities reflect the needs of their peoples and that USAID programs address the sustainable development priorities of the countries and peoples it assists.

At the international level, USAID's efforts have contributed to building a consensus among bilateral and multilateral donors on the key problems of sustainable development. Much of the coordination at the international level takes place within the framework of the Organization for Economic Cooperation and Development (OECD), but includes specific collaborative activities with the European Union through the "Transatlantic Agenda" and with the Japanese through the "Common Agenda." Such interactions concentrate resources on key problems to the benefit of all participants. Though its strategic approaches and evaluations of development experiences, the United States has contributed significantly to defining the problems upon which international assistance is focused.

USAID has long used the skills of other U.S. government agencies to provide technical assistance to developing and transitional countries. Some of these services are included in the strategic plans of other agencies, e.g., the Department of Energy, which will help an estimated 18 developing countries develop plans to reduce greenhouse gas emissions. In other cases, USAID and another agency may pursue a similar goal, but engage in very different activities. Both USAID and the Overseas Private Investment Corporation (OPIC), for example, have articulated goals related to economic reform and democracy in developing countries. OPIC, however, focuses on how these goals can be achieved through the promotion of U.S. private investment while USAID works on creating enabling legal and regulatory environments within developing countries that encourage private investment, both local and U.S. Finally, USAID's ability to achieve its long-term goals are affected by the actions of other agencies. The Treasury Department, for example, carries primary responsibility for representing U.S. positions in international financial institutions such as the World Bank. USAID provides recommendations to Treasury on what the U.S. positions should be based on what needs to be done to achieve Agency-wide and country-specific goals.

Mechanisms are in place to reduce or minimize duplication at the field level between USAID and the international activities of other U.S. government agencies.

GPRA-mandated strategic plans, however, provide a new opportunity for all agencies to step back and examine the overall approach being taken to address specific U.S. national interests and goals as identified in the International Affairs Strategic Plan. The strategic goals proposed by USAID are integrated fully with the International Affairs Strategic Plan. USAID contributed to the preparation of this plan and looks forward to an expanded and ongoing dialogue with other executive agencies under the direction of the President and Secretary of State regarding improved coordination and collaboration among their international affairs activities.

Among other donors, USAID is generally recognized as a leader in innovative, performance-based development assistance. America's ability to lead sustainable development initiatives, therefore, depends on USAID maintaining its position as a premier bilateral development assistance agency with the capacity to identify significant development problems, generate effective solutions, serve as a catalyst for donor coordination and manage effectively the resources allocated to it for sustainable development. This mandates, in turn, that USAID be a learning organization one that constantly monitors and evaluates the performance of its activities, replicating those that are most effective, dropping those that are less so and using a variety of sources to generate new initiatives. This is a continuous process that USAID carries out in the following ways:

1. As appropriate, usually every four to six years, the Agency's field missions and Washington-based operating units develop or modify strategic plans which identify the specific objectives each unit is to accomplish. These objectives are approved only if they contribute to the goals identified in the Agency's strategic plan.<sup>2</sup>
2. For each approved strategic objective, operating units develop performance monitoring plans that include baseline data and performance targets. Annually, operating units report progress against these targets and request additional resources based in part on the objective's performance. Objectives that are not performing well are either fixed or dropped. Washington allocates resources to the Agency's operating units using performance criteria.
3. Annual performance assessments by the Agency's operating units are reviewed by technical officers in Washington. The results of these reviews are used to inform sector-wide assessments of the effectiveness of various objectives and approaches and are reflected in the Agency's Annual Performance Reports. In addition, formal evaluations of strategic objectives and approaches are conducted at the discretion of operating units, to enhance performance, or by the Agency, to identify best practices across a number of objectives that are performing well. Such information is then used by individual operating units or the Agency to develop new approaches, objectives or goals as appropriate.
4. USAID updates a rolling agenda of central evaluation studies each year to better address senior managers' strategic information needs. Findings and lessons learned are widely disseminated through briefings, electronic systems/networks, formal publications, and the Agency's Annual Performance Reports.<sup>3</sup>

## **USAID's goals, objectives and performance measures**

The following sections of USAID's strategic plan set forth its goals, objectives and performance measures for its major functions and operations. USAID has defined its major functions and operations in terms of sustainable development; i.e., actions that lead to a lasting increase in the capacity of a society to improve the quality of life of its people. This is the fundamental mission of USAID and, although it manages a variety of resources responding to U.S. national interests, it does so with an emphasis on activities that contribute to sustainable development at the community, national, regional or global level.

USAID's goals reflect its authorizing and appropriating legislation, Administration priorities, consultations with the Congress and public, and a growing consensus among donors, based on experience and numerous program evaluations, about what is needed to achieve conditions favorable to sustainable development. The logical connections between each of USAID's goals and the conditions of sustainable development are described in the

following pages in the paragraphs immediately after the goal statement itself. U.S. national interests in the goal's achievement is also described as are the objectives or "intermediate results" through which USAID pursues its goals. USAID's tactics or "approaches," i.e., what it does to achieve its objectives, are presented graphically in Annex 1.

For each of its strategic goals, USAID has identified performance goals and indicators that are ambitious yet realistic. USAID's performance measures are the standards by which it will assess progress and the overall effectiveness of its objectives and tactics. Its performance measures also provide a basis for analyzing progress and adjusting the Agency's strategic framework.

Where it has developed the requisite experience and adequate data exists to do so, USAID has identified specific targets -- explicit levels of results to be achieved within the 10-year time frame of this strategic plan -- to measure performance. This is the case for the Agency's economic growth and agricultural development, population and health, and human capacity development goals. For the other goals, i.e., democracy and governance, environment and humanitarian assistance, development hypotheses are less well developed and the data may be less reliable. In these cases, USAID has chosen to rely upon performance trends, i.e., the desired directional changes it seeks to influence, while working to increase its understanding of the factors affecting results and its ability to assess performance. As the Agency gains experience and information in these sectors, it will establish more rigorous performance targets that inform us not only of trends, but of results across the Agency's programs.

The context, significance and importance of the Agency's performance goals are discussed in Annex 2. This annex also describes the data sources for each Agency performance indicator. USAID's performance "targets" are stated in annual terms, e.g., average annual growth rates in per capita income above 1 percent, to facilitate the Agency's annual performance planning and reporting. USAID's performance "trends" are also stated in ways that facilitate annual reporting; however, the magnitude of change expected for each trend can only be projected on a short-term basis. Therefore, USAID will establish expected trend changes in its annual performance plans.

Where possible, USAID's performance goals replicate those endorsed by the United States as a member of the OECD. This reflects USAID's commitment to working collaboratively with its development partners and its belief that, while these goals will not be achieved independently by USAID alone, through its collaborative relationships with host governments, other donors, and a broad array of U.S. and local non-governmental actors, USAID will be able to influence results significantly.

### **USAID GOAL: Broad-based economic growth and agricultural development encouraged**

Broad-based, equitable economic growth is the most effective means of bringing poor, disadvantaged and marginalized groups into the mainstream of an expanding economy. The keys to broad-based growth and reduced poverty are expanded human capacity through education and training, a policy environment that promotes efficiency and economic opportunity for all members of society, soundly organized and managed institutions and good governance. The resulting widespread increases in income, employment and output lead to reduced poverty, increased food security and higher standards of living including better health and education. For transitional countries, broad-based economic growth offers the best chance to enhance political stability and transform their societies along an irreversible reform pathway.

The majority of people in the poorest countries derive their livelihoods from agriculture. Therefore, in most of the least developed countries, the transformation of agriculture and food systems is an essential aspect of broad-based economic growth. The shift from subsistence agriculture to producing for off-farm markets and consumers contributes to a more prosperous rural environment, additional opportunities for employment and economic progress throughout the economy and reduced food insecurity.

Women play a central role in broad-based economic growth and agricultural development. In addition to their direct contribution to agricultural production and income generation, women contribute to economic growth indirectly through their household maintenance and child rearing roles.

### **U.S. NATIONAL INTEREST: Economic Prosperity**

Americans benefit as the economies of transitional and developing nations become more open and market-oriented and expand. This also helps reduce widespread and extreme poverty and lack of economic opportunity, which contribute to political instability and exacerbate global and transnational problems, such as rapid population growth, the spread of infectious and communicable diseases, drug trafficking, and accelerated environmental degradation. USAID coordinates its economic growth and agricultural development programs with the Departments of Agriculture, Justice, State and Treasury.

### **USAID OBJECTIVES:**

- Critical private markets expanded and strengthened.
- More rapid and enhanced agricultural development and food security encouraged.
- Access to economic opportunity for the rural and urban poor expanded and made more equitable.

### **PERFORMANCE GOALS:**

- Average annual growth rates in real per capita income above 1 percent achieved.<sup>±</sup>
- Average annual growth in agriculture at least as high as population growth achieved in low income countries.
- Proportion of the population in poverty reduced by 25 percent.
- Openness and greater reliance on private markets increased.
- Reliance on concessional foreign aid decreased in advanced countries.

### **INDICATORS:**

- GNP per capita average annual growth rate (in constant prices).
- Difference between average annual growth rate of agriculture and average annual growth rate of population.
- Percent of population below poverty line.
- Trade of goods and services average annual growth rate.
- Foreign direct investment average annual growth rate.
- Economic Freedom Index.
- Aid as percent of GNP.

### **USAID GOAL: Democracy and good governance strengthened**

Broad-based participation and democratic processes are integral elements of sustainable development: They encourage individuals and societies to take responsibility for their own progress, ensure the protection of human rights and foster informed civic participation. Sustainable democracies are built on the guarantee of human rights for all people, women as well as men. To achieve the broad goals of democracy, USAID supports programs that strengthen democratic practices and institutions and ensure the full participation of women.

