United States Agency for International Development
Bureau for Democracy, Conflict, and Humanitarian Assistance
Office of Private Voluntary Cooperation-American Hospitals and Schools Abroad
Program Development and Management Division

DETAILED IMPLEMENTATION AND MONITORING PLAN (DIMP) AND FIRST YEAR GUIDANCE FOR NON-GOVERNMENTAL ORGANIZATION SECTOR STRENGTHENING PROGRAM (NGOSSP) AWARD RECIPIENTS

Working Draft
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LIST OF ACRONYMS

CA	Cooperative Agreement
CDIE	Center for Development Information and Evaluation
DIMP	Detailed Implementation and Monitoring Plan
EOP	End of Project
HQ	PVO Headquarters (including PVO field offices if relevant)
LOP	Life of Project
M&E	Monitoring and Evaluation
MIS	Management Information System
MP	Monitoring Plan
NGO	Recipient Country Non-Governmental Organization
NGOSSP	NGO Sector Strengthening Program
PDM	Program Development and Management Division/PVC-ASHA
PMP	Performance Management Plan
PVC-ASHA	Office of Private Voluntary Cooperation-American Hospitals and Schools Abroad
PVO	U.S. Based/Affiliated Private Voluntary Organization
SOW	Statement of Work
USAID	United States Agency for International Development

I. INTRODUCTION

In 2003, USAID's Office of Private Voluntary Cooperation-American Hospitals and Schools Abroad (PVC-ASHA) began implementation of a new five-year Strategic Plan (2003-2007) that emphasizes strengthening development activities of non-governmental organizations (NGOs) in USAID-assisted countries. The strategy reflects the Agency's policy toward NGOs and private voluntary organizations (PVOs), implements the recent Agency reorganization, and incorporates the views of the PVO community. The NGO Sector Strengthening Program (NGOSSP) is designed to operationalize the first strategic objective of the new plan: to enhance NGO capacity to deliver development services in select USAID countries. In 2003, thirteen U.S.-based PVOs were awarded Cooperative Agreements to help achieve this objective.

The first year after receipt of a NGOSSP award entails an extended period of planning and collaboration between the recipient PVO, its partners, and PVC-ASHA. These guidelines have been developed to assist PVOs and their partners understand the expectations of PVC-ASHA with respect to the development of a Detailed Implementation and Monitoring Plan (DIMP)and for reporting during the first year of the five-year program cycle.

The Detailed Implementation and Monitoring Plan and its Purpose

All PVOs awarded Cooperative Agreements (CA) in 2003 for the NGOSSP are required to submit a DIMP to PVC-ASHA. The approved DIMP will partially satisfy the substantial involvement clause of the CA.

The CA and the DIMP provide the basis for planning, monitoring, and evaluating the achievements of the PVO's program throughout the five-year program cycle. After signing the CA, the PVO should prepare the DIMP in collaboration with implementing partners, key stakeholders such as beneficiaries, PVC-ASHA staff, and other relevant USAID staff. PVC-ASHA encourages the PVO to consider translating either the entire DIMP or its critical elements into applicable country language(s).

The overall **purpose** of the DIMP is to 1) provide a detailed blueprint of how the proposed program will be implemented and managed during the grant period, and 2) serve as a foundation for the development of other program management tools, especially for planning, monitoring, and evaluation. The DIMP is intended to serve this purpose for the PVO, its partners, and PVC-ASHA.

More specific **objectives** of the DIMP include the following:

- Use baseline information to specify, refine, or revise original objectives, activities, indicators, and targets (subject to justification and PVC approval during the DIMP review).
- Prioritize and schedule activities over the life of the project (LOP).
- Specify objectives, indicators, baselines, and targets against which progress will be measured during the mid-term review and final program evaluation.

- Outline the monitoring plan (MP)[1] and program evaluation plan for the entire NGOSSP.
- Clarify the roles and responsibilities of implementing organizations and create shared stakeholder vision and ownership of project results.

The DIMP preparation period of several months provides a window of opportunity for the PVO and its partners to conduct baseline studies, convene focus groups, and engage in other types of research and information gathering activities at headquarters (HQ), field offices, and program sites. The data gathered may then be used to make final adjustments to the overall program design which will be reflected in the DIMP.

The DIMP is comprised of several major components:

1) A Planning Matrix which serves as a snapshot summary of the DIMP; the matrix includes plans for major activities, program objectives, indicators, baselines, and targets, as well as information on measurement techniques.
2) Annual Work Plans in the form of a five-year activity chart that details the quarters during which major activities will take place.
3) A Monitoring Plan represented in a series of Indicator Reference Sheets that describe how individual indicator data will be collected, managed, and utilized.
4) A Narrative Document that compiles DIMP components and fully describes the program approach, activities, and program monitoring plan.

More detailed guidance on how to prepare each of these components and compile the entire DIMP is given in subsequent sections.

Other Required Documents in the First Year of the NGOSSP

In addition to the DIMP, PVOs are required to submit quarterly financial statements and semi-annual reports to PVC-ASHA. For the initial program year, submission of the DIMP is considered the first semi-annual report. The second semi-annual report includes required reporting on a number of PVC-ASHA determined indicators. This requirement is in addition to reporting on indicators that have been developed by the PVO. Please see Appendix A for more specific guidance on first year reporting.

II. DOCUMENT SUBMISSION AND REVIEW

Timeline for Document Submission

During FY 2003 (1 October 2003-30 September 2004), the following timeline should be used for NGOSSP document submission:

15 February 2004	First quarter financial report (SF-269)
31 March 2004	Draft Planning Matrix

[1] The MP is distinguished as the specific element of the DIMP that presents a results-oriented plan to be utilized over the LOP to measure progress. It is fully described in Appendix B.

15 May 2004	Second quarter SF-269
30 June 2004	Full DIMP document, with the exception of the Indicator Reference Sheets
15 August 2004	Third quarter SF-269
30 September 2004	Indicator Reference Sheets, and if necessary, revised Planning Matrix
15 November 2004	Fourth quarter SF-269
31 December 2004	Semi-annual report, reporting on activities of the first year of program activities

Guidance for document submission in years 2-5 of the program will be distributed at a later date.

