USAID

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

GUIDELINES FOR DEVELOPING A DETAILED IMPLEMENTATION PLAN

FOR

MATCHING GRANT PROGRAMS

Revised: November, 2002

Table of Contents

LIST OF ACRONYMS

CA	Cooperative Agreement
CDIE	Center for Development Information and Evaluation
DIP	Detailed Implementation Plan
EOP	End of Project
HQ	PVO Headquarters (including PVO field offices if relevant)
LOP	Life of Project
M&E	Monitoring and Evaluation
MG	Matching Grants
MIS	Management Information System
NGO	Recipient Country Non-Governmental Organization
PDM	Program Development and Management Division/PVC
PMP	Performance Monitoring Plan
PRA	Participatory Rapid Appraisal
PVC	Office of Private and Voluntary Cooperation
PVO	U.S. Based/Affiliated Private Voluntary Organization
SOW	Statement of Work
USAID	United States Agency for International Development

I. INTRODUCTION

The DIP forces us to articulate, structure and identify our key objectives, activities and targets and to summarize what we will achieve in terms of institutional capacity building over the LOP. The DIP serves as a useful monitoring tool to guage our progress and accountability in achieving our stated objectives.
-- John Magistro, International Development Enterprises, 2002

The DIP must be thought of as an ongoing process. It does not end with the submission of the DIP. It should be viewed as a baseline document that is constantly referred to in program implementation. The reporting and evaluation should be represented as an integral part of the DIP process from the beginning, so that it is really perceived as a living document.
-- Philip Walsh, Mercy Corps Program Manager in Nicaragua, 2001

The Detailed Implementation Plan

All Private Voluntary Organizations (PVOs) awarded Cooperative Agreements (CA) in 2002 by the Office of Private and Voluntary Cooperation's (PVC) are required to submit a Detailed Implementation Plan (DIP) to PVC, six months after signing their CAs. The approved DIP will satisfy in part, the substantial involvement elements in the CA.

The CA and the DIP provide the basis for planning, monitoring and evaluating the achievements of the PVO's program. After signing the CA, the PVO should prepare the DIP in collaboration with implementing partners, PVC and other key stakeholders, i.e. beneficiaries. PVC encourages the PVO to consider translating either the entire DIP or its summary (for example, the planning matrix) into applicable country language(s).

The DIP preparation period provides a "window" for the PVO and its partners to conduct baseline studies, focus groups and other types of research and information gathering activities at headquarters (HQ), field offices and program sites. This data may then be used to make final adjustments to the overall program design. The DIP serves as the foundation for developing other program management tools, especially for planning, monitoring and evaluation.

Purpose of the DIP

The DIP refines and builds on the program design proposed in the PVO's application. The DIP provides a detailed blueprint of how the proposed program will be implemented and managed during the grant period. It is an important management tool for the PVO, its partners and PVC.

The objectives of the DIP are to:

- Use baseline information to specify, refine or revise original objectives, activities, indicators and targets (subject to justification and PVC approval during the DIP review) for PVO HQ, country offices and local partners.
- Prioritize and schedule activities over the life of the project (LOP).
- Specify indicators and targets against which progress will be measured during the mid-term review and final program evaluation.
- Outline the organization's performance monitoring plan and program evaluation plan for the project.
- Clarify the roles and responsibilities of implementing organizations and create a shared stakeholder vision and ownership of project results.

Example 1 below illustrates how the DIP differs from the original program application.

Example 1: How the DIP Differs from the Program Application

If the PVO's application states that the project will train local staff toward improving their capacity to implement a component of the project, then the DIP needs to provide specific information on training needs and resources, training management and how the effects or impact of training on individuals and organizations will be measured.

The DIP should describe:

- How the PVO identified the performance gap that the training will address.
- What data was collected to establish a baseline, target training needs and objectives, and the implications of this data for the proposed training approach?
- The links between training and institutional strengthening, identifying the non-training related obstacles to increasing individual and organizational performance.
- Overarching training strategy, targets, indicators and the approach to post-training monitoring and evaluation that will document the changes that have occurred as a result of training.
- A LOP training schedule.

II. DIP SUBMISSION, REVIEW AND REVISIONS

DIP Submission Guidance

The PVO should submit 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 Word97.