Democracy requires transparent and accountable government, fair and effective judicial systems, open and transparent access to and use of information, and citizen participation in the policy-making process. These attributes of democracy ensure that government policy reflects popular will, which contributes to fairer uses of public resources -- including access to quality education, improved health care, and the management of natural resources -- and the needs and concerns of local communities. Training at all levels is usually required to achieve or revitalize these attributes.

The democratic process also builds trust and legitimacy for government, which help prevent political destabilization and, in extreme cases, failed states. The consequences of

such political failures often include massive flights of people from their homelands, costly refugee flows, destruction of the environment, and the spread of disease and epidemics of catastrophic proportion.

### **U.S. NATIONAL INTEREST: Democracy and Human Rights**

A world of democratic nations provides a more stable and secure global arena in which to advance the fundamental values and national interests of the United States. Democracy, transparent and accountable government, and respect for human rights, including the rights of women and minorities, reflect the fundamental values of the American people. Advancing these values and U.S. national interests in maintaining conditions necessary for a more stable, peaceful and prosperous world require support for democratic transitions and amelioration of human rights disasters. USAID coordinates its democracy, good governance, human rights and justice programs with the Departments of Defense, Justice, State and Treasury.

### **USAID OBJECTIVES:**

- Rule of law and respect for human rights of women as well as men strengthened.
- Credible and competitive political processes encouraged.
- The development of politically active civil society promoted.
- More transparent and accountable government institutions encouraged.

### **PERFORMANCE GOALS:**

- Level of freedom and participation improved.
- Civil liberties and/or political rights improved.

### **INDICATORS:**

- Number of countries classified by Freedom House as free/partly free/not free.
- Freedom House scores for political rights.
- Freedom House score for civil liberties.

### **USAID GOAL: Human capacity built through education and training**

*As Approved by the Administrator, September 16, 1998*

The development of human capacity enables people to participate effectively in matters affecting their lives. Increasing human capacity through education, training and improved access to information is essential for sustained social and economic progress.

Basic education -- which provides literacy and numeracy, along with problem-solving and other core skills -- is especially critical to development. Investments in expanded and improved basic education have been linked to faster and more equitable economic growth, reduction of poverty, and strengthened democracy and civil liberties. In addition, expanded and improved basic education of girls and women contributes to improved family health, lower fertility, and the enhanced status of women. USAID also works to increase access and quality for underserved populations including residents of rural areas, the urban poor, ethnic and linguistic minorities, and people with disabilities. Research demonstrates that where primary school completion rates are low, investments to broaden access and improve education quality at the primary level yield especially high returns.

Colleges and universities produce the educated leaders and skilled professionals essential to the development of politically and economically sustainable societies, from the teachers who provide quality basic education to the decision makers and practitioners essential to sustained growth and progress in all sectors. Institutions of higher education in developing and transitional countries hold the potential to contribute more fully to the resolution of national and local problems through teaching, research, and community. As part of this effort, USAID supports the formation of vibrant partnerships between host-country higher education and business, government, and the U.S. higher education community. In addition, USAID encourages host countries to reduce the dependence of higher education

on public funding, so as to free up scarce public resources to ensure adequate support for basic education.

U.S., in-country or third-country training of host country nationals under each of USAID's strategic goal areas provides the conceptual, managerial and applied skills needed to advance its objectives in a given country. It expands the capacity of assisted countries to manage their own social and economic progress, by providing the skills and knowledge needed to identify and implement effective policies; to develop and manage results-oriented institutions; and to develop, adapt, and adopt progress-enhancing technologies. Finally, USAID provides international leadership by developing training policy and building local institutional capacity for training programs that promote the sustainability of Agency assistance efforts over the long term.

Broad and equitable access to information and to appropriate information technologies is essential to achieving success in all areas of human capacity development. The technologies range from radio and other traditional means of communication to a wide array of newer technologies for distance learning, such as internet-based and broadcast technologies for learning both in and outside the classroom. USAID contributes to the development of appropriate information technology applications in support of education and training. Furthermore, information and information technology development approaches are relevant to all of USAID's sustainable development goals.

### **U.S. NATIONAL INTEREST: Economic Prosperity and Global Issues**

Americans benefit as the people of developing and transitional countries become better able to address their nations' problems through the application of their own abilities, skills and resources. Expanding these skills initiates a process by which individuals, families and communities become better able to manage their own development. Education is essential to preventing and mitigating crises, achieving post-crisis transition to sustainable development, reducing fertility rates, ensuring good health and child development, and fuller participation in the global economy. USAID coordinates its human capacity development programs with the Departments of State and Treasury.

### **USAID OBJECTIVES:**

- Access to quality basic education for under-served populations, especially for girls and women, expanded.
- The contribution of host-country institutions of higher education to sustainable development increased.

### **PERFORMANCE GOALS:**

- National primary enrollment ratio increased to attain full primary enrollment by 2015.
- The difference between girls' and boys' primary enrollment ratio virtually eliminated.
- Primary school completion rates increased for both girls and boys.
- Primary school repetition rates decreased for both girls and boys.
- Number of host country higher education institutions with teaching, research, and community outreach and service programs that respond to national or local service, educational, or economic development needs increased.
- Dependence of higher education on public funding reduced.
- Percentage of students in higher education from traditionally under-enrolled groups (women, the poor, etc) increased.

### **INDICATORS:**

- Gross primary school access rate, by sex (i.e. the gross enrollment rate in first grade).
- Net primary school enrollment ratio, by sex.
- Gross primary enrollment ratio, by sex.
- Primary school gender equity ratio (i.e., ratio of girls' gross enrollment ratio to boys')

- gross enrollment ratio.)
- Percentage of cohort enrolled in grade five, by sex.
  - Primary school repetition rates, by sex.
  - National primary school achievement test scores for reading, mathematics, and science, by sex.
  - [Indicator(s) for first higher education performance goal under development.]
  - Share of higher education budget derived from user charges and other non-public sources.
  - Share of public education budget devoted to higher education.
  - Share of women and/or other under-represented groups in total higher education enrollment and/or at particular institutions of higher education.

#### **PROGRAM APPROACHES:**

- Policies that promote access to quality basic education formulated, adopted, and implemented.
- Institutional capacity to plan for, provide, and assess basic education services increased.
- Educational settings and technologies to promote quality basic education expanded and improved.
- Community capacity to participate in educational decision-making and to support quality basic education increased.
- Applied research and pilot studies on innovative educational practices and policies that improve learning outcomes conducted.
- Policies that foster the development role and cost-effectiveness of host-country higher education institutions adopted.
- Application of science, scholarship and technology to development problems through collaborative higher education partnerships increased.
- Information and communication technologies for higher education expanded and improved
- Funding of institutions of higher education diversified
- Targeting of higher education subsidies toward the poor strengthened.

#### **USAID GOAL: World population stabilized and human health protected**

Stabilization of rapid population growth and improved health, nutrition and education (particularly for mothers and children) are essential to sustainable development. They are also fundamentally interdependent. When people are nourished and free from the ravages of infectious diseases, they can contribute more fully to their own social and economic progress and to that of their nations. Nutrition education and investments to correct micronutrient deficiencies along with investments in basic health services will significantly improve the health of undernourished people. When people can control the size of their families, resources are made available at the household, national and global levels for enduring improvements in quality of life. Improved health status of women and girls plays a critical role in child survival, family welfare, economic productivity and population stabilization.

Stabilizing population and improving health are two aspects of a single common goal that is essential for sustainable development, rather than two separate goals. As such, USAID's efforts within this goal area focus on interventions that contribute directly and in an integrated fashion to achieving both aspects through improvements in maternal and child health and reproductive health, rather than on the potentially broader array of activities that might contribute to one or the other but not both. Achieving this common goal depends on strengthening voluntary family planning and other reproductive health information and services, infant and child health services, safe pregnancy care, nutritional security for women and children, prevention of HIV transmission, mitigation of the impact of the HIV/AIDS pandemic, improved management of other sexually transmitted infections, and capacity to combat infectious diseases.

#### **U.S. NATIONAL INTEREST: Population and Health**



Early stabilization of the world's population serves U.S. national interests by contributing to global economic growth, a sustainable environment and regional security. Reduced population pressures will also lower the risk of humanitarian crises in countries where population growth rates are highest. Protecting human health and nutrition in developing and transitional countries also directly affects public health in the United States. Unhealthy conditions elsewhere in the world increase the incidence of disease and threat of epidemics which could directly affect U.S. citizens, retard economic development, and increase human suffering. Thus, the U.S. has a direct interest in both safeguarding the health of Americans and helping to reduce the negative consequences of disease worldwide. USAID coordinates its population, health and nutrition programs with the Departments of Agriculture, Health and Human Services, State and Treasury.

#### **USAID OBJECTIVES:**

- Unintended and mistimed pregnancies reduced.
- Infant and child health and nutrition improved and infant and child mortality reduced.
- Deaths, nutrition insecurity, and adverse health outcomes to women as a result of pregnancy and child birth reduced.
- HIV transmission and the impact of the HIV/AIDS pandemic in developing countries reduced.
- The threat of infectious diseases of major public health importance reduced.

#### **PERFORMANCE GOALS:**

- Fertility rate reduced by 20 percent.
- Mortality rates for infants and children under the age of five reduced by 25 percent.
- Maternal mortality ratio reduced by 10 percent.
- Rate of increase of new HIV infections slowed.
- Proportion of underweight children under 5 in developing countries reduced.