Submission Guidance

DIMP-related documents should be prepared with adherence to the following:

- All components must be legible and printed on standard, letter size (8 ½" by 11") paper;
- All pages should have standard one-inch margins and pages should be numbered;
- The body of the DIMP should not exceed 35 pages. Appendices should not exceed 25 pages;
- Use Times New Roman 12-point font for the DIMP text. Tables may use 10-point font;
- Include a cover page, table of contents, and a complete list of acronyms.

The full DIMP should be submitted to the principal program officer as follows: one (1) unbound, single-sided copy with all attachments; two (2) bound, double-sided copies; and a 3 ½" diskette with an electronic copy in Microsoft Word 97 or Word 2000.

DIMP documents should be addressed to the principal program officer managing the CA and mailed or otherwise delivered to the address provided below.

USAID/DCHA/PVC-ASHA/PDM
1300 Pennsylvania Avenue, NW, Room 7.6D, RRB
Washington, D.C. 20523-7600

***Note*:** Packages cannot be left at the Ronald Reagan Building (RRB) lobby reception desk. A courier must contact a PDM staff member (see Appendix A for a list of staff members) for pick-up from the USAID reception desk at the RRB 14th Street entrance. The courier needs picture identification to enter the building.

DIMP Review Process

Review of the DIMP is an in-depth process that involves several steps. First, **a draft of the Planning Matrix only, should be submitted electronically to the designated program officer by 31 March 2004**. Program staff will review this draft and provide detailed feedback to assist the PVO in full development of the DIMP. If necessary, the PVO will revise the matrix to better

meet USAID's planning, monitoring, and evaluation standards.

The completed DIMP, with the exception of the indicator reference sheets, is due by 30 June 2004. Following submission of the completed document, the PVO and the principal program officer will jointly decide how to review the DIMP. Review methods currently being discussed are PVO peer reviews, review by external consultants, and review by PVC-ASHA and other USAID staff.

A consultative meeting will be scheduled between reviewing parties and PVO representatives to further discuss the DIMP and its implications. During the meeting, the PVO will have an opportunity to make a brief presentation of the DIMP. This will be followed by a general discussion. The PDM Division Chief or program officer will summarize the discussion and any proposed revisions or requests for additional information. The consultative meeting, termed the DIMP Review, typically requires approximately two hours.

After the DIMP is submitted and reviewed, it will either be:

- Approved as written,
- Approved with additional information requested from the PVO, or
- Not approved. In this case, PVC will request the DIMP to be revised and re-submitted by the PVO within a mutually agreed upon time frame.

The PVO, PVC-ASHA, and relevant partners should consider the DIMP as a living document, intended to guide program management. The DIMP should be revised as necessary throughout the life of the program to reflect actual circumstances. As stated earlier, the DIMP is a planning, management, and monitoring tool for PVC-ASHA, the PVO, and its partners. Its relevance to and utility for the PVO program will be assessed during the mid-term and final evaluations.

DIMP Revisions

PVC-ASHA recognizes that DIMPs usually need to be updated in response to new information uncovered during implementation or unforseen circumstances that force changes in plans. All proposed DIMP revisions must be submitted in writing and approved by an appropriate program officer. If revisions involve significant change in the main program objectives or the program design, it may also be necessary to seek approval from USAID's Office of Procurement. PVOs should bear in mind that changes to indicators presented in the approved planning matrix and performance monitoring plan may require the PVO and its partners to re-calibrate baseline data. Also, although the PDM program staff will make every attempt to review and approve programmatic changes in a timely manner, PVOs should be aware that the time needed for approval will vary with the type and complexity of the request. For example, procurement-related changes and approvals require more time than simple programmatic changes.

III. PREPARING THE DIMP

At the time of proposal development, PVOs most likely utilized data from field sources and literature to design a program approach, conceive program activities, and select preliminary indicators for tracking program results. The first several months after receiving an NGOSSP award are intended to allow the PVO to revise and refine the proposed activities and indicators through more site-specific needs assessments and baseline studies that feed into the DIMP. This section discusses the importance of baseline studies to DIMP development and continues on to describe the format that PVC-ASHA recommends for writing and compiling the complete DIMP.

Baseline Studies and Needs Assessments

Baseline studies mark the logical beginning of a program's planning process and form the foundation of its monitoring and evaluation system. They provide initial information regarding the target area and beneficiaries or customers before program interventions have begun. The purposes of conducting a baseline study are to:

- Collect site-specific, pre-intervention data that will be compared to annual, mid-term, and end-of-project data to judge the effectiveness of activities for achieving results;
- Test and refine indicators that will be used to monitor the program; and
- Set realistic targets for key indicators over the LOP.

Ideally, every project should begin with a baseline study to lay the groundwork for data collection and to determine a reference point from which the program activities begin. Unfortunately, baseline studies are often not conducted because PVO and NGO data collection efforts often face serious time, budget, and data constraints. Working in remote or sparsely populated areas often requires more time and budget for data collection. Likewise, working among groups afflicted with civil conflict or with sensitive ethnic or gender discrimination problems presents special challenges. Simply put, baseline data are hard to get and when obtained, they cannot be assumed to be valid and usable. Hence, data gathering for baseline studies needs to be quicker and more economical than standard research practices without sacrificing methodological rigor.

Indicators, once developed, should not be considered as cast in concrete. As measures of a quality or attribute that changes over time and space, indicators themselves may change as the program gains momentum and perspectives change. Baseline studies are an opportunity to test and modify indicators as a result of the ability to obtain or not obtain data. Because baseline studies capture actual field conditions and explore the operating context of the planned program, they provide concrete experience that adds realistic perspective to anticipated results. This realism can be expressed through targets in program plans.