<u>The DIP should be addressed to the PVC program officer managing the grant and mailed or delivered to the address below:</u>

USAID/DCHA/PVC
The Program Development and Management Division,
1300 Pennsylvania Avenue, NW, Room 7.6D, RRB
Washington DC 20523-7600
Tel. (202)-712-1438, (202)-712-1626, (202) 712-1539

<u>Note:</u> Packages cannot be left at the RRB lobby reception desk. A courier must contact PVC for pickup from the USAID Desk at the RRB 14th Street entrance. The courier needs a picture ID to enter the RRB.

DIP Review Process

A draft of the planning matrix only, should be submitted electronically to your PVC Program Officer four months after the CA is signed. The PVC program officer managing the grant will review this draft and provide feedback. If necessary, the PVO will revise the matrix in accordance with USAID's planning, monitoring and evaluation standards.

A completed DIP is due six months after the effective date of your CA. Following submission of the completed document, the PVO and PVC officer will jointly decide how to review the DIP. This review for example, could take the form of a consultative meeting arranged by the PVC Program Officer. This consultative meeting provides an opportunity for PVC, the PVO, and technical specialists from other USAID offices to discuss the proposed implementation plan. In some cases, it may be necessary for the DIP to be reviewed by an external technical specialist prior to the consultative meeting.

If a consultative meeting is used to review the DIP, the PVO will have an opportunity to make a brief presentation on the DIP. This will be followed by a general discussion. The Program Design and Management (PDM) Chief or Program Officer will summarize the discussion and any proposed revisions or requests for additional information. Plan approximately two hours for this meeting.

Approval of the DIP is the launch point for the program. The PVO, PVC and relevant partners should use the DIP to manage their programs and to revise the DIP as necessary throughout the life of the program to reflect what is actually happening in the program. As stated earlier, the DIP is a planning, management and monitoring tool for PVC, the PVO and its partners.

After the DIP is submitted for approval, it will either be:

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

<u>The DIP's relevance and utility to the PVO and partners including PVC will be assessed during the mid-term and final evaluations as well.</u> Questions guiding mid-term and EOP DIP reviews should be included in the evaluation scope of work.

DIP Revisions

PVC recognizes that DIPs may have to be updated in response to unforeseen circumstances that affect program implementation. All proposed DIP revisions need to be submitted in writing and approved by the PVC program officer. If these revisions involve changing the main program objectives and design significantly, it may be necessary to seek approval from USAID's Office of Procurement as well. 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 submitted.

III. DIP FORMAT

- The DIP report must be legible and printed on standard, letter size (81/2" by 11") paper;
- The body of the DIP should not exceed 35 pages. Appendices should not exceed 25 pages;
- Use Times New Roman 12 point font for the DIP text. Tables may be done using a 10 point font; and
- Include a table of contents and a complete list of acronyms.

The DIP must contain information for HQ and each implementing country for the PVO's MG program. Reduce repetition through cross-referencing.

The DIP comprises four main sections:

Section A: Executive Summary
Section B: Program Design
Section C: Program Management
Section D: Required Appendices

The DIP's cover page should include: the PVO's name; CA number; CA beginning and end dates; country sites; and the names and positions of all those involved in writing the DIP. For the main body of the DIP, use the format, headings, subheadings and numbering system in Sections A, B and C as a guide for completing the DIP.

Section A: 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 your organization's vision or strategic plan.

Section B: Program Design

In this section, the applicant should discuss the overall program design and the implications of the baseline studies and situational analysis for program objectives, indicators, targets and 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.

Baseline Studies

Baseline assessments mark the logical beginning of a program's planning process and form the foundation of its monitoring and evaluation system. The purpose of doing a baseline study is to:

- Collect pre-intervention data that will be compared to annual, mid-term and end-of-project data to judge program outputs, outcomes and results during the mid-term review and the final evaluation;
- Test and refine indicators that will be used to monitor the program; and
- Set targets for key indicators over the LOP.

Since the baseline data on the key indicators is used to estimate change over the LOP, as indicated by data gathered in the future, the methods used for gathering this data have to be carefully selected in advance. These methods should be used consistently in order to meet indicator criteria such as adequacy, validity, objectivity, reliability, practicality and cost effectiveness (see "Planning Matrix Illustrations" in Annex A. For more information on preparing indicators refer CDIE Performance Monitoring and Evaluation TIPS #6: "Selecting Performance Indicators," http://www.dec.org/evals.cfm#1).

In addition to the baseline study, the DIP provides an opportunity for the PVO to update the situational analysis and conduct other studies that will assist in:

- Tailoring its original program design, strategies and activities to each program site and identify site specific opportunities and constraints;
- Gathering more detailed information on relevant attributes of the beneficiary populations;
- Identifying 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 use a range of qualitative as well as quantitative research methods that are best suited to gathering information relating to their program objectives. These methods should be capable of reliably measuring change over time.