#### **INDICATORS:**

- Total fertility rate.
- Under 5 mortality rate.
- Prevalence of underweight children under 5.
- Early Neonatal mortality rate (proxy for maternal mortality rate).
- HIV seroprevalence rate in 15- to 49-year-olds.

#### **USAID GOAL: The world's environment protected for long-term sustainability**

Environmental degradation threatens human health, undermines long-term economic growth and impairs critical ecological systems upon which sustainable development depends. Careful management of natural resources is essential if investments in development are to yield sustainable benefits. Unpolluted and undegraded natural resources are required for long-term economic growth and food security. Clean air and water are prerequisites to people's health. Addressing environmental issues builds public/private sector partnerships; increases public awareness through education and training; crosses gender, cultural and class lines; stretches across the political spectrum; and strengthens civil societies.

#### **U.S. NATIONAL INTEREST: Environment**

Not only is the United States affected directly by global climate change, the loss of biodiversity, the spread of pollutants, use of toxic chemicals and the decline of fish stocks in the oceans, but struggles over land, water and other resources can lead to instability and conflict, which may become serious and direct threats to U.S. interests, as well as the U.S. itself. United States leadership is essential to resolving global environmental problems and promoting environmentally sustainable economic growth in developing countries. USAID

coordinates its environmental programs with the Departments of Energy, State and Treasury and the Environmental Protection Agency.

#### **USAID OBJECTIVES:**

- The threat of global climate change reduced.
- Biological diversity conserved.
- Sustainable urbanization including pollution management promoted.
- Use of environmentally sound energy services increased.
- Sustainable management of natural resources increased.

#### **PERFORMANCE GOALS:**

- National environmental management strategies prepared.
- Conservation of biologically significant habitat improved.
- Rate of growth of net emissions of greenhouse gases slowed.
- Urban population's access to adequate environmental services increased.
- Energy conserved through increased efficiency and reliance on renewable sources.
- Loss of forest area slowed.

#### **INDICATORS:**

- National environmental management strategies.
- Nationally protected areas (in hectares and as percent of total land area).
- Carbon dioxide emissions, average annual rate of growth.
- Percent of urban population with access to safe drinking water.
- Percent of urban population with access to sanitation services.
- GDP per unit of energy use.
- Percent of energy production from renewable sources
- Annual change in total forest area (percent change and in hectares).
- Annual change in natural forest area (percent change and in hectares).
- Annual change in plantation forest area (percent change and in hectares).

#### **USAID GOAL: Lives saved, suffering associated with natural or man-made disasters reduced, and conditions necessary for political and/or economic development re-established**

Crises, whether natural or man-made, destroy the resources individuals, families or nations might otherwise commit to social and economic progress. Crises usually have their greatest impact on the poor, women and children. Humanitarian assistance can help replace some of these resources and enable victims to resume their normal lives more quickly. The provision of humanitarian and transitional assistance is equally important as a means to prevent crisis, to safeguard long-term economic and social development, and to support the creation of free markets and democratic institutions for countries in transition.

#### **U.S. NATIONAL INTEREST: Humanitarian Assistance**

Small U.S. investments in crisis prevention and mitigation may reduce the need for more substantial investments in crisis resolution where U.S. interests are directly at risk. However, even where U.S. interests may not be directly affected, the United States has a long-standing tradition of providing humanitarian assistance in response to the urgent needs of the victims of natural and man-made disasters and complex emergencies. USAID coordinates its humanitarian assistance programs with the Departments of Agriculture, Defense and State.

#### **USAID OBJECTIVES:**

- The potential impact of crises reduced.
- Urgent needs in times of crisis met.
- Personal security and basic institutions to meet critical intermediate needs and protect human rights re-established.

**PERFORMANCE GOALS:**

- Crude mortality rate for refugee populations returned to normal range within six months of onset of emergency situation.
- Nutritional status of children 5 and under populations made vulnerable by emergencies maintained or improved.
- Conditions for social and economic development in post-conflict situations improved.
- Freedom of movement, expression and assembly and economic freedoms in post-conflict situations increased.

**INDICATORS:**

- Crude mortality rate in emergency situations.
- Proportion of children under 59 months in emergency situations who are wasted.
- Number of people displaced by open conflict.
- Changes in the number and classification of designated post-conflict countries classified by Freedom House as free/partly free/not free.
- Economic Freedom Composite Index.

**USAID GOAL: USAID remains a premier bilateral development agency**

To achieve maximum impact in assisted countries and returns to the United States, America's contributions to sustainable development programs must be efficiently and effectively managed. Beginning in 1993, USAID has made concerted efforts to improve its efficiency and effectiveness by: (1) establishing a coherent strategic framework in its Strategies for Sustainable Development; (2) becoming a pilot reform agency under the Government Performance and Results Act (GPRA); (3) simplifying internal operations; (4) encouraging operating units to identify better ways of doing business and to adopt "best practices," including effective partnering; and (5) emphasizing a customer focus and coordination with other donors. USAID has been and will continue to be a learning organization committed to improving its performance. Accordingly, USAID will pursue the following management objectives.

**U.S. NATIONAL INTEREST: Maintenance of fundamental capabilities to carry out international affairs missions in sustainable development**

Promoting sustainable development is a necessary and critical component of America's role as a world leader. It helps to reduce the threat of crisis, and to create the conditions for economic growth, the expansion of democracy and social justice, and a protected environment. Under these conditions, citizens in developing and transitional countries can focus on their own social and economic progress, which creates demand for U.S. goods and services and expands cooperative relationships between the United States and those countries it assists.

**USAID OBJECTIVES:**

- Responsive assistance mechanisms developed.
- Program effectiveness improved.
- U.S. commitment to sustainable development assured.
- Technical and managerial capacities of USAID expanded.

**PERFORMANCE GOALS:**

- Time to deploy effective development and disaster relief resources overseas reduced.
- Level of USAID-managed development assistance channeled through strengthened U.S.-based and local non-governmental organizations increased.
- Contacts and cooperation between USAID's policy and program functions and those of other U.S. government foreign affairs agencies expanded.
- The OECD agenda of agreed development priorities expanded.

- Capacity to report results and allocate resources on the basis of performance improved.

#### **INDICATORS:**

- Percent of critical positions vacant.
- Percent of USAID-managed development assistance overseen by U.S. and local private voluntary organizations.
- Statements at the objective level across the strategic plans of U.S. executive agencies concerned with sustainable development are consistent.
- Number of jointly defined OECD development priorities.
- Financial and program results information readily available.
- Time to procure development services reduced.

#### **Resource assumptions**

USAID's performance goals were selected, in part, on the basis of its assumptions about available program resources, support resources and workforce, and information resources. If these assumptions prove incorrect, then USAID would have to modify its projected performance goals.

**Program Resources.** Resource levels for most USAID program accounts are projected to remain at fixed levels in constant dollar terms over the course of the planning period. The exceptions are Economic Support Funds earmarked for Israel and Egypt, projected to be straightlined, and transitional programs funded by the Support for Eastern European Democracy and Freedom Support Act accounts, projected to be phased down as transitional objectives are reached in specific countries.

Administration budget requests are projected to be sustained by Congressional appropriations action, and resources made available for each strategic goal are projected to be congruent with current Administration priorities -- as reflected in the FY 1998 USAID budget request -- in constant dollar terms throughout the planning period.

The Strategic Plan also assumes that current levels of development assistance provided by other donor nations will remain roughly at current levels throughout the planning period. USAID would have to re-examine its own assistance plans if such assumptions prove unfounded for any reason.

**Support Resources.** In contrast to program resources, the Strategic Plan assumes that resources for USAID support costs, including the cost of maintaining the Agency's direct-hire and non-direct-hire workforce, will remain fixed, in current dollar terms, over the planning period. This means that the purchasing power of the USAID Operating Expenses account, the principal source of such support resources, effectively will shrink annually at the rate of inflation.

To accommodate such a reduction in the effective level of support resources, USAID workforce levels, which account for the largest portion of support costs, would have to be reduced at roughly the annual inflation rate, unless a case can be made for marginally increased operating expenses to accommodate program management requirements. If a continued contraction in Agency staff is required, it will place increasing limits on USAID's ability to provide adequate oversight for even a program portfolio projected to remain static in constant dollar terms.

Moreover, while this level of workforce reduction may be largely achievable through normal annual rates of attrition, the effects of such staff losses -- e.g., skewing the Agency's available skills mix, changing the balance between field and headquarters staffing, losing institutional memory from retirement of senior staff, and limiting the ability to recharge the Agency's workforce with the infusion of new hires -- will require active workforce planning. The Strategic Plan assumes that a workforce planning process, recently initiated, will be completed successfully, that its results will permit the Agency to manage its programs responsibly with available staff and, possibly, that its findings will

help make the convincing case for increased support resources to fund adequate program oversight.

**Information Resources.** To effectively manage its information resources in support of the Strategic Plan, the Agency is updating for the sixth time its five-year Strategic Information Resources Management (IRM) Plan. USAID has made considerable progress against the previous IRM plan, having successfully completed three of its six goals. The Agency is well into the implementation stage of the Information Systems Plan, with more than half of the planned New Management System modules operational in Washington and the architecture in place to support them worldwide.

This updated Strategic IRM Plan focuses on completing implementation of the New Management System to support the re-engineered Agency and is expected to set the direction for the IRM program to meet the Agency's information needs through 2002. It includes four goals:

- Operations to assure the architecture to support Agency automated business processes is available and provides a reliable, secure and robust environment to support the Agency's business as well as the productivity of Agency staff.
- Information Management to improve USAID's ability to manage, access and use information to achieve Agency strategic objectives.
- Quality to improve the value (efficiency and effectiveness) of information-related products and services.
- Project Support to ensure that information technology and information management components of program activities contribute effectively to meeting USAID goals and objectives.