Despite the benefits of baseline studies, they are not easy to conduct and can be troublesome to

even experienced researchers. Local conditions may preclude data collection at program initiation, or program managers and clients may want the approved program to begin as soon as possible. As a result, baseline studies that may be costly and time-consuming are too often bypassed and supplanted by the quest for action and results. A need may then arise to reconstruct baseline data once the program has begun.

Reconstructed baseline data can be approximate to that properly collected; such estimates can serve to patch together a more coherent understanding of the initial program context. However, reconstruction should not be the norm and is recommended only as a last resort effort to be used when a critical need arises.

In addition to conducting baseline studies, the DIMP preparation period provides an opportunity for the PVO to update the situational analysis and conduct other needs assessments that may assist it in:

- Tailoring the original program design, strategies, and activities to each program site through identification of site specific opportunities and constraints;
- Gathering more detailed information on relevant attributes of the beneficiary populations;
- Identifying additional partners who can support the program, such as NGOs, networks and coalitions, government agencies, community leaders, businesses, donors, and in-country technical specialists; and
- Identifying additional resources such as community norms and practices, facilities, equipment, infrastructure, etc., that could be assets over the LOP.

PVOs are encouraged to build on existing data sources and identify a range of qualitative as well as quantitative research methods that will be best suited for gathering information relating to their program objectives. These methods should be capable of reliably measuring change over time.

Content and Organization of the DIMP

In the Introduction of these Guidelines, four components of the DIMP were briefly described (Planning Matrix, Annual Work Plans, Monitoring Plan, and Narrative Document). This section describes the components in greater detail and provides guidance for organizing them within the larger sections of the DIMP. Sections of the DIMP should be organized as delineated below:

Cover Page
Executive Summary
Section A: Program Design
Section B: Program Management
Appendices

Please use the headings, subheadings, and the numbering system described in Sections A and B as a guide for writing the DIMP.

Cover Page
The DIMP's cover page should include the PVO's name and contact information, title of the PVO program, CA number, CA beginning and end dates, countries or regional areas in which the program operates, and the names and positions of the principal authors of the DIMP.

Executive Summary *(maximum 2 pages)*
Provide a summary of the proposed program's key objectives and implementation plans, program sites, program start and end dates, beneficiary population(s), partnerships, level of funding, and proposed match. Include a brief overview of how this program contributes to the PVO's vision or strategic plan.

Section A: Program Design
In this section, the PVO should discuss the overall program design and the implications of the baseline studies and situational analysis for achieving program objectives, selecting indicators, setting targets, and assessing activities. Program elements that have changed from the original application as a result of the baseline study findings and updated situational analysis should be identified and the reasons for making these changes should be explained. The program design section should be organized into subsections A1-A3.

A1: Overall Program Approach
Outline the general approach to program implementation that will result in strengthened operation, technical, and/or financial capabilities of the NGOs with which the program will work. Provide an overview of how the program will expand linkages among NGOs and between NGOs and public and private sector institutions.

- If the PVC-ASHA-funded program is a part of a larger program within the organization discuss the linkages relevant to implementation.
- If the PVO will work in concert with one or more partners to implement the program, generally describe the roles and responsibilities of the participating partners. Attach copies of all cost-share agreements made with partners in an appendix.
- If the program is experimenting with implementation of an innovative model which is intended to be replicated, describe the methods that will be used to capture the lessons learned that will facilitate replication.

A2: Program Objectives, Indicators, Baselines, Targets, and Activities
This section should fully describe the main objectives, program model(s), and main activities to be implemented. ***Indicators and targets should be selected with specific consideration given to the findings of baseline and needs assessments.***

For multi-country programs, the PVO should determine whether it will be more efficient to break the program into country or regional components and develop objectives, activities, indicators, baselines, and targets specific to each location, or develop one set of objectives, activities, indicators, baselines, and targets for the entire program. In part, this determination can be made by considering differences in site-specific needs and conditions, as well as the

availability of staff to manage the program. When choosing a country or regional approach, please address the following points with reference to each location.

- Describe main results-oriented program objectives, program model(s), activities, indicators, and targets. Use the findings of the baseline studies and needs assessments to develop these elements and to illustrate (i) how the program will affect the operational, technical, and financial capabilities of the NGOs involved in the program, and (ii) how linkages will be expanded and enhanced among the NGOs, as well as between NGOs and public and private sector institutions.
- Identify objectives, indicators, targets, and activities stated in the application that have been changed in the DIMP. Explain the reasons for change with reference to baseline findings, updated situational analyses, or other studies.
- When making reference to baseline data, describe methods used to gather it, such as, organizational assessments, client/beneficiary needs assessments, special surveys, etc.
- If training is a significant component of program activities, outline the training approach, performance gaps and other problems addressed, and target trainee categories.

Related Information to be included in subsection A2

- Identify the specific NGOs with which the program will work, and for each NGO, indicate the functional areas (financial management; technical sector, i.e. health, agriculture; program design; etc.) where the PVO will be building capacity.
- Provide the rationale for selecting specific NGOs, networks and/or intermediate service organizations. Explain the capacity building methodology(ies) to be utilized and why they were selected. Describe the key hypothesis being addressed by this project and the anticipated learnings.
- Identify geographic, political, infrastructure, and cultural challenges, opportunities, and constraints that are likely to affect proposed program outcomes. Include reference to the types of competition, conflict situations, or potential natural disasters that are likely to occur.
- Identify in-country resources, including indigenous practices, that can become program assets.
- Attach a map (with a scale and identified work sites) for each proposed country program in an appendix.
- Describe the intended beneficiaries, including (i) their estimated number by gender and age, (ii) relevant socioeconomic and behavioral characteristics, and (iii) relevant vulnerable sub-populations (i.e., health/education/income levels, class/caste/tribal/ethnic status).
- Identify other relevant NGOs and service providers operating in each area and discuss their potential for supporting, complementing, or mainstreaming the systems established.

A3: Sustainability Plan

Discuss the sustainability of the program with respect to its potential social, economic, and environmental impacts on the broad context in which it operates. For example, discussion may include how networked NGOs will impact upon more traditional forms of service delivery that rely on neighborliness or other cultural practices, or how a network of NGOs that advocates for resource use rules may better sustain the natural resource base of the area over time.