B1 Overall Program Approach

Outline the general approach to program implementation that connects HQ and the country programs. If the PVC-funded project is a part of a larger program discuss the linkages relevant to implementation.

B2 *Program Objectives, Indicators, Targets and Activities*

This section should describe the main objectives, program model(s), and main activities to be implemented and the findings of baseline assessments.

For PVO HQ and each country program:

- Describe main results oriented program objectives, program model(s) and indicators, targets and corresponding activities. The main objectives should reflect the PVO and its partner plans for advancing organizational capacity building, technical interventions, partnerships and program sustainability.
- Identify objectives, indicators and activities stated in the application that have been changed in the DIP. Explain the reasons with reference to baseline findings, situational analysis or other studies.
- Describe methods used to gather baseline data, such as, organizational assessments, client/beneficiary needs assessments, special surveys.
- Discuss key baseline study findings and the implications of these findings for the program model(s), objectives, proposed activities, indicators and targets. Specify organizational levels to be affected and functions that will be enhanced.
- Highlight strategies for developing the organizational capacities of partner organizations, such as, individual NGOs, networks, coalitions.
- Discuss constraints and problems likely to be faced during implementation.
- If training is a significant component of project activities, outline the training approach, performance gaps and other problems addressed, and target trainee categories.

Note: See Annex B - SAMPLE ORGANIZATIONAL DEVELOPMENT AREAS and the EDC/Pact organizational self-assessment methodology (DOSA - see **www.edc.org/INT/CapDev/dosapage.htm**).

Additional Information

Program sites:

- Identify geographic, political, infrastructural and cultural challenges, opportunities, constraints and problems that are likely to affect proposed program outcomes, including types of competition, conflict situations or potential natural disasters;
- Identify in-country resources, including indigenous practices that can become program assets; and
- Attach a map (with a scale) for each proposed program in an appendix.

Beneficiaries:

- 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).

Other providers:

- Identify other relevant NGOs and other service providers operating in each area and discuss their potential for supporting, complementing or mainstreaming the systems you establish.

B3 Partnership Plan

Describe the roles and responsibilities of major partners for program planning, implementation, monitoring, evaluation and disseminating results.

- In the appendices, attach a copy of jointly developed and signed partnership agreements that clearly define the PVO-partner roles and responsibilities.
- Describe how the partnerships will be managed over the LOP in the context of constraints and opportunities;
- Discuss the relationships the program plans to build with other community leaders, service providers and advocacy organizations over the LOP, including other PVOs, NGOs, networks and coalitions, businesses, government agencies, and in-country technical specialists;
- Discuss methods used to prepare the DIP with partners and list all stakeholders who were involved.

B4 Plan to Achieve Sustainability

Define what 'sustainability' means from the perspective of your program and partners. Describe the program's overall sustainability approach and the program elements/ functions that are to be sustained in the context of constraints and opportunities.

<u>If the following issues have not been already addressed in Section B2:</u>

- Provide sustainability objectives, indicators, targets and activities. Discuss how the program's capacity building and training objectives support the sustainability objectives.
- Describe the analysis conducted to establish your sustainability strategy and summarize the key findings.
- Discuss the implications of this analysis for the activities planned to address sustainability. Include a discussion of the assumptions and constraints (e.g. socio-economic and political trends and cultural factors) upon which your sustainability strategy is built.

B5 Planning Matrix

For HQ, and each country, consolidate the main results oriented program objectives, activities, indicators, baseline data and targets (described in Section B2) in an updated Planning Matrix. See Appendix A for "Sample Planning Matrix" template and examples. The planning matrix should also state baseline data in actual measures and LOP annual/mid-term, EOP targets for each indicator.

B6 Performance Measurement

B6.1 Performance Monitoring Plan

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 to be used to determine if the implementation process is on schedule and targets are being met.
- Discuss:
  - 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.

Attach the program's summary performance monitoring plan (PMP).
See Annex C for the template and examples.
Helpful information on preparing PMPs 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 (see www.usaidresults.org)

B6.2 Program Evaluation

The PVO is responsible for budgeting and conducting both the mid-term program evaluation (5 year grantees) and the final evaluation (all grantees). Costs for the evaluations should be included in the DIP program budget. The PVO in consultation with PVC should develop the schedule and scope of work for the evaluations at the appropriate time.

