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UNITED STATES OF AMERICA
AGENCY FOR INTERNATIONAL DEVELOPMENT
U.S.A.I.D. MISSION TO KENYA
OFFICE OF THE DIRECTOR



POST OFFICE BOX 30261
NAIROBI, KENYA

05 FEB 1993

Mr. Ketema Yifru
Director for East Africa
World Food Programme
P. O. Box 30218
Nairobi

Grant No. 968-2050-G-00-3013

Dear Mr. Yifru:

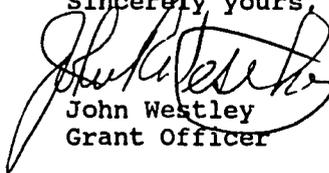
Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the Agency for International Development (hereinafter referred to as "A.I.D.") hereby grants to World Food Programme (hereinafter referred to as W.F.P. or the "Grantee"), the sum of \$22,760.00 to provide support for a food needs assessment in Kenya, as described in the Schedule of this grant and in Attachment 2, entitled "Program Description."

This grant is effective and obligation is made as of the date of this letter and shall apply to expenditures made by the Grantee in furtherance of program objectives during the period beginning with the effective date and ending June 30, 1993.

This grant is made to the Grantee on condition that the funds will be administered in accordance with the terms and conditions as set forth in Attachment 1 (the Schedule); Attachment 2 (the Program Description); Attachment 3 (the Standard Provisions); and Attachment IV (Expenditure Report); all of which have been agreed to by your organization.

Please sign the original and all enclosed copies of this letter to acknowledge your receipt of the grant, and return the original and all but one copy to me.

Sincerely yours,



John Westley
Grant Officer

Attachments:

1. Schedule
2. Program Description
3. Standard Provisions
4. Expenditure Report Sample Format

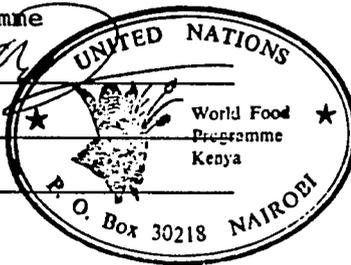
ACKNOWLEDGED:

World Food Programme

BY: W. M. O.

TITLE: _____

DATE: 10/02/93



FISCAL DATA

Appropriation : 72-11X1040
Budget Plan Code : EADX-93-29615-HG41
Project No. : 968-2050
Total Estimated Amount : \$22,760
Total Obligated Amount : \$22,760
Paying Office : USAID/Kenya Controller's Office
P. O. Box 30261, Nairobi

SCHEDULE

A. Purpose of Grant

The purpose of this Grant is to provide support for a food need assessment in Kenya, as more specifically described in Attachment 2 (the Program Description) of this Grant.

B. Period of Grant

The effective date of this Grant is February 5, 1993. The expiration date of this Grant is June 30, 1993.

C. Amount of Grant and Payment

1. A.I.D. hereby obligates the amount of \$22,760.00 for purposes of this Grant.

2. Payment shall be made to the Grantee in accordance with procedures set forth in Section F of this Schedule and Attachment 3 (the Standard Provisions).

D. Grant Budget:

The following is the Grant Budget. Revisions to this Budget shall be made in accordance with the Standard Provision of this Grant entitled "Revision of Grant Budget."

Total Grant Budget
(U.S. \$)

From February 5, 1993 to June 30, 1993

1. In-Country Travel	\$21,235
2. Data processing	500
3. Contingencies at 4.5%	<u>1,025</u>
TOTAL	\$22,760

E. Reporting and Evaluation

The Grantee shall submit a mid-term narrative and financial report covering the period February 5 - April 15, 1993. The Grantee shall submit a final narrative and financial report covering the entire grant period within 30 days of grant completion. Both reports shall include, but not be limited to, the following:

H

1. Narrative:

- a district by district report of findings and recommendations by the assessment team;
- discussion of both project implementation achievements and problems;
- recommendations for changes or adjustments to the project, including the budget, and recommendations for any future activities of a similar scope.