Further define what sustainability means from the perspective of the PVO and continuing its program after EOP. Describe how the significant elements of the program will be continued after the CA agreement ends within the context of constraints and opportunities identified in the baseline and needs assessments. Discuss, for example, the program's ability to be financially sustainable, how training will be continued, or how lessons learned will be disseminated and applied after EOP.

Section B: Program Management

This section describes the structures and resources that will be used to manage people, activities, and finances; plan for emergencies; monitor and evaluate program impacts; and disseminate findings and lesson learned. The program management functions are delineated in subsections B1-B7.

B1: Human Resources and Organizational Structure

This section describes the non-financial management structure for the program.

- Provide the names, titles, and brief position descriptions (management roles/responsibilities) of critical PVO and implementing partner program personnel, including those "to be recruited". In an appendix, attach short resumes (maximum 1 page) of critical personnel highlighting their relevant training and experience. Indicate whether staff members are expatriates or host country nationals, full or part-time, salaried or volunteer, seconded or "to be recruited". Include the persons responsible for:
  - Financial and administrative management;
  - Technical oversight;
  - Monitoring and evaluation;
  - Liaison with partners; and
  - Technical backstopping the field programs at the regional and US office
- Attach as an appendix an organizational chart (organigram) for the PVC-ASHA funded program. Include critical personnel that are from the PVO, partner organizations, and NGO field offices.
- Describe the program's supervisory system. Outline the responsibilities and decision-making powers of (i) PVO staff, (ii) implementing partners, (iii) NGO staff.
- Discuss styles of management and communication and the approach to resolving conflict that will be used with all parties involved in program implementation.

B2: Work Plan

- Attach as an appendix a Work Plan (Gannt chart) for each country or regional program prepared in collaboration with implementing partners. Each Work Plan should provide a quarterly timeline and a schedule of activities for the entire 5-year program.
- Discuss challenges and constraints likely to be faced in implementing the plan.

B3: Performance Measurement

This subsection includes information on performance monitoring and evaluation activities of the program.

B3.1: Monitoring Plan

In narrative form, describe the PVO's overall approach to program monitoring, such as its reporting requirements, management information system (MIS), and deployment of staff engaged in monitoring and evaluation.

- Describe specific monitoring methods intended to be used to determine if the implementation process is on schedule and targets are being met.
- Discuss preliminary plans for:
  - Sources of data, frequency of data collection, and quality control methods;
  - Data management systems including computerized operations and methods used to analyze data;
  - Personnel responsible for program monitoring – overall managers, data collectors, and other participants;
  - Procedures for using the data to improve program performance;
  - Constraints and challenges anticipated in collecting and using the data.

PVC-ASHA recognizes that monitoring plans in the DIMP narrative are tentative and may be changed with the submission of the Indicator Reference Sheets; however, it is requested that the **preliminary plans be submitted with the full DIMP by 30 June 2004.**

As an independent appendix, prepare the program's summary MP using the Indicator Reference Sheet template and examples provided in Appendix B of this document. **The PVO should submit an appendix comprised of the Indicator Reference Sheets and any needed revision in the program Planning Matrix to the appropriate program officer by 30 September 2004**.

Helpful information on preparing MPs is found in:

- TIPS # 7: "Preparing A Performance Monitoring Plan" (http://www.dec.org/evals.cfm)
- The Performance Management Toolkit: A Guide to Developing and Implementing Performance Monitoring Plans (distributed electronically to all NGOSSP recipients).

B3.2: Program Evaluation

The PVO is responsible for budgeting, designing the processes for, and coordinating both the mid-term and the final evaluations. Costs for the evaluations should be included in the DIMP program budget. Careful thought should be put into decisions regarding appropriate evaluation processes. Participatory approaches where beneficiaries and partners assist in determining the scope of the evaluation and carrying it out can bring extra benefits to the PVO and its constituent community. The PVO, in consultation with PVC-ASHA, should develop the schedule and scope of work for the evaluations at the appropriate times in the program cycle. Further guidance on evaluation planning will be issued by PVC-ASHA at a later point in time.

In the DIMP, outline your organization's intended approach to implementing a mid-term evaluation and a final evaluation. Again, PVC-ASHA recognizes that these plans may change over time and that they will be updated with the preparation the scope of work for the mid-term and final evaluations.

- Describe plans for reviewing program implementation and data at mid-term and impact assessment during the final evaluation.
  - Describe data collection methods that are likely to be used.
  - Indicate how data is likely to be aggregated across program sites.
  - Identify parties who are likely to be responsible for organizing the evaluations
  - Describe the potential roles of partners and NGO representatives in evaluation activities.
- Provide an estimate of the costs and a general time frame for conducting the evaluations.

B4 : Financial Management

In this section describe the overall program financial management plan, including:

- Any changes to program costs estimated in the application.
- Organizations responsible and methods for funds transfer and disbursement.
- Mechanisms for tracking funds and ensuring accountability.
- Logistical challenges or foreseeable weak links in the financial plan.

All programs must submit a consolidated line item budget at the country or regional level as an appendix at the time of DIMP submission. If no changes have been made to the budget since signature of the CA, attach the detailed budget that was approved by USAID's Office of Procurement. If changes are being requested, attach a new budget using the same format as the approved budget AND include a narrative explanation of the requested changes.

B5: Planning Matrix

Attach as an appendix an updated Planning Matrix that consolidates the main results-oriented program objectives, indicators, baseline data, targets, and activities (described in Section A2). Depending on the approach selected by the PVO, a separate matrix for each country or regional program may be needed. The Planning Matrix should provide baseline data in actual measures, annual/mid-term targets, and EOP targets for each indicator. See Appendix C for a Planning Matrix template and examples.

B6: Risk Management Plan

- Outline your contingency plans to address natural disasters, political conflicts, and other security issues (for example, determine safe sites, discuss transport and evacuation strategies, etc.).
- Discuss any activities the program will undertake to mitigate conflict.