## Conclusion

The purpose of the diplomacy of the United States is to create a more secure, prosperous and democratic world for the benefit of the American people and those whom they choose to assist. Sustainable development, that is, lasting improvements in the lives of the people in those countries in which USAID works, contributes to this end and remains a necessary and critical component of America's role as a world leader. USAID leads American efforts to promote sustainable development around the world. Through this Strategic Plan, USAID commits itself, with the support of the American people and in coordination with its partners, to achieving significant results in developing and transitional countries over the next 10 years and establishes a base for measuring its performance.

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### Footnotes:

<sup>1</sup> U.S. national interests are defined in the Strategic Plan for International Affairs Agencies and are incorporated into USAID's strategic plan.

<sup>2</sup> Immediately prior to this strategic plan, program parameters for the Agency's operating units were established by the Agency's Strategies for Sustainable Development (USAID, Washington: March 1994).

<sup>3</sup> USAID prepares annual evaluation schedules which will be discussed in its Annual Performance Plans.

<sup>4</sup> Statistical analyses suggest that achieving this goal over the course of ten years can be expected to reduce the incidence of poverty by up to 29 percent. For more detail, see Annex 2.

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[Annex #1](#)  
*in .pdf format*

[Annex #2](#)

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*Note: This document may not always reflect the actual appropriations determined by Congress. Final budget allocations for USAID's programs are not determined until after passage of an appropriations bill and preparation of the Operating Year Budget (OYB).*

## INDIA

	FY 1997 Actual	FY 1998 Estimate	FY 1999 Request
Development Assistance.....	\$38,180,000	\$37,381,000	\$42,000,000
Child Survival & Diseases.....	11,170,000	13,969,000	14,500,000
P.L. 480 Title II.....	93,712,000	91,874,000	91,752,000

### Introduction

USAID's program in India responds to three key U.S. foreign policy interests: global problems of environmental degradation, population growth and emerging diseases; expanded trade and investment; and humanitarian concerns about alleviating poverty and reducing malnutrition. With nearly a billion people, India is the world's largest democracy. Also, a country vital to successfully addressing the global issues of climate change, population growth and emerging diseases. It is the sixth largest and second fastest growing producer of greenhouse gases. Its growing population, concentrated increasingly in urban areas, contributes to the spread of communicable diseases--HIV/AIDS, malaria, TB and polio. India has the largest concentration of poor in the world, more than 300 million. Despite food production gains, half of its children are malnourished. India's effectiveness in dealing with these concerns will depend in large part on its ability to maintain a strong economic growth rate.

The United States is India's largest trade and investment partner. In 1996-97, trade between the two countries was nearly \$10 billion, direct investment \$560 million and portfolio investment \$1.2 billion. India's external debt situation has improved markedly in recent years falling from a peak of \$99 billion in 1995 to \$90.85 billion in 1997. Obtaining and maintaining a growth rate of 7-8 percent, India's target, will not only enable them to reduce poverty and deal more effectively with social and environmental concerns, it also expands trade and investment opportunities. USAID's program supports economic reform, promotes pollution prevention and environmental protection, enhances food security, encourages women's initiatives, and strengthens social services in health and family planning.

### Development Challenge

To achieve a sustained economic growth rate of 7-8 percent, the Government of India (GOI) needs to make a renewed commitment to the reform process begun in 1991. It must strengthen capital markets and financial institutions, and establish a policy environment capable of marshalling \$300 billion over the next ten years for investment in infrastructure. USAID technical assistance strengthens regulation, supervision and enforcement in the

capital market and encourages self-regulation by key players. With USAID assistance, the capital market's overall efficiency, transparency and accountability improved this year with the start-up of the National Depository and paperless trading. We also work with municipalities and local governments to develop urban infrastructure projects--water and sewerage--that can be taken to the capital market. In 1998, Ahmedabad offered the first municipal bond in south Asia. Now 12 other cities are interested in similar programs. USAID supports non-governmental organizations (NGOs) working to increase access to bank credit for their members and is preparing a program to increase the ability of the formal banking system to expand loans to small borrowers.

India's ability to achieve sustainable development and reduce poverty depends substantially on its ability to stabilize population growth. Its population will reach one billion by the year 2000, and not long after India will become the world's most populous country. USAID's work in population focuses on improving the quality of and access to family planning services in Uttar Pradesh, India's most populous state with 140 million people. In the pilot areas, contraceptive usage increased from 16 to 36 percent in three years. Improved family planning will also help address India's high rates of infant and child mortality--attributable in large part to poverty-related malnutrition. To respond to malnutrition, USAID is working with the Cooperative for Assistance and Relief Everywhere (CARE) and Catholic

Relief Services (CRS) to feed and deliver health services to seven million poor persons daily.

Of great concern is India's rising incidence of HIV/AIDS. Cited as one of the global focal points for HIV/AIDS, India now has an estimated 3-5 million people who are HIV positive, more than any other country in the world. USAID helped inform 90 percent of the high-risk population in Tamil Nadu on how to prevent HIV/AIDS transmission and plans to expand its program into Maharashtra, the source of 50 percent of India's reported HIV cases.

India's economic growth and its efforts to control population have important implications for the environment. The growing demand for power, fueled largely by high ash coal, makes India a key player in dealing with global climate change. USAID is working with India on practical approaches to cutting greenhouse gas emissions. A USAID-funded pilot activity has helped the National Thermal Power Corporation cut carbon dioxide emissions by 18,000 tons annually and has the potential to eliminate three million tons system-wide. Environmental pollution in India costs the country billions of dollars each year. Three of India's large cities rank among the ten worst polluted cities in the world. Pollution in cities is causing premature deaths, chronic respiratory disease and the emergence of communicable diseases due to crowding and lack of access to clean water and sanitation. USAID is assisting cities to reduce pollution by improved urban planning and management, including the development of urban environmental infrastructure projects. USAID technical and capital assistance through the Urban Environment Credit Program (UE) helped create a \$200 million build-operate-transfer water and sewerage project in the city of Tirupur.

The low status of Indian women is a pervasive problem hurting economic development and poverty reduction. India's 1991 census shows a sex ratio of 927 females per 1,000 males and a female literacy rate of 39 percent versus 64 percent for males. Data from 1994 shows 43 percent of eligible girls enrolled in primary school compared with 62 percent of boys. A pilot activity is underway to increase enrollment and retention of girls in primary schools. Also, USAID's programs seek to increase women's decision-making power and access to resources by strengthening local private voluntary organizations to reduce violence against women and improve access of low income women to finance.

A key issue for USAID in India is the allocation of limited resources in an extremely large

and diverse country with a staggering array of economic and social problems. The choices present a tremendous opportunity to influence India's development problems and to affect global issues. Repeatedly, USAID has demonstrated that limited but well-targeted assistance can have a significant impact on economic reform, health and family planning, food security and environment, through demonstration of new approaches and introduction of new technologies and ideas. USAID assistance can act as a catalyst, demonstrating the feasibility of activities and approaches that can then be scaled up, leveraging investment from the private sector or from other donors.

### **Other Donors**

Some seven multilateral and 13 bilateral donors provide assistance to India. The United States is the sixth largest donor after the World Bank, the Asian Development Bank, the European Union, Japan and Germany. We collaborate closely with other donors on economic reform, population and health, and environment. Regulatory reform within the capital market, power sector reform and restructuring, increased efficiency in industry, better delivery of family planning services, urban planning and infrastructure development are areas where USAID introduced projects attracted support to scale-up approaches.

### **FY 1999 Program**

The FY 1999 program will promote economic liberalization; stabilize population growth and improve health; cut pollution in power generation, manufacturing and cities; reduce transmission of HIV/AIDS; and meet humanitarian needs of India's poorest populations.

## **ACTIVITY DATA SHEET**

**PROGRAM:** INDIA

**TITLE AND NUMBER:** Increased Mobilization of Capital through Financial Sector Reforms, 386-SO01

**STATUS:** Continuing

**PROPOSED OBLIGATION AND FUNDING SOURCE:** FY 1999: \$7,700,000 DA

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

Purpose: To increase mobilization of capital through financial sector reforms.

USAID Role and Achievements to Date: USAID's economic growth strategy targets activities that have broad impact through policy reform or demonstrate ideas and approaches that can have widespread impact through replication. For example, USAID helped establish the first securities depository, the National Securities Depository Limited, a critical step in improving the efficiency, transparency and accountability required to attract increased investment from the global capital market. USAID assistance has helped the stock exchanges introduce "screen-based" trading, reducing settlement times from 21 to seven days and increasing security in trading. The changes and reforms influenced by USAID technical assistance have reduced transaction costs, improved disclosure standards, and heightened market oversight and enforcement. USAID's support also helped establish a methodology for credit-rating of municipal corporations--12 cities are now seeking to be rated--and develop the first municipal bond in south Asia. The result is an opportunity for cities to finance on a commercial basis badly needed urban environmental infrastructure, particularly water and sewerage facilities for their dramatically overpopulated and undeserved cities.



**Description:** USAID's program offers technical assistance to improve securities market policies, regulations, enforcement and oversight while modernizing the market infrastructure. USAID is working with the Securities and Exchange Board of India (SEBI) to raise the transparency and regulatory efficiency of India's equity and bond markets to international standards. USAID assistance also introduces new technologies and best practices required to boost investor confidence in the integrity and fairness of the market and attract greater participation by both domestic and international investors. Last year these markets raised more than \$7 billion, including significant sums (\$1.2 billion) from U.S. portfolio investors.