2. Financial:

- an Expenditure Report per the sample format attached as Attachment IV;
- appropriate narrative explanations for expenditures itemized on the Expenditure Report.

The Grantee shall prepare and submit 3 copies of each report required in this grant. The original shall be submitted to the Projects Office of the USAID/Kenya Mission. Two copies of each report shall be submitted to the Directorate for Policy, Center for Development Information and Evaluation, Development Information Division (POL/CDIE/DI), mailed to:

POL/CDIE/DI
ACQUISITION
Room 209, SA-18
Agency for International Development
Washington, D.C. 20523

The title page of all reports forwarded shall include a descriptive title, the author's name(s), grant number, the project number and title, contractor's name, name of the A.I.D. project officer, and the publication or issuance date of the report.

F. Special Provisions

Payment Provision: Direct Payment

Payments under this grant shall be made by USAID/Kenya Controller's Office directly to the suppliers of goods and services. Payments will be based on itemized invoices from the supplier's submitted by the Grantee to the USAID/Kenya Controller's Office within 5 working days of receipt by the Grantee. Each invoice submitted should be certified by the Grantee to be correct and appropriate for expenditure under this grant and indicate the budget line item to which it should be charged.

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World Food
Programme

Programa
Mundial
de Alimentos

Programme
Alimentaire
Mondial

برنامج
الأغذية العالمي

The Food Aid Organization of the United Nations System

EMOP 5046 EXPiii

6 January 1993

Ms. Carolyn Mutamba
USAID.
Nairobi

Dear Ms. Mutamba,

Subject: ASSESSMENT OF DROUGHT AFFECTED DISTRICTS

Enclosed please find a copy of a WFP proposal for an assessment of drought affected districts in Kenya.

We will highly appreciate if you can provide any of your staff to assist for about 3-4 weeks in this assessment. It would be preferable that the staff member deputed shall have background in any of the fields of nutrition, agriculture, livestock, economics, emergency relief and logistics.

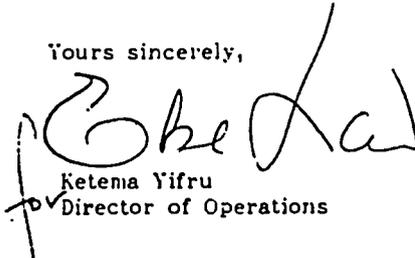
Please let us know by 11th January the name of your seconded personnel who can be an active participant or observer of the assessment.

As mentioned in the proposal, we are initially planning to start the assessment of 19 drought affected districts from the fourth week of January 1993. Your seconded staff is invited to the meeting scheduled at 10 a.m in our office at 22nd floor at K.I.C.C building on 13 January 1993 to discuss the proposal and prepare plan of action.

Please contact Mr. Aslam Khan, WFP Emergency Officer for any queries and suggestions.

Thanking you.

Yours sincerely,


Ketema Yifru
Director of Operations

cc: (see attached list)

P.O. Box 30218
Nairobi
Kenya

Telephone: 217506/9, 228776/9, 331857
Telex: 25433 WFP-KEN
Fax: 332900

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Methodology for Assessing Food Needs of Drought-Affected Populations

Objective of the Assessment

The immediate objective of the assessment would be to systematically update the numbers of drought-affected people requiring relief food in each district. The assessment would provide an up-to-date, empirical analysis of total food requirements and would help prioritize relief activities among districts. The assessments would also help identify mechanisms for targeting relief commodities to the most vulnerable population groups within each district. This rapid, field-based assessment would not determine the precise number or location of affected populations, but should provide an indication of the adequacy of the current drought response on a comparable, district-by-district basis.

This assessment would respond to the urgent need for reliable, consistent data about drought-affected populations across districts. However, because the drought situation is continuously evolving, an on-going monitoring process must be established as well. This assessment can be used to initiate this on-going process, establishing methodologies and identifying people in each district who can update the assessment on a regular basis. WFP should be in position to assume much of the responsibility for on-going monitoring when its Kenyan food monitors and UN volunteers are recruited and trained, expected by February-March. Monitoring (leading to improved targeting and the gradual phase-out of relief assistance) will become increasingly important over the next six to nine months as recovery is expected to begin.