Outline your organization's approach to implementing a mid-term evaluation and a final evaluation. For each program objective (or cluster of objectives):

- Describe plans for reviewing program implementation and data in the mid-term and impact assessment during the final evaluation.
- Provide an estimate of the costs and a timeline for conducting the evaluations.
- Discuss the data collection methods that are likely to be used.
- Indicate how data will be aggregated across program sites and countries.
- Identify those responsible for organizing the evaluations.
- Discuss your partners' roles in the evaluations.

B7 Information Dissemination

Discuss the information dissemination methods your organization will develop to make sure your offices, partners and the development community has access to the "best practices" that are culled from this program.

Section C: Program Management

C1 Human Resources and Organizational Structure

This section describes the management structure for the program.

- Provide the names, titles, brief position descriptions (management roles/responsibilities) of key PVO and implementing partner program personnel including those "to be recruited." Attach short resumes (maximum 1 page) of key personnel highlighting their relevant training and experience;
- Attach an organizational chart listing the key positions in the program, including HQ, country offices and partners.
- Provide the names and titles of key staff. Indicate if 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.
- Describe the program's supervisory system. Outline the responsibilities and decision-making powers of (i) HQ staff and (ii) country nationals in managing the program.
- Discuss styles of management, communication and the approach to resolving conflict with partners.

C2 Contingency Planning for Disasters, Conflict and Security

- Outline your contingency plans to address natural disasters and security issues (for example, safe sites, transport and evacuation strategies, etc.).
  For more information on security issues see:

www.usaid.gov/hum_response/ofda/files/pvoguide.pdf (page 55).
- Discuss any activities the program will undertake to mitigate conflict.

C3 Financial Management

In this section, describe the overall program financial management plan, including:
- Any changes to program costs estimated in the application, include a revised budget with your DIP. The revised budget should be submitted on forms 424 and 424A with supporting information on all cost changes.
- Estimated cost per beneficiary (if different from the application estimate, provide reasons).
- Organizations responsible and methods for funds transfer and disbursement.
- The mechanisms for tracking funds and ensuring accountability.
- The logistical challenges or foreseeable weak links in the financial plan as well as the contingency plans.

C4 Work Plan

- Attach a Work Plan for HQ and each country prepared in collaboration with implementing partners. Each Work Plan should provide a time-line and work schedule of activities for the entire period of the program. Make this plan more detailed for the first 2 years, and broader for the remaining years. Include a calendar of major activities, events and benchmarks for monitoring implementation.
- Discuss challenges and constraints likely to be faced in implementing this plan.

Section D: Required Appendices

Please ensure that your DIP includes the following appendices:

- A clear map of each proposed program area with a scale;
- Signed copies of agreements with partners;
- Program organizational structure, illustrating listing the key positions in the program, including HQ, country offices and partners;
- Short resumes (maximum 1 page) of key staff;
- The Performance Monitoring Plan (see Annex C for template)
- If updated, budget tables; and
- Work plan(s)

Resources

- 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* (see www.usaidresults.org)

Annex A

PLANNING MATRIX ILLUSTRATIONS

The planning matrix summarizes the MG program's main results oriented objectives, indicators and activities with corresponding baseline data and targets. Annex A,Table 1 illustrates the format recommended by PVC. Tables 2 and 3 provide examples. However, the PVO and partners may modify this matrix if necessary. For example, the matrix maybe modified to tailor it to a specific program design, or to make it easier to understand. The matrix information should be linked coherently to succinctly explain how the program's activities achieve specific objectives.

A completed Planning Matrix should include a table for PVO headquarters (HQ) and one for each country site. Each table should contain:

- A statement of the proposed program goal.
- Primary results category or categories addressed by each objective.
- Statements of the main results oriented objectives that reflect one or more of the following program's results categories: organizational development, technical interventions, partnerships, and sustainability.
- Key indicators that will measure the outcomes of each objective. <u>Baseline data and targets should be provided for each indicator in the planning matrix</u>.
- Summarize data sources, method of data collection and frequency of collection.
- The sequence of main activities that combine to achieve each objective.

PLANNING MATRIX ELEMENTS

1. Goal:

A goal defines the long-term aim of the program. While 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 toward goal realization.

2. Results Categories:

The results categories represent PVC's capacity building priorities: organizational development, technical interventions, partnerships and sustainability. In the first four matrix columns, check the primary results category or categories addressed by each objective and its corresponding elements.

Organizational Development (OD): Objective primarily addresses results to be achieved in developing an organization's intrinsic institutional capacities, such as strategic planning, staff training, portfolio diversion (see Annex B).