The USAID program also works with municipal and local governments on the development of commercially viable, self-sustaining debt market and innovative private-public financing arrangements for basic infrastructure such as water supply, sewerage and solid waste disposal systems critical to environmental health in cities. The program provides \$125 million in loan guarantees (Urban Environmental Credit Program funds), as well as technical assistance and training. Its first activity--an initial \$85 million portion of a \$200 million water and municipal sewerage system in Tamil Nadu--is approaching a loan closing on the AID-guaranteed credit and will start implementation as a build-operate-transfer (BOT) project in 1998. In the second such activity, USAID's support was instrumental in obtaining a credit rating (the first for a municipality in India) for the Ahmedabad Municipal Corporation (AMC) which was used subsequently to access capital markets by issuing bonds valued at about \$25 million. USAID assisted AMC in structuring the bond and in developing and packaging the infrastructure for which the bond proceeds will be used. The third activity, a water supply and wastewater system initiative, has been developed with USAID assistance by the Pune Municipal Corporation (PMC) in the state of Maharashtra. The PMC has received an investment-grade rating from India's premier credit rating agency and is in the process of finalizing bid documents with assistance from USAID.

USAID's new Community Infrastructure Financing initiative is developing improved linkages between the "community-based financial institutions" that serve lower-income families and formal finance institutions to facilitate the incorporation of slums and informal settlements into city-wide infrastructure

activities. Linking currently unserved communities and families to the city-wide systems mobilizes additional resources, contributes to the financial viability of the activities themselves, and delivers badly-needed basic services to a rapidly-growing sector of families in India's cities and towns. In addition, USAID also plans to assist India's extensive network of Regional Rural Banks (RRBs) with 37 million accounts to develop their capacity to extend access to microfinance to millions of rural households on a self sustaining basis.

**Host Country and Other Donors:** The Asian Development Bank (ADB) has provided a \$250 million program loan to support reforms in India's capital market. This and other multilateral bank loans directly support USAID efforts. USAID assistance to Infrastructure Leasing and Financial Services (ILFS) has leveraged the sanctioning of a line of credit of \$200 million by the World Bank to ILFS for investment in infrastructure. The host country contributes well above the total amount of assistance provided by USAID.

**Beneficiaries:** Beneficiaries include new employees of start-up and expanding companies which create jobs as a result of increased availability of debt and equity capital; Indian and foreign institutional investors (including U.S. investors) who benefit from access to an efficient and transparent capital market; and low-income urban dwellers, including many women, who benefit from improvements in urban sewage and water supply.

Principal Contractors, Grantees, or Agencies: USAID implements this strategic objective through two U.S. contractors, Price Waterhouse and Community Consulting International. Principal Indian counterpart organizations include the Securities and Exchange Board of India, the National Institute of Urban Affairs, Infrastructure Leasing and Finance Services, Ltd., and the Housing and Urban Development Corporation. USAID also works closely with brokers' associations, national and regional stock exchanges and local governmental and nongovernmental organizations.

Major Results Indicators:

	Baseline	Target
Increased amount of new capital (equity and debt) raised through the securities markets (Rs. billion)	244 (1993/94) <sup>1</sup>	250 (1998/99)
Increased foreign indirect institutional (portfolio) investment (\$ billion)	1.63 (1993/94) <sup>1</sup>	4 (1998/99)
Increased amount of private capital used to finance commercially-viable urban environmental infrastructure (Rs. billion)	0 (1993/94) <sup>2</sup>	3.75 (1998/99)

<sup>1</sup> Source: Securities & Exchange Board of India discussion paper

<sup>2</sup> Source: Regional Housing & Urban Development Office  
National Institute of Urban Affairs  
Infrastructure Leasing and Financial Services  
Housing & Urban Development Corporation

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### ACTIVITY DATA SHEET

**PROGRAM: INDIA**

**TITLE AND NUMBER: Reduced Fertility and Improved Reproductive Health in North India, 386-SO02**

**STATUS:** Continuing

**PROPOSED OBLIGATION AND FUNDING SOURCE:** FY 1999: \$20,000,000 DA and \$3,400,000 CSD

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

Purpose: To reduce the current high level of fertility and improve women's reproductive health by increasing quality of, access to, and demand for a broad range of reproductive health and family planning services and to address related fertility parameters, including the status of women in north India, with an emphasis on India's most populous state of Uttar Pradesh.

USAID Role and Achievements to Date: USAID is playing a major role in introducing new service approaches and technologies to improve the quality of reproductive health services, increase access and stimulate demand. In 1993, USAID's program successfully established and staffed an autonomous agency in the state of Uttar Pradesh to implement USAID's largest reproductive health program world-wide, the Innovations in Family Planning Services (IFPS) activity. This autonomous agency funds and oversees improvements in quality and access to services through the Government and a range of private sector groups. To date in Uttar Pradesh, 120 grants to 100 private organizations and 60 grants to government organizations are being programmed, with an emphasis on broadening of services in 28 priority districts to serve 72 million people.

Description: USAID's strategic focus supports broadened access to quality family planning and reproductive health services and improvements in the status of women through engagement and funding of the public and non-government sector, i.e., private voluntary organizations (PVOs), cooperatives, employers groups and private practitioners in the provision of community-based family planning and reproductive health services. A critical element of the strategy is use of commercial networks to promote, market and sell contraceptive products, introduce new technologies, improve product quality and stimulate policy reforms supporting the commercial sector. The IFPS activity, working in the state of Uttar Pradesh, aims to support a more comprehensive reproductive health program for couples to space and plan their families and improve care during pregnancy and delivery outcomes to protect the mother and the new born.

Complementary to the IFPS activity is the Program for the Advancement of Commercial Technology/Child and Reproductive Health activity (PACT/CRH) that stimulates private sector participation and commercial partnerships for the production, distribution and marketing of quality reproductive health products and services. PACT/CRH, which contributes to USAID's work on child survival and HIV/AIDS as well as to IFPS, has served as the major intervention to stimulate commercial participation in provision of reproductive health products and services. While this is an all-India activity given its commercial nature, emphasis is being given to promoting commercial efforts in north India. Through an arrangement with the Industrial Credit and Investment Corporation of India (ICICI), concessional loans have been made to two large condom manufacturers who together sell about 210 million condoms annually in India, supplying almost 60% of condom users in the country. Similar loans have also been made to two large intrauterine device (IUD) manufacturers who currently sell 1.3 million IUDs mostly to the Government, but also directly to private physicians.

Host Country and Other Donors: The World Bank, United Nations Population Fund (UNFPA), United Nations Children's Fund (UNICEF), and the United Kingdom's foreign aid program provide complementary donor support in reproductive health, safe motherhood and

child survival. USAID's program has introduced a number of innovative approaches to supporting both public and private sector efforts, some of which have been incorporated into a major new billion-dollar initiative in reproductive health being launched by the World Bank. Most donor efforts are channeled through the existing government program. Thus, USAID's support to the private sector is a unique contribution

in the Indian context. The GOI contributes substantial resources through its existing personnel and massive infrastructure to provide health and family welfare services to the general public and serves an important need in reaching the large numbers of extremely poor clients who are unable to purchase health services from the private sector.

**Beneficiaries:** The direct beneficiaries of this strategic objective are women of child-bearing age( 15-49) of Uttar Pradesh, totaling approximately 30 million women. Couples of reproductive age throughout India will benefit from broader commercial availability of family planning and other reproductive health products that broaden choice and access. Secondary beneficiaries are the children under age five, in particular, female children whose survival will be enhanced by the activities in this program.

**Principal Contractors, Grantees, or Agencies:** The major grantees are the State Innovations in Family Planning Services Agency (SIFPSA) and the Industrial Credit and Investment Corporation of India Limited (ICICI). USAID supported cooperating agencies include: The Association for Voluntary and Safe Contraception (AVSC), Cooperation for Assistance and Relief Everywhere (CARE), the Center for Development and Population Activities (CEDPA), Johns Hopkins University/Population Communication Services (PCS), the Futures Group - SOMARC and Policy Projects, the University of North Carolina International Training in Health - PRIME Project, MACRO International Inc., the Program for Appropriate Technologies in Health (PATH), and John Snow, Inc.

Major Results Indicators:

	Baseline	Target
Percent of IFPS activity trained medical officers who meet quality standards for sterilization services +	54% (1997)	
Percent of public sector clinics which meet quality ratings+	3% (1997)	
Number of public sector family planning acceptors+	303,000 (1997)	555,000
Number of private sector oral contraceptive pill and condom acceptors +	11,000 (1997)	32,000
Contraceptive Sales ( subsidized and commercial)		

oral contraceptive pills (million cycles)*	4.2 (1997)	
condoms (million pieces)*	104 (1997)	
Percent of pregnant women receiving two doses of tetanus toxoid +	43% (1997)	
Percent of pregnant women receiving 100 Iron and Folic Acid tablets +	32% (1997)	37% (20
Percent of deliveries attended by trained provider +	17% (1997)	

+ in 28 priority IFPS Activity districts; \* in Uttar Pradesh

Source: a and b- special provider/clinic surveys; c, f, g, h - Government statistics adjusted for reliability; d- project NGO MIS; e- Operations Research Group Retail Audit Report

### ACTIVITY DATA SHEET

**PROGRAM: INDIA**

**TITLE AND NUMBER:** Improved child survival and nutrition in selected areas of India, 386-SO03

**STATUS:** Continuing

**PROPOSED OBLIGATION AND FUNDING SOURCE:** FY 1999 \$5,100,000 CSD; \$91,752,000 P.L. 480

Title II

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

Purpose: To reduce high levels of infant, child and maternal mortality among the poor in selected areas through integration of development assistance and P.L. 480 Title II supplementary feeding into health, nutrition, and other services.