Scope of the Assessment

The assessment should cover all 28 districts identified as "drought-affected" by the Government. It would be possible to divide the 28 districts into two groups, one to be assessed immediately (i.e., late January) and another to be assessed as soon as possible thereafter. The districts that should be covered in the first round would include those with the highest numbers of "beneficiaries," those with the greatest change in numbers of beneficiaries from 1992 to 1993, or those with conflicting data. Tentatively, the districts could be divided as follows:

Late January:	Turkana, Mandera, Wajir, Garissa, Marsabit, Samburu, Tana River, Kitui, West Pokot, Laikipia, Tharaka-Nitni, Muranga, Makeni, Machakos, Isiolo, Elgeyo Marakwet, Baringo, Meru
Late Feb:	Kiambu, Kilifi, Busia, Embu, Taita Taveta, Kajiado, Meru, Kwale, Nyandarua, Lamu.

A minimum of nine person assessment team would be sufficient. The team members would be seconded by UN organizations involved in drought relief, such as WFP, UNDP(ERU), UNICEF,FAO as well as Office of the President and any interested donor and NGO. The participants would be divided into three-person teams. Over a three week period, each team would cover five or six districts. It might be desirable to change the combinations of the teams halfway through the assessments so the same three people do not work together the entire time, and a wider exchange of views could be encouraged. District-based representatives of UNICEF, CARE or other NGOs could also join the teams in individual districts.

Methodology

The entire team would meet in Nairobi to discuss the scope of work and methodology. Some baseline data can be secured in Nairobi prior to the field assessments. This would include historical and current satellite imagery on vegetative cover and rainfall data from Department of Remote Sensing and Rural Surveys (DRSRS), the Regional Centre for Services in Surveying, Mapping and Remote Sensing (RCSMSRS) project and the Kenya Meteorological Department. Available baseline nutritional data from the Child Health and Nutrition Information System (CHANIS) should be gathered from the Ministry of Health. Census data, disaggregated to the divisional level if possible, should also be acquired.

To ensure that the assessments produce information that can be quantified and compared across districts, information should be collected on a standardized set of indicators, using pre-designed reporting forms. These forms would not be questionnaires designed for interviewing respondents, but would be used in two ways: 1) for team members to record statistics such as food and livestock prices, anthropometric data, rainfall, food distributions and stocks; and 2) for recording the teams' collective assessment of indicators such as pasture and livestock condition, agricultural production and water supply, based on discussions with key informants and personal observations.

The Watermark Development Group (the consulting group managing the Turkana Drought Contingency Planning Unit) has developed a useful drought assessment methodology that could be used as a basis for these forms. Several sections should be expanded to capture necessary data. WFP has circulated the form developed by Watermark to the districts and has started to use them on its ad hoc field visits. WFP has developed a useful model for food distribution reporting, although there has been little compliance from the districts. All of the forms should be field tested before the assessment begins.

The reporting forms, drafts of which are attached, would include:

- monthly food distributions: date, commodity and quantity received; dates, commodity, quantity and site of distribution; number of beneficiaries; losses and stock balance at the end of the month. A complete distribution report should be compiled for the most recent month. For previous months, the quantity received and distributed, and the number of

beneficiaries would be collected. This should include both general ration commodities and supplemental foods.

- **nutritional assessments:** all available nutritional assessments would be recorded. Information would be gathered from hospitals, NGOs, MCH clinics, etc. The forms would include the date and location of the nutritional assessment, type of measurement used and sample size. Historical and current information should be sought, so trends can be detected.
- **food and livestock markets:** any available time series with price data and quantities traded should be secured. If no data can be found, the teams should encourage the local famine committee or NGOs to begin collecting data and provide standardized formats.
- **other quantifiable indicators:** including rainfall measurements, livestock production and mortality rates, human morbidity, marketing board purchases and sales, etc.
- **trend assessments:** this form would summarize the team's collective assessment of the current situation in each district. A range would be used to compare each indicator to "normal," e.g., excellent, normal, poor, very poor. Indicators assessed with such ranges would include rainfall, water sources, vegetation and rangeland, livestock production, mortality and sales, harvest estimates, crop conditions, consumption changes and population movements including any change in beneficiary figure. An important part of this report would be space for listing geographic areas (divisions or locations) within the district that show an exceptional divergence from "normal."