Technical Interventions (TI): Objective primarily addresses the goods and services to be delivered to beneficiary populations.

Partnerships (PA): Objective primarily addresses how the PVO will form and strengthen working relationships with collaborating implementers.

Sustainability (SU): Objective primarily addresses how the program will be continued beyond the current grant period.

3. Objective:

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 described. <u>Lower-level objectives describe outputs,</u> such as, the number of trainees, workshops, publications, or families receiving food aid. Lower-level objective 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, <u>intermediate objectives describe outcomes</u> or targeted changes in the condition of program beneficiaries, while <u>higher level objectives describe results</u> or the desired longer-term impact of the program.

PVC recognizes that the grantee and its partners may need a larger set of objectives to monitor program performance adequately. However, <u>the planning matrix should include as main objectives, only a limited number of intermediate or higher-level objectives</u> that will give PVC a clear idea of major outcomes and results achieved (or not achieved).

4. Indicators:

An indicator is a precise measure of change that has taken place in a person, group, product or service. Indicators provide evidence of whether program targets have been met and stated objectives are achieved or not achieved. Good indicators are direct, valid, reliable, objective, unidimensional, adequate, and practical. It is important to make sure that an indicator measures change caused by the MG program and reflects progress made toward achieving program objective(s).

The usefulness of an indicator can be enhanced by breaking down or disaggregating data by relevant groups, for example, by gender, age or income group. Indicators are usually clearly quantifiable. Lower-level indicators may take the form of milestones (signifiers of progress such as "Manual completed," or "Website established.").

However, the planning matrix should include select indicators that measure intermediate and higher level objectives. The Planning Matrix should also state the baseline data and targets for each indicator.

(See "Performance Monitoring and Evaluation TIPS 1-15 at http://www.dec.org/evals.html)

5. Methods:

Measurement and data management methods describe data sources, frequency of data collection, participation in M&E by stakeholders and participants and tools/procedures for storing and reporting data.

6. Activities:

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

Table 1: Suggested Planning Matrix Format *(Please note that this format can be modified if necessary by the PVO in consultation with its PVC Program Officer)*

Goal: *Define the long-term aim of the program*								
Check primary results category/categories addressed by each objective (see key below)				***Objectives*** *State the specific goal-oriented outcomes or results your proposed program expects to achieve over its life cycle.*	***Indicator*** *Describe measures for assessing progress toward achieving each stated objective.* ***(See "Performance Monitoring and Evaluation TIPS 1-15 at http://www.dec.org/evals.html)***	***Measurement and Data Management Methods*** *State data sources, frequency of data collection, data collection methods, and procedures for documenting and using findings.*	***Activities*** *Outline sequentially, the set of major actions, tasks, operations, planned for achieving each objective.*
OD	**TI**	**PA**	**SU**				

Primary Results Category Key:

OD = Organizational Development: Objective primarily describes results to be achieved in the area of developing an organization's intrinsic institutional capacities, such as strategic planning, staff training, and portfolio diversion (see Annex B).
TI = Technical Interventions: Objective primarily describes the goods and services to be delivered to targeted beneficiary populations.
PA = Partnerships: Objective primarily describes how the PVO will form and strengthen working relationships with collaborating implementers such as individual NGOs, coalitions and networks.
SU = Sustainability: Objective primarily describes how the program will be continued beyond the current PVC grant period.

Table 2: Planning Matrix Example For A Country: Nigeria

Goal: Build sustainable, self-governing micro-finance institutions (MFIs)

Check primary results category/categories addressed by each objective				***Objectives***	***Indicator***	***Measurement and Data Management Methods***	***Activities***
OD	**TI**	**PA**	**SU**				
X		**X**		Increased operational and financial capacity of MFI partners	▪ % MFIs that establish functioning board of directors Baseline: 10%, Mid-term=25%; EOP=80% ▪ % MFIs that develop & implement business plans Baseline: 15%, Mid-term=35%; EOP=85% ▪ % MFIs that increase by 10% over the previous year, loan capital raised through fundraising events, corporate investments, grants or contracts Baseline=15%; Mid-term=25% EOP=40% ▪ % MFIs that have achieved financial self-sufficiency. Baseline: 5%; Mid-term: 15% EOP=25% *Where 100% = 40 MFI members of the Nigerian Federation of Microfinance Institutions (NFMFI)*	▪ Conduct with NFMFI staff and MFI staff, baseline, mid-term and EOP organizational assessments that using participatory methods combined with newly developed measurement tools, and circulate report with recommendations among MFIs ▪ Use MFI quarterly statistics and performance reports as data sources ▪ Develop program MIS using a database to store MFI indicator data Analyze key indicator data trends quarterly and report trends in newsletter	▪ With partners and stakeholders, conduct organizational assessments of MFIs ▪ With Nigerian 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
				Next Objective etc.			