B7: Outreach Plan

Describe the information dissemination methods that the PVO will utilize to ensure that lessons

learned and best practices culled from this program are shared to further the PVC-ASHA goal of strengthening the NGO sector. Present strategies for information sharing and dissemination:

- Within the PVO,
- With implementing partners,
- Throughout the networks with which the program has worked, and
- With the broader development community.

Appendices

At the time of DIMP narrative submission (by 30 June 2004), please ensure that your DIMP includes the following appendices:

- ❑ Signed copies of cost-share agreements between the PVO and partners;
- ❑ A clear map of each proposed program area with work sites pinpointed and a readable legend that includes a scale;
- ❑ Short resumes (maximum 1 page) of critical staff;
- ❑ Program organizational structure chart (organigram), illustrating the critical PVO, partner, and NGO positions in the program;
- ❑ Work Plan (Gannt chart);
- ❑ Copy of the USAID-approved full, detailed budget or updated budget request with narrative explanation; and
- ❑ Updated Planning Matrix

An **additional appendix** comprised of the summary Monitoring Plan/Indicator Reference Sheets and a revised Planning Matrix, if necessary (see section B3.1), **must be submitted to the program officer by 30 September 2004**.

Resources for Preparing the DIMP

- ❑ USAID's Center for Development Information and Evaluation (CDIE). *Performance Monitoring and Evaluation TIPs* (see http://www.dec.org/evals.cfm):

  #1 "Conducting A Participatory Evaluation"

  #2 "Conducting Key Informant Interviews"

  #3 "Preparing An Evaluation Scope of Work"

  #4 "Using Direct Observation Techniques"

  #5 "Using Rapid Appraisal Methods"

  #6 "Selecting Performance Indicators"

  #7 "Preparing a Performance Monitoring Plan"

#8 "Establishing Performance Targets"

#9 "Conducting Customer Service Assessments"

#10 "Conducting Focus Group Interviews"

#11 "The Role of Evaluation in USAID"

#12 "Guidelines For Indicator and Data Quality"

#13 "Building a Results Framework"

#14 "Monitoring the Policy Reform Process"

#15 "Measuring Institutional Capacity"

#15 Annex on "Measuring Institutional Capacity"

- USAID's CDIE and PriceWaterhouseCooper. *The Performance Management Toolkit: A Guide to Developing and Implementing Performance Monitoring Plans* (sent to PVOs electronically by PVC-ASHA).

- Information on USAID policies and procedures is available from http://www.usaid.gov/policy/ads/. ADS is USAID's directives management program. Agency policy directives, required procedures, and helpful, optional material are drafted, cleared, and issued through the ADS.

APPENDIX A

Supplemental First Year Reporting Guidance

As stated in the Guidelines, NGOSSP award recipients should follow the timeline presented below for submission of documents related to FY 2003 (October 2003-September 2004):

15 February 2004	First quarter SF-269
31 March 2004	Draft Planning Matrix
15 May 2004	Second quarter SF-269
30 June 2004	Full DIMP document, with the exception of the Indicator Reference Sheets
15 August 2004	Third quarter SF-269
30 September 2004	Indicator Reference Sheets, and if necessary, revised Planning Matrix
15 November 2004	Fourth quarter SF-269
31 December 2004	Semi-annual report that reports on activities of the first year.

Guidance for document submission in years 2-5 of the program will be distributed at a later date.

Financial Reporting

Financial reports are due 45 days after the end of each quarter, with the first quarter running from 1 October 2003-31 December 2003. Please see you Cooperative Agreement for SF272 submission guidance.

Each quarter copies of the Financial Status Report, short form SF-269A (rev. 7-97) and prescribed by OMB A-102, A-110, must be submitted to 1) the designated program officer, 2) the PVC-ASHA/PDM program assistant, Eugene Katzin, ekatzin@usaid.gov, 3) the negotiating (procurement) officer. An original must be submitted to the negotiating officer. Fax and mail submissions are acceptable for the other two parties.

Semi-annual Reports

For the initial year of your NGOSSP program, the completed DIMP will serve as the first semi-annual (6-month) report. Please follow the submission guidance presented in the Guidelines, II. Document Submission and Review.

The second semi-annual report should cover program activities implemented during the entire first fiscal year. As the CA suggests, the briefly presented report should include the following sections:

Program Title
Section I, Summary of Main Activities
  Briefly review activities undertaken (1-2 pages)
Section II, Progress on Performance Targets and Indicators
  Use Table 1 supplied from the CA to report on progress against targets.

Provide a narrative explaining achievements and/or problems (2 pages including Table 1).

Section III, Implementation Issues

Briefly discuss any external or internal issues that have affected implementation and provide the program's response.

Annexes

Provide additional relevant information AND

Provide responses to any PVC-ASHA questions relating to the Strategic Plan of PVC-ASHA (see PVC-ASHA Reporting for Agency and Congressional Purposes below)

The Cooperative Agreement asks for inclusion of Section IV, Progress on Learning Agenda in the semi-annual reports. This was an error and no section of this title is needed. Also, the CA requests submission of "institutional performance information (Attachment A1)". This was an error and no information of this type is needed.

Use the following standards for preparation of the semi-annual reports:

- Legible printing on standard, letter-sized (8 ½" x 11") paper;
- Standard one-inch margins and page numbering;
- Times New Roman 12-point font for the text. Tables may use 10-point font;
- Inclusion of a cover page, table of contents, and list of all acronyms used.

Submit two hard copies and one electronic copy (on diskette in Word 97 or 2000) of the report to the principal program officer. At least once per year the PVO should submit a report to the appropriate USAID country or regional office and call to schedule an appointment to discuss program progress.