The first four reporting forms would record quantifiable data that would be collected from government departments, NGOs and other groups active in the districts. One team member could focus on gathering data on food distributions, another on nutritional assessments and the third on markets and other quantifiable data. The final reporting form would be completed jointly by the three person team at the conclusion of each district visit. Based on interviews, data collected and field observation, the team members would be expected to reach consensus on status of each of the trend indicators.

Analysis of the Results

Before the assessments begin, it will be important to have procedures in place for ranking indicators and analyzing results. This will allow information collected in the field to be processed very rapidly, with maximum transparency. Data management software should be prepared and data processing personnel should be trained. The analysis should yield three different types of information: 1) absolute food needs - a revision in the numbers of beneficiaries in each district; 2) relative food needs - a prioritization among districts based on immediacy of needs; 3) intra-district food needs - opportunities for targeting, either

geographically or socio-economically. All of the team members should participate in the analysis for two to three days after completion of the field visits.

The first use of the information should be to revise the current WFP estimate of the number of beneficiaries in each district. Key data for this analysis will be a comparison between the target number of beneficiaries and the actual food distributions; and an evaluation of recent nutritional trends. Where possible, a comparison of the current nutritional situation with baseline nutritional data should be made. This analysis should indicate, in broad terms, the validity of the current beneficiary numbers. For example, if the current WFP allocation list includes 100,000 beneficiaries in a district, but actual food distributions have been sufficient for only 25,000 people over the past few months and the nutritional situation is stable or improving, it would be possible to draw a tentative conclusion that the estimate of 100,000 beneficiaries is too high. Additional information should be considered to refine the estimate, such as food price trends, water and livestock conditions. A system for ranking and weighting these additional indicators would be developed, drawing on the experience of the Turkana DCPC and others.

The second step should be to identify districts where the current response has been insufficient, that is, the districts with the greatest proportional difference between food needs (based on the revised number of beneficiaries) and actual distributions. Nutritional data would also be compared across districts. This step in the analysis is very important because some of the most severely affected districts might have lower numbers of total beneficiaries than other, less severely affected districts. Districts could then be prioritized, both according to total requirements and the immediacy of needs.

Further analysis of the information should help with targeting food aid, either geographically within a district or based on socio-economic characteristics of the most vulnerable groups. Lists of divisions or locations that have been most severely affected by drought should be compiled for each district, based on the trend assessment forms. Little time will be available for field visits to the areas identified, but follow-up monitoring efforts can focus on these areas in greater depth. For districts with geographically discrete 'pockets' of drought, this disaggregated information on affected areas, combined with census data at a divisional level, could allow estimation of total district requirements.

Budget:

Each organization participating in the assessment would be expected to provide lodging and per diem for their staff members. Each team should travel with at least one laptop computer, which should be available on loan from participating organizations. The only budget item requiring outside support would be travel costs. The budget presented below is based on the assumption that all air travel will require commercial charters and road travel will require vehicle rental. These costs would be reduced if participating organizations can provide aircraft or vehicles for the assessment.

BUDGET

Plane charters (6 trips, avg \$3000/trip)	US\$	18,000
Three 4WD vehicles, 10 days rental each	US\$	4,000
Fuel for vehicles (1000 liters)	US\$	260
Data processing specialists, 2x2 weeks	US\$	500
TOTAL	US\$	22,760

Informally approached, USAID indicated their willingness to participate actively in the exercise and possibly meet the above budgetary requirements, including the hiring of outside specialists, if available. Other donors such as EEC etc, will also be approached for their own contribution, either in cash or in kind.