Table 3: Planning Matrix Example For PVO HQ

Goal: **Institutionalize Environmental Assessments (EA) within Farmers For Prosperity (FFP)**							
Check primary results category/categories addressed by each objective				***Objectives***	***Indicator***	***Measurement and Data Management Methods***	***Activities***
OD	**TI**	**PA**	**SU**				
	X		**X**	Increased HQ support for carrying out environmental assessments (EA)and implementing recommendations	▪ % (number) of FFP projects that have completed environmental assessments using "Best practice methods."* Baseline: 8% (3); Mid-term: 20% (15); EOP: 40% (30) * Best practice methods = Implementing at least 8 of the 10 EA steps in the manual as rated by external committee ▪ % of FFP projects that are implementing at least 50% of the EA recommendations** Baseline: 1% (1); Mid-term: 16% (12); EOP: 36% (27) ** Annual rating by external committee of environmental specialists ——— *Where 100% = 75 FFP projects. An FFP project describes an agricultural extension program operating in contiguous territory that is funded at least 50% by FFP*	▪ EAs will be carried out by trained FFP and partner senior extension agents in collaboration with Agriculture Department of local colleges. ▪ External Committee members will rate EAs conducted by each project and assess implementation status annually. The Project Manager will submit these reports to HQ. ▪ FFP Project Managers will report on EA completion; summarize SOW, findings, conclusions and recommendations; status of implementing recommendations in the Project's annual report. ▪ HQ Natural Resources Manager will aggregate and present data in the FFP Annual Performance Report.	▪ Recruit 1 Natural Resources Management Specialist and 2 support staff members to manage process of developing EA manual, promote and assist EAs by FFP projects, report on status of EAs and implementation of recommendations ▪ Produce manual on how to carry out EA and take recommended next steps to develop sustainable farming systems ▪ Build support for EA by orienting Board members, Division Chiefs, Regional Managers, and other senior FFP staff on EA ▪ Train FFP agricultural extension agents on how to conduct EA and implement recommendations
				Next Objective etc.			

Appendix B

SAMPLE ORGANIZATIONAL DEVELOPMENT AREAS

Strategic Management Practices-- Strategic management practices are the series of activities that are carried out to ensure that programs reach planned and measurable performance goals within defined budget parameters. Organizations with strong capacity in this area feature a clearly articulated organizational vision, mission, and governance structure that guide management practices, program direction, and task implementation. This area includes, but is not limited to, an organization's capacity in the areas of teamwork, leadership, delegation of authority, decision-making structures including board development and governance, legal structure, and strategic/business planning.

Organizational Learning--this capacity area pertains to the evolution of the learning capacity of the organization. Learning organizations collect data from their field programs to document actual conditions and the effectiveness of interventions. They also document adjustments to their programs based on this monitoring data in order to institutionalize innovative strategies. Specific systems or processes are often set up to facilitate the integration of learning into the organization's management decisions. The use of monitoring and evaluation systems and the degree to which the information gathered affects management and programmatic decisions is one important capacity-building aspect of organizational learning.

These organizations routinely recognize the interdependence of the host PVO, its partners, and the beneficiary community, and involve all three components in addressing project challenges and making key decisions. Projects that exhibit strong capacities in the area of organizational learning have created environments where staff, partners, and community members feel comfortable expressing their opinions, even when they know those opinions may not be widely shared by other members of the group.

Portfolio Expansion--Successful organizations grow by expanding the scale and scope of their operations. Scale-up take place for example, when successful programs are replicated with appropriate adjustments in different areas of a country or in different countries. As organizations mature, diversify their expertise and generate more resources, they also develop by venturing into new sectors; establishing cross sector linkages; becoming active partners of networks and coalitions; and meeting the challenges of emerging problems such as, HIV/AIDS, globalization or conflict.

Use and Management of Technical Knowledge and Skills--this capacity area relates to the degree to which project staff, partners and beneficiaries possess and use the requisite knowledge and skills in the key technical areas needed to successfully implement the proposal. At an organizational level, this capacity area illustrates how effectively the organization utilizes and manages the knowledge and skills of its staff.