PVC-ASHA Reporting for Agency and Congressional Purposes

In conjunction with Agency and Congressional reporting requirements, PVC-ASHA has developed a Performance Management Plan (PMP) with a set of indicators to measure progress toward meeting the Strategic Objectives of the office[2]. The data gathering process to report on these indicators will require PVOs and their NGO partners to respond to a series of questions throughout the NGOSSP program cycle. A discussion relating to the PMP and the types of questions which will be asked of PVOs and NGOs will be held at the orientation workshop for NGOSSP award recipients. Reporting requirements for PVOs concerning the PMP will be distributed at a later date.

Contact Information

Please use the following contact information to submit requested reports or make queries regarding NGOSSP procedures. In all cases, PVOs should first contact the designated principal program officer for assistance.

[2] Complete copies of PVC-ASHA's Performance Management Plan are available from program officers.

USAID/DCHA/PVC-ASHA
Room 7.6A, Ronald Reagan Building
1300 Pennsylvania Ave. NW
Washington, D.C. 20253-7600
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APPENDIX B

Monitoring Plan

Whereas the overall DIMP is a process-oriented document that captures the program strategy, implementation plan, as well as monitoring and evaluation plans, the Monitoring Plan (MP) is the specific element of the DIMP that is results-oriented. The MP helps to specify, schedule, direct, and coordinate performance monitoring tasks. These tasks are often complex, involving the collection, analysis, reporting, and utilization of data. The timely and rigorous application of MPs is critical for institutionalizing the monitoring and evaluation systems of PVO and partner organizations. Ideally, a MP is prepared during the overall planning stage of a program and implemented over its life, across all project sites. It is important to review the relevance, practicality, and utility of a MP, especially when any aspect of the program or its design is changed. In any case, it is recommended that the MP be reviewed at least once a year. Mid-term and final evaluations present more formalized opportunities for reviewing MPs.

The MP requested from NGOSSP award recipients by PVC-ASHA has two components; the first is the narrative section of the DIMP on Performance Measurement (section B3), the second is a series of Indicator Reference Sheets that more fully describe how indicator data will be collected and managed. **The PVO is required to complete an Indicator Reference Sheet for each indicator described in section A2 of the DIMP narrative and presented in the Planning Matrix**. Use the attached template in Figure B1 to prepare the Indicator Reference Sheets. An example of a completed Indicator Reference Sheet is presented in Figure B2.

PVC-ASHA's experience with Indicator Reference Sheets indicates that PVOs are often not able to provide all the information requested early in the program cycle. Many new processes and procedures are being developed; indicators originally thought to be the most valid measures of progress may turn out to be difficult to manage. This may result in changes in indicators as well as changes in the broader MP.

To provide adequate opportunity for adjustments in indicators and the MP, PVC-ASHA requests that PVOs submit their Indicator Reference Sheets as a separate appendix to the program DIMP. For NGOSSP awards made in 2003, **Indicator Reference Sheets should be submitted to the appropriate PVC-ASHA program officer by 30 September 2004**. If the Indicator Reference Sheets present significant deviations from indicators and procedures provided in the DIMP, the PVO should **update the Planning Matrix**, incorporating new or adjusted indicators and measurement procedures. The updated Planning Matrix should be submitted with the Indicator Reference Sheets by 30 September 2004.

PVC-ASHA encourages award recipients to build on the performance measurement information provided in the DIMP narrative and Indicator Reference Sheets in order to develop a full MP that meets the needs of the PVO and its partners. Further information on developing MPs is available in "The Performance Management Toolkit: A Guide to Developing and Implementing Monitoring Plans" that is sent electronically to all NGOSSP award recipients.

Figure B1. Indicator Reference Sheet Template
Complete one Indicator Reference Sheet for each indicator in the Planning Matrix.

DIMP Indicator Reference Sheet
for Objective.... Provide Objective number and statement from Planning Matrix here

Indicator: Provide indicator number and statement as presented in the Planning Matrix

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DESCRIPTION
Definition of indicator terms: Define concepts and terms used in the indicator statement. For example, in the indicator "Percent change in income generation for women in the program area from small business activities", small business activities are defined as all income generating activities in which women earn income.

Disaggregation: Describe how the data will be categorized, i.e. age, gender, income level, geographic region, species of plant/animal, etc.

Baseline: Provide the baseline measurement for this indicator and explain how it was derived. Please report baselines and targets using both percentages and integers where feasible.

DATA COLLECTION
Method(s): Describe the methods used to collect the data, i.e. email random sample survey, pre and post-testing of all trainees at their village sites, on-site product evaluation by clients, organizational self-assessment.

Tools: Describe the tools that will be used to collect data, i.e. survey questionnaire, interview guide, Likert-based rating sheet, DOSA guide.

Size and characteristics of the population: For each method or tool employed, describe the number of individuals or groups from which data will be collected and the characteristics of the population being sampled, i.e. 100 micro-credit clients, five ecoregion offices located in two countries, six foundations receiving capacity building assistance.

Data collectors: Identify the person(s) responsible for actually collecting the data, i.e. home office staff, field office foresters, partner health volunteers, sub-contractors.

Frequency: State how often and when data will be collected at the field site level and how often and when it will be received by the PVO and its partners.

DATA VERFICATION, ANALYSIS, AND REPORTING
Data verification: Describe how the validity, reliability, and accuracy of the data will be ensured and who will take responsibility for verification.

Data analysis: Describe the dimensions used to analyze data, including comparison of actual performance with targets, control groups, previous similar programs, or regional sector

performance; use of questions relating to key issues or concerns; or re-aggregation of data to determine effects on sub-populations.

Data reporting: Describe how the information collected and lessons learned will be communicated to the PVO and NGO communities as well as to other stakeholders, i.e. reports, publications, newsletters, conference presentations.

Data use: Identify the decisions and processes which will be informed by the data and the resulting analytical findings, i.e. methods of technical service delivery, management processes, advocacy processes.

Figure B2. Example of a Completed Indicator Reference Sheet Template

DIMP Indicator Reference Sheet

for Objective 6. Strengthen PVO, NGO, and community-based organization partners' ability to identify and assess conflicts, while developing culturally sensitive mechanisms for conflict management.