USAID Role and Achievements to Date: USAID supports the Government of India (GOI) and non-governmental organizations (NGO) to improve child survival in the states, primarily north India, where malnutrition, fertility, illiteracy and mortality rates are high. P.L. 480 Title II commodities provide nutrition and serve as an entry point for provision of services in health and education to seven million children and women daily. The Cooperative for Assistance and Relief Everywhere (CARE) and the Catholic Relief Services (CRS) have developed systems to reach underserved and high-risk groups in villages across India. These PVOs have an established system of supply, allowing the program to move large quantities of food to desperately poor people in remote areas. Last year 10,900 officers were trained in commodity and results-oriented program management. More than double these numbers of health and nutrition workers are being trained now to integrate health and nutrition services at the community level. Through the PVO programs, USAID has also been able to respond rapidly to needs of 50,000 people dislocated by two severe cyclones and related flooding, 33,000 people made homeless by the earthquake in Madhya Pradesh and 300,000 people

suffering as a result of persistent drought in Orissa. In addition, since 1995, USAID has supported India's polio eradication initiative--one of the largest polio eradication drives in the world. In 1996-97, more than 90% of India's 125 million children under five received polio vaccine.

Description: USAID's program to support child survival includes a number of activities. The largest and most important is the nearly \$100 million P.L. 480 Title II food assistance program. The Title II program, through CARE, supports the Integrated Child Development Services (ICDS) program--India's equivalent of Head Start. The program reaches some 6.5 million beneficiaries in 140,000 villages, and CARE complements Title II food with an integrated nutrition and health program to improve child survival. CRS, working through private registered social service societies, including programs managed by Mother Teresa's and the Dalai Lama's organizations, reaches 710,000 beneficiaries.

The Program for Advancement of Commercial Technology/Child and Reproductive Health (PACT/CRH), in addition to supporting SO02 in reproductive health and SP01 in HIV/AIDS, provides support for technologies to improve child survival. Implemented through the Industrial Credit and Investment Corporation of India (ICICI) Ltd., the program increases commercial marketing and distribution of quality child survival products and services. The ICICI is negotiating with commercial producers of oral rehydration salts (ORS) to increase marketing, distribution, and use of ORS. ICICI is entering into an agreement with the premier vaccine manufacturer in India, the Serum Institute, for production and marketing of the Mumps, Measles and Rubella vaccine through commercial channels, and has reached an agreement for development of a low-cost electronic scale for growth monitoring of children.

Under the Quality Control of Health Technologies (QCHT) activity, the National Institute of Biologicals is being constructed to expand India's capacity to ensure quality vaccines, blood products and other biologicals. Also, USAID's large family planning activity in the state of Uttar Pradesh promotes contraception to space births, which greatly increases child survival.

Host Country and Other Donors: The GOI funds all the ICDS personnel--including workers in the nearly

140,000 centers reached by CARE, infrastructure, in-country transportation (for both CARE and CRS) and storage costs for P.L. 480 Title II commodities. CARE provides technical assistance, training and logistic support. The World Bank is the largest donor for child survival, providing \$300 million in loan assistance to the national ICDS program (with plans for an additional \$310 million) and assistance to the Reproductive Child Health program. USAID's contribution to ICDS through P.L. 480 assistance, valued at \$68 million annually, provides critical support to ICDS in the neediest states. Other donors for child survival include UNICEF, CIDA, SIDA, UN World Food Program (WFP), and AusAid. Japan is a co-donor with USAID for the QCHT.

Beneficiaries: Direct P.L. 480 beneficiaries are 7.2 million children under six years of age and pregnant and lactating women and several million other women and children reached by other USAID child survival assistance.

Principal contractors, Grantees and Agencies: USAID implements the P.L. 480 Title II India program through CARE and CRS. The PACT/CRH is implemented through the ICICI and with help from SOMARC for social marketing. Indian organizations implement USAID grants to improve child survival services.

## Major Results Indicators:

	Baseline	Target
Reduced Under-five mortality (number dying/1000 children)	119 <sup>#</sup> (1993)	95 (2002)
Improved nutritional status of young children (defined as percent of children under three years who are more than two standard deviations below the median weight-for-age index for the WHO international reference population)	561 (1993) 622 (1996)	50 (2002)

1 Source: National Family Health Survey

2 Source: CARE's baseline survey in assisted areas which are poorer than the national average

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### ACTIVITY DATA SHEET

**PROGRAM: INDIA**

**TITLE AND NUMBER :** Increased environmental protection in energy, industry and cities, 386-SO04

**STATUS:** Continuing

**PROPOSED OBLIGATION AND FUNDING SOURCE:** FY 1999: \$11,600,000 DA  
**INITIAL OBLIGATION:** FY 1995; **ESTIMATED COMPLETION DATE:** FY 2003

Purpose: USAID's environment program seeks to increase efficiency and decrease pollution in energy supply and use through development of effective policies, clean generation technologies, and efficient energy practices; reduce pollution in industry through adoption of environmental management systems and clean technology practices for industry; and strengthen local government's management capacity and ability to finance environmental investments through long-term debt instruments.

USAID Role and Achievements to Date: Progress attributable to USAID action during the past year spans the spectrum from grass roots activities to changes in federal policy. For example, the Government of India (GOI) decreed that steam coal for power generation must be clean of impurities starting in 2001. This should lead to reduced air and water pollution from India's very dirty coal and decreased greenhouse gas emissions by as much as 53 million metric tons in the next decade. Developments in urban infrastructure finance in Tirupur and Ahmedabad, already cited under SO01, also have important implications for the environment

by increasing the supply of water and sewerage facilities to India's overcrowded cities. In Haryana, USAID has been asked to lead the energy efficiency program as part of the Haryana State electricity reforms and to assist with privatization of the State Electricity Board's transmission, generation and distribution operations. USAID's energy efficiency demonstrations with the National Thermal Power Corporation have led it to invest \$2.5 million this year that will save millions in annual coal purchases, while generating a huge reduction in pollution. In another demonstration, USAID financed 72 high tension US manufactured meters that led to a significant drop in power theft and the purchase by one utility of another 2600 meters. This program, as well as the program to save water and energy by municipalities, is ready for nationwide adaptation.

USAID grants and technical assistance aimed at supporting renewable energy technologies have resulted in increases in the installed generation capacity of renewable energy sources to 900 MW as of March 1997. The signing of new partnership agreements between leading Indian and U.S. power utilities and regulatory agencies under the USAID-funded Utility Partnership Program provide a long-term mechanism for transfer of U.S. technology and experience to Indian organizations, while opening the door for U.S. exports of goods and services.

Under USAID's clean industry program, technical assistance and funding assisted industry to adopt environmentally sound practices while promoting Indo-US environmental business linkages. USAID's relatively small investment has helped establish a U.S. environmental technology and service market of about \$635 million in India. One recent collaboration between Kothari Sugar and Chemicals Ltd, India and Amcane International, Minnesota, for extracting sugarcane juice decreased effluents by 66%. Additionally, USAID is promoting incentives for industry to adopt certified environmental management systems and enhancing the capacity of Indian industry to incorporate best technologies and practices into their operations. Under this approach, USAID is facilitating the development of an ISO 14000 accreditation scheme enabling India to achieve international environmental quality standards.

Description: USAID has two major activities to achieve increased financial and environmental sustainability in the energy sector. Working with major development banks, the Energy Management Consultation and Training activity uses technical assistance and training to address critical issues affecting the Indian power sector: identifying and supporting policy reforms related to power sector regulation and restructuring, increasing investments in energy efficiency and demand-side management,

and promoting innovative financing of energy efficiency activities. The Greenhouse Gas Pollution Prevention program combines the strengths of Indian industry with the technological prowess of the U.S. to reduce greenhouse gas emissions by facilitating investments in advanced coal combustion technologies and bagasse co-generation and providing specialized technical assistance for efficiency improvement in existing coal-fired power plants.

The Trade in Environmental Services and Technologies activity provides technical assistance to promote adoption of international environmental quality standards by industry and to increase investment in cleaner technologies leading to decreased pollution per unit of output in key industrial sectors.

Activities described under SO01 to introduce new approaches to municipal finance of urban infrastructure also improved India's urban environment by financing potable water systems and waste-treatment facilities.



**Host Country and Other Donors:** Host country agency and industry contributions exceed \$1 billion. Multilateral and bilateral programs are offering well over \$3 billion in new energy efficiency and environmental programs. Under USAID-financed programs, Indian industries receiving financial assistance through the Industrial Credit and Investment Corporation of India will provide the equivalent of \$10.8 million, the Industrial Development Bank of India will lend up to \$80 million for bagasse co-generation investments, and the National Thermal Power Corporation will provide \$10 million investment in energy efficient equipment as part of its contribution. The Housing and Urban Development Corporation and Infrastructure Leasing and Financial Services Limited together will mobilize from domestic sources an amount equivalent to at least \$275 million for investment in urban environmental infrastructure projects, and the World Bank has plans for a major new loan to finance urban infrastructure which will draw heavily from USAID's experience.

**Beneficiaries:** The program's prime beneficiaries are independent power producers, national and state level utilities, private power utilities, selected high energy intensity industries, energy audit and service companies, sugar industries, agricultural biomass providers, development financial institutions and consumers--both urban and rural--who all need access to power for everything from irrigation to lighting. Also included are Indian companies and municipalities, primarily in urban areas, benefiting from clean air and improved access to water and sewerage; Indian technology and service firms; industry and business associations; financial institutions, power utilities, sugar industry, municipalities, and lower-income communities.