Financial Resource Management-- this capacity area pertains to how an organization manages its finances, including the availability of funds for planned activities, the status and effectiveness of financial management and accounting systems, the accuracy of financial data, budgeting, fundraising and other relevant financial issues. Organizations with strong capacities in this area regularly use established procedures to maintain revenue and expenses in balance; make accurate financial projections; include financial contingency measures which prevent operational disruptions; modify expenditures on a timely basis to account for revenue shortfalls; and disburse funds in a timely manner.

Human Resource Management--this capacity area relates to staff development and training, deployment, recruitment, compensation; performance appraisal; opportunities for advancement; grievance and conflict management processes; administrative personnel practices; supervision; allocation of tasks; and other areas related to the management of an organization's human resources. Organizations with strong capacities in human resource management routinely offer staff training that directly contributes to the achievement of the organization's priorities; provide opportunities for staff growth and development; and proactively address the issue of staff turnover.

Sustainability—this capacity area includes activities related to financial sustainability (a project's ability to continue under alternative funding sources or improved cost recovery when its original grant expires), strategic partnering practices (aligning with a local partner whose capacity can be built to the extent that it can eventually assume both financial and technical responsibility for the project. This area also includes coalition and network building); environmental sustainability (nature of a project's impact on the environment); political fit of the project into the host-government's vision; and cultural sustainability (how an organization's practices fit within the values, beliefs, and practices of the countries it works in).

Annex C

PERFORMANCE MONITORING PLAN

The DIP should present the main outcome level indicators used to measure the achievement of each main results oriented objective. The PVO is required to complete an Indicator Reference Sheet for each indicator described in Section B2 and in the Planning Matrix . Use the C1 template on the **next page** to prepare the indicator reference sheets. C2 provides an example of a completed indicator reference sheet.

The Indicator Reference Sheets submitted to PVC could be a part of a larger performance monitoring plan used by the PVO and partners. A performance monitoring plan (PMP) is an essential program management tool. It helps to specify, schedule, direct and coordinate performance monitoring tasks. These tasks are often complex, involving collecting, analyzing, reporting and using data. The timely and rigorous application of PMPs are critical for institutionalizing the monitoring and evaluation systems of PVO and partner organizations. Ideally, a PMP 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 PMP, especially when any aspect of the program or its design is changed. In any case it is recommended that the PMP be reviewed at least once a year. Mid-term and final evaluations also present opportunities for reviewing PMPs.

Building on the information provided in DIP Section 6.2, the PVO and its partners are encouraged to prepare for their own information and use, a detailed PMP that meets the monitoring and evaluation needs of the MG program (for USAID's guidance on preparing a PMP, see "The Performance Management Toolkit: A Guide to Developing and Implementing Performance Monitoring Plans, refer for example to "Appendix A – Worksheets: A8-9, www.usaidresults.org).

This PMP could include:

- Detailed definitions of indicators that measure the achievement of program objectives;
- Data sources and data collection methods, frequency, and timelines;
- Modes of data analysis, report contents, information uses and users;
- The roles, responsibilities and tasks of M&E personnel; and
- Plans for providing M&E training to staff and other relevant stakeholders;

Annex C *(continued)*

C1 Complete an Indicator Reference Sheet for each indicator described in DIP Section B2 and the Planning Matrix (for USAID's guidance on preparing a PMP see "The Performance Management Toolkit: A Guide to Developing and Implementing Performance Monitoring Plans," www.usaidresults.org)

DIP Indicator Reference Sheet
DESCRIPTION **Precise Indicator Definition:** Define, if necessary, concepts and terms used in the indicator description. For example, for the indicator "*Percent of trainees with increased industry knowledge,*" it is necessary to explain who the *trainees* are and what is precisely meant by "*industry knowledge.*" **Disaggregated by:** Describe how (if relevant) the data will be categorized, such as by gender or income group. **Objective:** State results oriented objective to be measured (as stated in Section B2 and the Planning Matrix).
DATA COLLECTION **Data Collection Method:** Describe the data collection method used, such as survey, tests, service and product evaluations by clients, scoring by committee. If relevant, describe the varian of the method. For example survey designs could differ depending on the sampling technique. **Number and characteristics of the population from which data will be collected** using a particular method, such as, micro-credit clients, population at risk in the program area, foundations receiving capacity building assistance. **Specific data collection tools to be used**. For example will a questionnaire be used? Will it be mailed, emailed or administered by an interviewer? **Data Collectors:** Identify person(s) responsible for actually collecting the data such as HQ M&E staff, field office M&E, partner staff, volunteers, sub-contractors.