Indicator: 6.2. Percent (number) of organizations (PVO, NGO partners, CBOs) using one or more conflict management strategy.

DESCRIPTION

Definition of indicator terms:

Organizations refers to those groups participating in the project in which five or more members have received conflict management training.

Using one or more conflict management strategy refers to the active attempt of organizations to address a particular conflictive situation using at least one of the strategies taught through the project or adapted by them based on local practices.

Disaggregation: By types of organizations and different types of conflict management strategies discussed during training sessions.

Baseline: Total number of organizations participating in the project is expected to be 42. At the time of project initiation, two groups had received conflict management training and one group was using a strategy to manage a conflictive situation. The baseline is 5%(2 organizations).

DATA COLLECTION

Method(s): Staff administered pre- and post-training questionnaires, semi-structured interviews, and focus group interviews. These will be carried out starting no less than 3 months after participants receive training.

Tools: Survey questionnaires, interview and discussion guides,

Size and characteristics of the population: All individuals from which data is gathered will have attended conflict management training. For each NGO or CBO that received training, at least one focus group will be convened and at least two identified group leaders will be interviewed. All training participants will be administered pre- and post-training assessments. The exact number of participants cannot be determined, but is expected to be between 300-360.

Data collectors: PVO staff will be assisted by NGO staff in administering pre- and post-training assessments. Interviews and focus groups will be handled by PVO staff.

Frequency: Data will be collected four months prior to mid-term and EOP and will be communicated with partners and CBOs within two months of collection.

DATA VERFICATION, ANALYSIS, AND REPORTING

Data verification: PVO in-country staff will supervise data collection. The PVO headquarters M&E specialist and a PVO partner will assist in the design of data collection instruments. Where possible, some interviews will be conducted with opposing parties in the conflicts to which conflict management strategies were applied.

Data analysis: The PVO regional office will synthesize and analyze data collected in the field. Analysis will measure the frequency of use of conflict management strategies and which conflict management tools are most frequently selected. It will assess whether conflict management training increases the capacity of members, staff, and managers to manage points of conflict that may bar project progress or future development progress. It will also measure the value of and need for specific types of conflict management training.

Data reporting: Mid-term and final evaluation reports and debriefings.

Data use: Results will be used to assess the value of conflict management training for the management of local conflicts and to assess the change in the ability of local partner organizations to manage conflicts related to resource management. Results will be used in the design of further training and support, and to inform the design of future programs dealing with conflict management.

APPENDIX C

Planning Matrix Illustrations

The Planning Matrix summarizes the main results-oriented objectives, indicators, baselines, targets, measurement methods, and activities of a NGOSSP program. Table C1 illustrates the format recommended by PVC-ASHA. Tables C2 and C3 provide examples of a matrix entry using one objective of a program. The PVO and partners may modify the matrix template if necessary. For example, the matrix may be tailored to a specific program design or to fit an organization-wide format already in use. If the matrix format is modified, the format utilized must contain all information requested by PVC-ASHA. The matrix information should be linked to succinctly explain how the planned activities achieve the specific objectives of the program.

Depending on the program design and the number of countries/regions in which the program will be implemented, the Planning Matrix may be based on one set of objectives or two or more objective sets, each specific to a country or regional program.

The completed matrix for each set of objectives should contain:

- A statement of the proposed program goal.
- Statements of the main results-oriented objectives relating to the NGOSSP goals of 1) strengthened operational, technical, and financial capabilities of the NGO sector, and 2) expanded linkages among NGOs and between NGOs and public and private sector institutions.
- Key indicators that will measure the outcomes of the activities carried out under each objective. ***Baseline measures and annual/mid-term and EOP targets should be provided for each indicator in the Planning Matrix***.
- A summary of data sources to be tapped to measure progress, methods of data collection, and frequency of collection; plus, summary statements on how the data will be reported and utilized.
- The main activities planned that will lead to achievement of each objective.

Definitions of Planning Matrix Elements

1. Goal:
A goal defines the long-term aim of the program. Although goal attainment may not be possible or verifiable within the life span of the program, the achievement of the program's more specific objectives should contribute to goal realization. A program typically has one goal; however, country-specific goals may be appropriate for some multi-country programs.

2. Objectives:

An objective precisely states a measurable result that will contribute to program goal attainment. An objective describes a planned change at the level of the individual, community, or organization that is targeted by the program. Programs usually have an array of objectives that can be ordered according to the type of effects/impacts desired. *Lower-level objectives describe outputs* such as the number of trainees trained, workshops held, publications produced, or families assisted. Lower-level objectives consist mainly of simple counts that are useful for program management purposes but provide little or no information about the extent and quality of changes made by the program. In contrast, *intermediate objectives describe outcomes* or targeted changes in the condition of program beneficiaries, while *higher level objectives describe results or the desired longer-term impacts* of the program.

PVC-ASHA recognizes that the grantee and its partners may need a large set of objectives to monitor program performance adequately. However, ***the Planning Matrix should include only a limited number of intermediate or higher-level objectives*** that will provide a clear idea of major outcomes and progress towards achievement of desired results.

3. Indicators:
An indicator is a precisely defined element that can be measured to determine the amount of change that has taken place in a person, group, product, or service. Indicators provide evidence of whether or not program targets are met and stated objectives are or are not achieved. Good indicators are direct, valid, reliable, objective, one dimensional, adequate, and practical. It is of critical importance that indicators are selected to measure changes caused by the NGOSSP activities, as opposed to measuring changes that are attributable to other causes.

The utility of an indicator can be enhanced by breaking down or disaggregating the data into relevant groups, e.g. gender, age, or income. Indicators are usually clearly quantifiable. Lower-level indicators may take the form of milestones, i.e. signifiers of progress such as "manual completed," or "website established". ***The majority of indicators chosen for the Planning Matrix should measure intermediate and higher level outcomes or results. Each indicator of the Planning Matrix should be presented with a baseline measure and annual/mid-term and EOP targets***. (For further information see "Performance Monitoring and Evaluation TIPS 1-15 at http://www.dec.org/evals.html)

4. Measurement and Data Management Methods:
This section describes the measurement processes and management methods that will be used to report progress made toward the achievement of each objective. Specifically indicate in summary form 1) data sources to be used, 2) methods of data collection, 3) frequency of data collection, 4) tools/procedures for storing, reporting, and utilizing findings.