Sample Itinerary and Timing

	Team 1	Team 2	Team 3
Day 1	NBI-Turkana (air)	NBI-Marsabit (air)	NBI-Samburu (air)
Day 4	Turkana-West Pokot (air)	Marsabit-Mandera (air)	Samburu-Isiolo- Samburu (road)
Day 8	W. Pokot-Baringo (air)	Mandera-Wajir (air)	Samburu-Laikipia (air)
Day 11	Baringo-Elgeyo Marakwet (air)	Wajir-Garissa (air)	Laikipia-Tana River (air)
Day 14	E. Marakwet-NBI (air)	Garissa-NBI (air)	Tana River-Nairobi (air)
Day 15-20	NBI-Tharaka Nithi-Meru (road)	NBI-Muranga-Kitui (road)	NBI-Makueni- Machakos (road)

After the first round of assessments are completed, one week in Nairobi would be dedicated to data processing and analysis. The full team would be required for the last two or three days of the week. Subsequently, additional assessments can be carried out in districts included in the second group. Most of these districts are accessible by road from Nairobi. One additional air charter might be required for the districts of Coast Province (Mombasa, Kwana, Taita Taveta and Lamu).

This is an estimate of the cost of the flights. More precise cost estimates are being prepared by the charter company. For some trips (such as those originating in Nairobi on Day 1), it would be possible to use a 10-seat aircraft to deposit each of the three teams in their districts. For other trips between districts, a smaller craft might be used, moving one team at a time, with return trips to Nairobi for fueling. Once better information is available, the itinerary can be reworked to reduce costs by maximizing use of the 10-seat plane.

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APPENDIX 5C

STANDARD PROVISIONS FOR
GRANTS TO PUBLIC INTERNATIONAL ORGANIZATIONS

1. Allowable Costs
2. Refunds
3. Revision of Grant Budget
4. Termination Procedures
- * 5. U.S. Officials Not to Benefit
6. Nonliability
7. Amendment
8. Notices

1. ALLOWABLE COSTS (JULY 1988)

a. The grantee shall be reimbursed for costs incurred in carrying out the purposes of this grant which are reasonable, allocable, and allowable.

(1) Reasonable shall mean those costs that do not exceed those which would be incurred by an ordinarily prudent person in the conduct of normal business.

(2) Allocable shall mean those costs which are necessary to the grant.

(3) Allowable shall mean those costs which are reasonable and allocable, and which conform to any limitations set forth in this grant.

b. Prior to incurring a questionable or unique cost, the grantee is encouraged to obtain the grant officer's written determination as to whether the cost will be allowable.

2. REFUNDS (JULY 1988)

a. The grantee is encouraged to utilize interest bearing accounts where feasible and shall remit to AID all interest earned on funds provided by AID

b. Funds obligated by AID but not disbursed to the grantee at the time the grant expires or is terminated shall revert to AID, except for such funds encumbered by the grantee by a legally binding transaction applicable to this grant. Any funds advanced to but not expended by the grantee at the time of expiration or termination of the grant shall be refunded to AID except for such funds encumbered by the grantee by a legally binding transaction applicable to this grant.

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c. If, at any time during the life of the grant, or as a result of final audit, it is determined that AID funds provided under this grant have been expended for purposes not in accordance with the terms of this grant, the grantee shall refund such amount to AID

3. REVISION OF GRANT BUDGET (JULY 1988)

a. The approved grant budget is the financial expression of the grantee's program as approved during the grant award process.

b. The grantee shall immediately request approval from the grant officer when there is reason to believe that within the next 30 calendar days a revision of the approved grant budget will be necessary for any of the following reasons:

(1) To change the scope or the objectives of the project and/or revise the funding allocated among project objectives.

(2) Additional funding is needed.

(3) The grantee expects the amount of AID authorized funds to exceed its needs by more than \$5,000 or five percent of the AID award, whichever is greater.

c. Except as required by other provisions of this grant specifically stated to be an exception from this provision, the Government shall not be obligated to reimburse the grantee for costs incurred in excess of the total amount obligated under the grant. The grantee shall not be obligated to continue performance under the grant (including actions under the "Termination Procedures" provision) or otherwise to incur costs in excess of the amount obligated under the grant, unless and until the grant officer has notified the grantee in writing that such obligated amount has been increased and has specified the new grant total amount.