**Principal Contractors, Grantees, or Agencies:** Principal U.S. partners include: International Resources Group, Institute of International Education, United States Energy Association, Community Consultants, Inc. Principal Indian partners include: Ministry of Power, Power Finance Corporation, Industrial Development Bank of India, Industrial Credit and Investment Corporation of India, National Thermal Power Corporation, National Institute of Urban Affairs, Housing Urban Development Corporation and Infrastructure Leasing and Financial Services.

Major Results Indicators:	Baseline	Target
Plant Load Factor in coal-fired power plants increased (percentage)	60 (1995)	68 (2002)
Increased share of power from clean technologies (percentage of total installed capacity)		0.2 (1995) 6 (2002)
Increased number of industries that meet international environmental quality standards	0 (1998)	70 (2002)
Increased access to improved drinking water, waste water and solid waste services through commercially viable systems (population in million)	0 (1995)	5 (2002)

Urban environmental management tools applied by 1 (1995)

14 (2002)

local government (no. of city governments)

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### ACTIVITY DATA SHEET

**PROGRAM:** INDIA**TITLE AND NUMBER:** Reduced transmission of HIV infection, 386-SP01**STATUS:** Continuing**PROPOSED OBLIGATION AND FUNDING SOURCE:** FY 1999: \$6,000,000 CSD**INITIAL OBLIGATION:** FY 1995; **ESTIMATED COMPLETION DATE:** FY 2003

Purpose: To assist the states of Tamil Nadu and Maharashtra to control the spread of the human immunodeficiency virus (HIV) and the acquired immunodeficiency syndrome (AIDS).

USAID Role and Achievements to Date: USAID'S AIDS Prevention and Control (APAC) activity has financed the establishment of a new AIDS unit at Voluntary Health Services (VHS), Madras, a well respected Indian non-governmental organization (NGO), as the implementing agency to manage the activity. Among its activities, VHS provides sub-grants and technical assistance to NGOs working with high-risk groups, their spouses, children and communities. In the last two years, 46 NGOs have been funded to work with high-risk groups on HIV/AIDS prevention. Among these are 11 NGOs who work at strategic locations on interstate highways, and provide behavior change education to approximately 1.5 million truckers who transit through these locations each month. A training module has been designed for training physicians in diagnosis and management of sexually transmitted diseases (STDs). Five institutions in Tamil Nadu have been supported to train 1400 physicians, over the next three years, in providing high quality care for STDs--250 physicians have been already been trained. A comprehensive research study on the availability and quality of condoms at retail outlets in Tamil Nadu was completed in 1996 and follow-up action undertaken with private sector manufacturers to improve both the distribution and the quality of condoms. A significant collaborative venture with a major private sector manufacturer of condoms resulted in sales volumes doubling in a 12-month period between November 1996 and November 1997. The collaboration demonstrated that investments in expanded distribution systems lead to both increased sales volumes and to reduction in the cost of sales.

The Program for Advancement of Commercial Technology/Child and Reproductive Health (PACT/CRH), in addition to its contributions to reproductive health (described under SO01) and child survival (described under SO03), has made a significant contribution to HIV/AIDS prevention. It has provided loans to private sector manufacturers to expand the marketing and distribution of condoms, and to manufacture and market condom vending machines. To improve the quality of condom production in India, an issue of central importance to HIV/AIDS prevention, PACT-CRH has assisted manufacturers to improve their internal quality control procedures. PACT-CRH technical experts are also assisting the Drug Controller of India to strengthen the Government's quality control monitoring capacity and to work with manufacturers to improve condom packaging in India. PACT-CRH has provided a grant to the Confederation of Indian Industry to develop and market educational packages for prevention of HIV/AIDS in the work place setting in Indian industries. Over 260 industries with 400,000 employees have purchased the packages.

**Description:** USAID through the APAC activity supports NGOs with both funds and technical assistance to design and implement community-based prevention programs which target high-risk populations, including prostitutes and their clients, and STD patients. NGOs educate target populations, promote condom use, and enhance STD services and counseling. The APAC activity in Tamil Nadu focuses on prevention and control of sexual transmission of HIV among groups engaging in high-risk behavior. It uses proven strategies of education for behavior change--expanding access to and utilization of high quality condoms; expanding access to and utilization of quality STD treatment, especially for women; and supporting behavioral and operational research to improve program planning to shape intervention strategies and to measure impact. USAID plans to extend the HIV/AIDS prevention program under the APAC to Maharashtra, a state with 50 percent of India's total reported HIV positive cases. The PACT/CRH activity provides financial support (including concessional loans,

small grants and conditional grants) and technical assistance to commercial and private sector organizations. The loans support expanded distribution and marketing of existing technologies; the introduction of new reproductive and child health technologies and services; quality control and policy reform in the commercial sector; and the creation of demand through financing generic, social advertising campaigns.

**Host Country and Other Donors:** The Government of India's (GOI) World Bank-funded \$100 million, seven-year, National AIDS Control Program (NACP) assists the government health system in Indian states to work on HIV/AIDS prevention. A second phase program is presently being negotiated for a 1999 start, when the Phase I program ends. The British Overseas Development Agency has launched a country-wide intervention with truck drivers to promote behavior modification and STD treatment. The European Union is supporting NGO activities in several Indian states. Most other donors contribute funds to the GOI's NACP. UNAIDS coordinates the response of the UN agencies to HIV/AIDS in India.

**Beneficiaries:** Though high-risk sexual activity takes place mostly between female commercial sex workers and their male clients, infection is transmitted to the female partners of clients. In addition to commercial sex workers and their clients, women and their children who are family members of clients are 50% of the beneficiaries.

**Principal Contractors, Grantees, or Agencies:** Under APAC from 1995 to 1997, USAID's worldwide AIDSCAP activity provided technical support to Voluntary Health Services, Madras, which is the nodal voluntary agency entrusted with APAC activity implementation. Now that the AIDSCAP program has ended, assistance will be provided by IMPACT, USAID's new global program of field support to country missions working in HIV/AIDS.

Under PACT-CRH the Industrial Credit and Investment Corporation of India (ICICI), Program for Appropriate Technologies in Health (PATH), SOMARC managed by the Futures Group, BASICS and Health Technology are the agencies involved.

Major Results Indicators:

	Baseline	Target
Percentage of individuals belonging to high-risk groups who report condom use in most recent sexual encounter with a non-regular partner	37% (1997)	62% (2

Percentage of the population seeking care from qualified medical practitioners for symptomatic STDs in Tamil Nadu	52% (1997)	77% (2002)
Cumulative number of APAC grants for AIDS prevention in Tamil Nadu	0 (1996)	100 (2002)

**ACTIVITY DATA SHEET**

**PROGRAM: INDIA**

**TITLE AND NUMBER :** Increased investment in agribusiness by private firms, 386-SPO2

**STATUS:** Continuing

**PROPOSED OBLIGATION AND FUNDING SOURCE:** FY 1999: \$1,000,000 DA

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

Purpose: The purpose of the Agricultural Commercialization and Enterprise (ACE) program is to accelerate competitive agribusiness development through increased investment flows and strengthened Indo-U.S. business linkages.

USAID Role & Achievements to Date: USAID, through its ACE program, lends catalytic seed capital for pioneering agribusiness ventures producing high value horticultural and agro-processed products. This support has enabled the agribusiness loan portfolio of the Industrial Credit and Investment Corporation of India (ICICI) to grow from \$5 million in 1992 to over \$100 million in the five years ending December 1997. India's horticulture product exports have increased three-fold from \$155 million in 1992 to estimated \$500 million in 1997. USAID has facilitated Indo-US agribusiness linkages.

The ACE program has successfully launched and continues to assist expansion of India's first and most comprehensive agribusiness information service housed in the Federated Chamber of Commerce and Industries. The database and trade opportunities listing provide import and export leads for goods and services as well as valuable regulatory, market and contact information for potential investors. USAID-sponsored workshops and training introduced Indian entrepreneurs to new approaches to refrigeration and preservation and established links between Indian businessmen and American suppliers.

Under the program, USAID helped: establish public-private agribusiness advisory panels in Punjab, Maharashtra and Karnataka states; develop models for private investment in agricultural marketing infrastructure such as networks of cold stores, fresh produce wholesale markets and cargo facilities at selected ports and airports; and launch a joint Indo-US agricultural university linkages program for establishing a Center of Excellence for Post Harvest Technology.

Description: USAID, in association with its partner, the ICICI, lends seed capital for pioneering horticultural and agro-processing ventures to demonstrate the feasibility of agribusiness lending. The ACE program also provides technical assistance and training to individual firms and industry associations and promotes Indo-US agribusiness linkages as a mechanism for technology transfer. The program also aims at removal of systemic policy and

regulatory constraints on private participation in agribusiness related infrastructure and strengthening of access to information and technology. USAID plans to expand these activities with additional funding in FY 1999.

**Host Country and Other Donors:** In response to ACE effectiveness and nationwide geographical expansion, the Government of India transferred over \$20 million in local currency to ICICI to finance agribusiness operations. Additionally, after the credit worthiness of agribusiness lending was demonstrated, ICICI has invested over \$80 million from its own resources in similar agribusiness activities. Other donors such as the European Union, UNDP, FAO and the World Bank have drawn on USAID experience to replicate some of the activities. As an example, the World Bank is designing a similar \$300 million activity for the state of Uttar Pradesh.