DIP Indicator Reference Sheet
Frequency of Data Collection: How often and when will data be collected at the site level? How often and when will processed data be received by PVO HQ or principal partner(s).
DATA VERIFICATION, ANALYSIS & REPORTING **Data Verification:** How will the validity, reliability and accuracy of the data be ensured? Who will take responsibility for data verification? **Data Analysis:** Describe the dimensions used to analyze data, these may include: ❑ Analysis to answer particular questions relating to key issues and concerns. ❑ Analysis to compare actual performance against targets, baseline, previous year(s). ❑ Analysis to compare outcomes with control group, other program or sector performance. **Data Reporting:** Which reports and publications will present this indicator data and analysis? **Data Use:** What management decisions will be informed by this indicator data and analysis?

C2 The example below suggests how an Indicator Reference Sheet may be completed for an outcome oriented indicator.

DIP Indicator Reference Sheet Example

DESCRIPTION

Precise Indicator Definition: % of FFP projects* that are implementing at least 50% of the Environmental Assessment (EA) recommendations**.

*Where 100% = 75 FFP projects that have carried out an EA during 1999-2001.
A FFP project describes an agricultural extension program operating in contiguous territory, in Asia and Sub-Saharan Africa, that is funded at least 50% by FFP.

**EA recommendations = EA recommendations for increasing environmental quality that have been formally adopted by the FFP project i.e. documented by changed policy statements and included as activities and milestones in annual work-plans.

Disaggregated by: Indicator measures will be broken down by two categories of FFP programs: (a) Projects in 2002 that have operated for over 5 years (b) Projects in 2002 that have operated less than 5 years.

Objective: "Increased HQ support for carrying out environmental assessments and implementing recommendations" (See "Planning Matrix Illustrations" in Annex A, Table 2).

DATA COLLECTION

Data Collection Method: Composite rating of EA recommendation implementation status by committee of external environmental experts. One or more external committees will be appointed for each country that has FFP projects. Committee members will be selected jointly by FFP field offices and implementing partners. Each 3-member committee will comprise environmental specialists drawn from the in-country NGO sector, the government and international development community.

- **Number and characteristics of the population from which data will be collected:** Data (relating to implementation of recommendations) will be collected from all FFP projects that have conducted an EA during 1999-2001.

Specific data collection tools to be used: In assessing FFP EA recommendation implementation, the committee will use a standard guide that defines criteria, rating schemes, reporting format and procedure for determining a composite committee rating.

Data Collectors: The 3-committee members will conduct an evaluation of the FFP project assigned. FFP project staff will facilitate access to data sources such as data monitoring sheets, progress reports, extension agents and client farmers.

Frequency of Data Collection: Data will be collected and composite ratings determined three times over the LOP:
(1) A baseline assessment within 6 months of the start date of the PVC funded program;
(2) Six months before conducting the mid-term evaluation in Year 3; and
(3) Six months before the final evaluation in Year 5.

DIP Indicator Reference Sheet Example

DATA VERIFICATION, ANALYSIS & REPORTING

Data Verification: The FFP HQ Natural Resources Specialist and the FFP Project Managers will take responsibility for setting up the country based committees and ensuring data quality. To qualify, a committee member should have graduate training in subject(s) relating to environmental protection and at least 5 years of field experience in assuring environmental quality. It is assumed that the proven expertise of committee members, collaboration and peer pressure will ensure reliable assessments.

Data Analysis: Data analysis has 4 dimensions:

(1) Analysis to determine crosscutting factors that enable or constrain the implementation of EA recommendations.
(2) Analysis to compare actual composite ratings against baseline and targets for mid-term and EOP for each FFP project.
(3) Analysis to compare findings based on country/GNP Per Capita/region/eco-cultural zones.
(4) Analysis by duration of program implementation.

Data Reporting:

(1) A detailed report of the findings, conclusions and recommendations of the external committees, will be submitted by each committee Chair to the relevant FFP Project Manager and to the FFP HQ Natural Resources Specialist.
(2) The executive summary of each report and conclusions sheet will be included in each FFP project annual performance report.
(3) The findings, conclusions and recommendations of all committee reports will be synthesized in the "FFP EA Implementation Report(s)" for 2002, 2004 and 2006.
(4) Summaries of the "FFP EA Implementation Report(s)" will be included in the FFP Annual Reports for 2002, 2004 and 2006.

Data Use: The external committee reports will be used to improve FFP EA recommendation implementation procedures and monitoring methods on a country, region and eco-cultural zone basis. Criteria for funding projects will take into consideration project performance in carrying out recommendations.