4. TERMINATION PROCEDURES (JULY 1988)

This agreement may be terminated, in whole or in part, by either party at any time upon 30 days written notice of termination. Upon receipt of and in accordance with a termination notice from the grant officer, the grantee shall take immediate action to cease all expenditures financed by this grant and to cancel all unliquidated obligations if possible. Further, upon receipt of notice of termination, the grantee shall not enter into any further obligations under this grant. Except as provided below, no further reimbursement shall be made after the effective date of termination. The grantee shall within 30 days of the effective date of termination repay to the Government all unexpended AID funds which are not otherwise obligated by a legally binding transaction applicable

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to this grant. Should the funds paid by the Government to the grantee prior to the effective date of termination be insufficient to cover the grantee's obligations in a legally binding transaction, the grantee may submit to the Government within 90 days after the effective date of termination a written claim for such amount. The grant officer shall determine the amount(s) to be paid by the Government to the grantee under such claim in accordance with the "Allowable Costs" provision of this grant.

* 5. U.S OFFICIALS NOT TO BENEFIT (JULY 1988)

No member of or delegate to the U.S. Congress or resident U.S. Commissioner shall be admitted to any share or part of this grant or to any benefit that may arise therefrom.

6. NONLIABILITY (JULY 1988)

AID does not assume liability for any third party claims for damages arising out of this grant.

7. AMENDMENT (JULY 1988)

The grant may be amended upon mutual consent of the parties by formal modifications to the basic grant document or by means of an exchange of letters between the grant officer and an appropriate official of the grantee.

8. NOTICES (JULY 1988)

Any notice given by AID or the grantee shall be sufficient only if in writing and delivered in person, mailed, or cabled as follows:

To the AID grant officer, at the address specified in the grant.

To grantee, at grantee's address shown in the grant or to such other address designated within the grant.

Notices shall be effective when delivered in accordance with this provision, or on the effective date of the notice, whichever is later.

9. PUBLICATIONS (JULY 1988) *

(This provision is applicable when publications are financed under the grant.)

a. If it is the grantee's intention to identify AID's contribution to any publication resulting from this grant, the grantee shall consult with AID on the nature of the acknowledgement prior to publication.

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b. The grantee shall provide the AID project officer with one copy of all published works developed under this grant and with lists of other written work produced under the grant.

c. Except as otherwise provided in the terms and conditions of the grant, the author or the recipient is free to copyright any books, publications, or other copyrightable materials developed in the course of or under this grant, but AID reserves a royalty-free nonexclusive and irrevocable right to reproduce, publish, or otherwise use, and to authorize others to use the work for U.S. Government purposes.

* 10.

AUDIT AND RECORDS (STANDARD) (JULY 1988)

(This provision is applicable when AID is not the sole contributor to the grant program.)

The grantee shall maintain books, records, documents, and other evidence in accordance with the grantee's usual accounting procedures to sufficiently substantiate charges to the grant. The Grantee confirms that this program will be subject to an independent audit in accordance with the Grantee's usual auditing procedure, and agree to furnish copies of these audit reports to AID along with such other related information as may be requested by AID with respect to questions arising from the audit report.

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GRANT NO: 968-2050-G-00-3013

EXPENDITURE REPORT FOR PERIOD TO

APPROVED BUDGET LINE ITEMS	TOTAL GRANT AMOUNT (KSHS) OR (US \$)	CUMMULATIVE EXPENDITURES THROUGH PRIOR REPORTING PERIOD	ACTUAL EXPENDITURES THIS PERIOD	CUMMULATIVE EXPENDITURES TO DATE	AMOUNT REMAINING UNEXPENDED
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1. In-Country Travel

2. Date Processing

3. Contingencies at 4.5%

TOTAL _____

I CERTIFY TO THE BEST OF MY KNOWLEDGE AND BELIEF THAT THIS REPORT IS TRUE IN ALL RESPECTS AND THAT ALL DISBURSEMENTS HAVE BEEN MADE FOR THE PURPOSE AND CONDITIONS OF THE GRANT AGREEMENT.

TYPED OR PRINTED NAME AND TITLE

SIGNATURE

DATE: _____