**Beneficiaries:** Farmers, rural women, financial institutions, agribusiness associations and individual firms that benefit directly and indirectly from rapid expansion of agribusiness.

**Principal Contractors, Grantees, or Agencies:** USAID implements activities through Chemonics International, a U.S. contractor; the International Executive Service Corps (IESC), a U.S. private

voluntary organization; ICICI, the leading Indian private development bank; the Federation of Indian Chambers of Commerce and Industry (FICCI); and Winrock International, a U.S. contractor that implements the Farmer-to-Farmer program in India.

Major Results Indicators:

	Baseline	Target
Increase in total investments in ACE-funded agribusiness projects (cumulative \$ million)	0 (1991/92) 1	80
Increase in ICICI lending to the agribusiness sector (cumulative \$ million)	4.2 (1991/92) 1	12
Increase in value of horticultural exports (\$ million)	155 (1991/92) 2	575

<sup>1</sup> Source: Industrial Credit and Investment Corporation of India, Chemonics International

<sup>2</sup> Source: Agricultural Products Export Development Authority (APEDA)

**ACTIVITY DATA SHEET**

**PROGRAM:** INDIA

**TITLE AND NUMBER:** Expanded advocacy and service delivery networks for women, 386-SPO3

**STATUS:** Continuing

**PROPOSED OBLIGATION AND FUNDING SOURCE:** FY 1999: \$1,700,000 DA  
**INITIAL OBLIGATION:** FY 1996; **ESTIMATED COMPLETION DATE:** FY 2001

Purpose: To expand women's role and participation in decision-making through activities in the areas of microfinance, girls' school participation and violence against women.

USAID Role and Achievements to Date: Financial Services for low-income women: Through USAID assistance to Friends of Women's World Banking, India (FWWB), financial services were provided to 18,750 low-income women who have neither collateral nor access to formal financial institutions. FWWB assisted eight affiliates to develop business plans.

Violence against women: To meet the need for information on violence against women, nine local institutions are conducting research, in collaboration with the International Center for Research on Women, to produce a report on "Patterns and Responses to Domestic Violence" in Gujarat, Maharashtra, Madhya Pradesh and Karnataka. This research is being guided by a National Advisory Council on Violence against Women.

Girls' Education Initiative: Under the USAID Girls' Education Initiative, teachers and communities in one district in Uttar Pradesh (UP) are developing a teachers' training module to improve girls' participation in primary schools.

Description: USAID's program to expand advocacy and service delivery networks for women is based on extensive consultations with women's groups, grass roots organizations, research institutions, government, media groups, and other donors.

USAID activities in financial services for low-income women focus on strengthening capacity of non-governmental organizations (NGOs) to reach poor women with financial services. In FY 1999, USAID plans to continue upgrading the business planning skills of NGOs to increase outreach of financial services to low-income women. Resources are required to strengthen the business planning and microfinance outreach of FWWB affiliates in northern states.

USAID's customer survey found no uniform information base on violence against women that could assist in advocating appropriate responses to widespread violence. NGOs, grassroots activists and professional bodies emphasized the need for USAID to support the development of a national data bank. Funds will be required to expand the data base that is under development in five states to an additional seven states.

Under the Girls' Education Initiative, a teacher training module to eliminate gender-bias in classroom practices and increase participation of girls in schools in one district in UP will be prepared and tested. The module is being developed in collaboration with a District Institute of Education and Training (DIET) and the Uttar Pradesh Primary Teachers' Union. The training module will ultimately be used for in-service training of teachers by DIETs. Additional resources are required to incorporate the teacher training module and develop community support for education of girls in more districts.

Host Country and Other Donors: The UN, World Bank, Swiss, Dutch, Australian and Canadian Governments all support credit and enterprise programs for women. These programs have focused mainly on women's self-help group formation and development of home-based enterprises.

In primary education, the World Bank, UN agencies, the United Kingdom and European Union are

providing assistance to the Indian Government's District Primary Education Program (DPEP) to improve coverage and quality of primary education, including provision of assistance in several states for school construction, teacher training and decentralized management of schools. The USAID activity strengthens this comprehensive program by focusing specifically on teacher training to improve community and classroom environments for girls' enrollment and participation in schools.

Beneficiaries: Girls, women and local institutions of India in areas assisted by USAID's Women's Initiatives (WIN) program.

Principal Contractors, Grantees and Agencies: Center for International Education, University of Massachusetts, International Center for Research on Women, Friends of Women's World Banking, India (FWWB), Tata Institute of Social Sciences (TISS), SNDT Women's University and other local institutions and researchers such as National Law School of India University, Bangalore and Hengasara Hakkina Sangha, Bangalore.

Major Results Indicators:

	Baseline	Target
Increased enrollment and retention of girls in primary schools in one district of Uttar Pradesh	40% (1996) <a href="#">See footnote 1</a>	
Training module being used in number of districts in Uttar Pradesh	0 (1996)	
Increased number of women clients receiving financial services from participating microfinance organizations	15,000 (1996)	29,300
Increased business planning process established in participating organizations	0 (1996)	
Increased number of local institutions and their constituencies organizing data for informed advocacy against violence against women	0 (1996)	

## INDIA

## FY 1999 PROGRAM SUMMARY

(in thousands of dollars)

USAID Strategies and Special Objectives	Economic Growth & Agriculture	Population & Health	Environment	Democracy	Human Capacity Development	Humanitarian Assistance	TO
S.O. 1. Increased Mobilization of Capital Through Financial Sector Reforms - D.A.	7,700						7
S.O. 2, Reduced fertility and improved reproductive health in north India - D.A -CSD		20,000 3,400					2
S.O. 3. Increased child survival and nutrition in selected areas of India -CSD -P.L. 480/II		5,100				91,752	91
S.O. 4. Increased environmental protection in energy, industry and cities -D.A.			11,600				11
Sp.O.1. Reduced transmission of HIV infection -CSD		6,000					6




Sp.O. 2. Increased investment in agribusiness by private firms -D.A.	1,000						1
Sp.O. 3. Expanded advocacy and service delivery networks for women -D.A.	1,200			200	300		1
Totals							
-DA	9,900	20,000	11,600	200	300	0	4
-CSD	0	14,500	0	0	0	0	3
- P.L. 480/II		0	0	0	0	91,752	9

USAID Mission Director: Linda Morse

*Footnote: 1 GOI estimates*

  
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## Population InfoPack- Americans Support and Benefit from Population Assistance

- Population assistance is based on basic American values, including the freedom of couples to plan the number and spacing of their children.
- Two out of three American women of reproductive age use some form of modern contraception.
- Three out of four Americans surveyed in 1995 wanted to increase or maintain spending on family planning for poor countries.
- Since its inception in 1965, USAID's Population Assistance program has consistently received strong bi-partisan support.
- Early USAID investments in family planning have helped stabilize population growth in strategically important countries and resulted in the creation of strong trading partners for the U.S. (e.g. Korea, Taiwan, Thailand)
- U.S. consumers have benefitted from USAID support for the development, improvement and evaluation of safe and effective modern methods of contraception. (e.g., voluntary male and female sterilization, Norplant implants, male and female condoms).

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# Population InfoPack- Population Assistance: The Recognized Leader

## Principles and Objectives

- Support the right of couples and individuals to determine freely and responsibly the number and spacing of their children
- Reduce unintended pregnancies and promote maternal and child health
- Stabilize world population growth

## Comprehensive Program Scope

- Works in partnership with host country governments, private voluntary organizations and commercial entities in over 60 developing countries around the world.
- Provides assistance through a large network of U.S. organizations that offer a wide range of expertise.
- No other donor has the extensive on-the-ground field presence and technical expertise to respond to local needs.

## USAID is the Global Leader

- Since its inception in 1965, USAID's population program has been involved in all major innovations in international family planning.
- USAID has played a critical role in the development, evaluation or improvement of all modern methods of contraception.
- USAID's population assistance program is the world leader in family planning service delivery, contraceptive procurement, logistics management, training, education, communication, data collection and evaluation. Innovations in these areas have been adapted and applied to child survival, HIV/AIDS prevention, and many other fields, and benefit U.S. citizens.

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## Population InfoPack- USAID's Population Program: Low Cost. Powerful Impact.

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- Population assistance represents 0.03% of the Federal budget. Foreign aid as a whole is less than 1% of the Federal budget.
- For every dollar spent on family planning, governments save as much as \$16 in reduced expenditures in health, education, and social services.

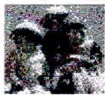
### Since 1965, in the developing world:

- The average number of children per family has dropped from over six to four.
- USAID has saved the lives of tens of thousands of mothers through family planning, which reduces abortions and high risk pregnancies.
- Without organized family planning programs, there would be a half billion more people in the world today.

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## Population InfoPack- The Challenges Ahead are Unprecedented

- Our children will share a world with between 8 and 13 billion people, depending on the decisions we make today.
- More than half of the developing world's population is younger than age 25, causing a momentum that ensures a rapidly expanding population for the near future.
- Current demand is not being met. Over 100 million couples want family planning services but are not currently using any method largely because of a lack of accurate information and poor access to good-quality services.
- Demand is growing fast. In this decade, the number of women of reproductive age in the developing world (excluding China) will grow by over 185 million to over 900 million women--almost 10 times the current population of Mexico.
- Funding is not keeping pace with need. The combination of recent funding cuts, inflation and population growth has reduced USAID's population assistance budget to its lowest level per woman since 1968.

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The information in this packet was drawn from sources including: the World Health Organization, Demographic and Health Surveys (DHS), the Food and Agricultural Organization (FAO), the Population Reference Bureau, the United Nations, and published journal articles.

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