5. Activities:
Activities include all planned operations, tasks and actions that will directly contribute to achievement of objectives. Activities should be timely, appropriate, practical, cost effective, and efficiently coordinated. The matrix should summarize the main activities for each objective.

Table C1. Planning Matrix Format Recommended by PVC-ASHA

Goal: Define the long-term aim of the program			
Objectives State the specific goal-oriented outcomes or results your proposed program expects to achieve over its life cycle.	**Indicators** Concisely define the measures of assessing progress toward achieving each stated objective. The number of indicators per objective is to be determined by the PVO. Provide a baseline, annual/mid-term and EOP targets for each indicator.	**Measurement and Data Managment Methods** Provide data sources, methods of collection, frequency of collection, and tools/procedures for storing, reporting, and utilizing findings.	**Activities** Outline the major actions, tasks, or operations planned for achieving each objective. The number of activities per objective is to be determined by the PVO.
1. Objective statement	1.1 Indicator for Obj. 1 Baseline, Targets 1.2 Indicator for Obj. 1 Baseline, Targets 1.3 Indicator for Obj. 1 Baseline, Targets	❑ Data source(s) ❑ Methods of collection ❑ Frequency of collection ❑ Tools/Procedures	❑ Activity for Obj. 1 ❑ Activity for Obj. 1 ❑ Activity for Obj. 1 ❑ Activity for Obj. 1
2. Objective statement	2.1 Indicator for Obj. 2 Baseline, Targets 2.2 Indicator for Obj. 2 Baseline, Targets 2.3 Indicator for Obj. 2 Baseline, Targets	❑ Data source(s) ❑ Methods of collection ❑ Frequency of collection ❑ Tools/Procedures	❑ Activity for Obj. 2 ❑ Activity for Obj. 2 ❑ Activity for Obj. 2

Table C2. Example of a Planning Matrix Entry for One Objective: Microfinance Example

Goal: Build sustainable, self-governing micro-finance institutions (MFIs)			
Objective	**Indicators**	**Measurement and Data Managment Methods**	**Activities**
1. Increased operational and financial capacity of MFI partners.	1.1 %(#) MFIs that establish functioning boards of directors Baseline: 10%(4), Mid-term: 25%(10), EOP: 80%(32) 1.2 %(#) MFIs that develop and implement business plans Baseline: 15%(6), Mid-term: 35%(14), EOP: 85%(34) 1.3 %(#) MFIs that increase by 10% over the previous year, loan capital raised through fundraising events, corporate investments, grants, or contracts Baseline: 15%(6), Mid-term: 25%(10), EOP: 40%(16) 1.4 %(#) MFIs that have achieved financial self-sufficiency Baseline: 5%(2), Mid-term: 15%(6), EOP: 25%(10) *Where 100% = 40 MFI members of the Federation of Microfinance Institutions*	❑ Use MFI quarterly statistics and performance reports as data sources. ❑ Conduct with FMIFI staff and MFI staff, baseline, mid-term and EOP organizational assessments that use participatory methods combined with newly developed measurement tools, and circulate reports with recommendations among MFIs. ❑ Develop program MIS using a database to store MFI indicator data. ❑ Analyze key indicator data trends quarterly and report trends in newsletter distributed to MFI community in country.	❑ With partners and stakeholders, conduct organizational assessments of MFIs. ❑ With business development experts, provide training for MFIs in: - Product development - Fundraising - Business planning - Financial management - Governance - Operations management. ❑ Distribute manuals, other relevant publications, and training materials to MFIs. ❑ Provide demand-led technical assistance using short-term technical experts, if necessary.

Table C3. Example of a Planning Matrix Entry for One Objective: Natural Resource Example

Goal: Promote the sustainable integration of livelihood development and natural resource management in the Jaljale Himal and Rasuwa regions of Nepal.

Objective	Indicators	Measurement and Data Managment Methods	Activities
3. Strengthen local community capacities for organizational and technical management of medicinal and aromatic plants (MAPs). Hypothesis: Strengthened local capacities for MAP management will result in increased MAP conservation and enhanced livelihoods.	3.1 %(#) community organizations that develop and implement plans with MAP objectives. *Total # of community organizations in work area equals 108.* Baseline: 0/0, mid-term: 30%(32), EOP: 65%(70) 3.2 % increase in income generation from MAP cultivation. Baseline: 0, mid-term: 40%, EOP: 60% 3.3 % change in MAP collection from community forest and on-farm area under cultivation. *For on-farm cultivation* Baseline: avg % from sampling quadrants (TBD), mid-term: +15%, EOP: +20% *For community forest collection* Baseline: avg % from sampling quadrants (TBD), mid-term: -15%, EOP: -20%	Measurement: ❑ Key informant questionnaires, semi-structured interviews group and individual interviews, focus groups ❑ Minutes and records from meetings ❑ Direct on-farm and forest observation ❑ Inventories of MAP porter loads (every 6 months) ❑ Randomly selected sample plots and transects to measure yield rates, growth rates and survival rates Management: ❑ PVO will resample MAP indicators and compare with baseline data annually ❑ PVO project managers will summarize findings, conclusions, unanticipated benefits, and recommendations in the project's annual report ❑ HQ M&E Manager will aggregate and present data in Annual Performance Report	❑ Conduct technical and organizational training in: - Sub-sector market analysis & assessment - MAP cultivation and sustainable harvesting - Value-added processing - Group formation and networking - Office management skills - Legal awareness - Government relations ❑ Establish revolving fund programs ❑ Conduct exposure tours ❑ Design and distribute training and harvest manuals ❑ Develop species specific indicators (e.g. regeneration, coppiced stumps, new seedlings)