

FOOD FOR PEACE INFORMATION BULLETIN

MEMORANDUM FOR ALL FOOD FOR PEACE OFFICERS AND AWARDEES

TO: USAID/W and Overseas Distribution Lists; Food for Peace Awardees

FROM: DCHA/Food for Peace/Director, Jeff Borns

SUBJECT: Monitoring and Evaluation Responsibilities of Food for Peace Multi-Year Assistance Programs Awardees

DATE: July 30, 2009

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I. Background and Purpose

The Office of Food for Peace (FFP) has an obligation to the federal government and the American people to ensure that Title II resources are used effectively and efficiently to achieve the best possible food security outcomes and that food aid programs continually learn from past experiences and improve their implementation. FFP and its awardees must measure progress towards the results identified to achieve foreign assistance objectives. Automated Directives System (ADS) 203, *Assessing and Learning*, describes performance management as the systematic process of monitoring the achievements of program operations; collecting and analyzing performance information to track progress toward planned results; using performance information and evaluations to influence decision-making about objectives and resource allocation; and communicating results achieved, or not attained, to advance organizational learning and tell the USAID story. Title II awardees are responsible for monitoring and evaluating their food aid program activities and objectives.

- Monitoring reveals whether desired results are occurring and whether assistance objectives' outcomes are on track by addressing the "what" of performance and using preselected indicators to measure progress toward planned results at every level of the Results Framework.
- Evaluation answers the "why", "why not" and the "what else" of performance; it is used on a periodic basis to identify the reasons for success or lack of it, to assess effects and impacts, or to indicate which, among a range of program or project and activity alternatives, is the most efficient and effective. For Title II programs, evaluation is also used to assess the extent to which a program is meeting outcome and impact level objectives.

This FFP Information Bulletin (FFPIB) describes the key monitoring and evaluation (M&E) responsibilities of Title II Multi-Year Assistance Program (MYAP) awardees and potential

awardees, providing additional detail to the existing policies. Complementary information on Title II M&E can be found in other FFPIBs, the *Title II Proposal Guidance and Program Policies* and in Food and Nutrition Technical Assistance II (FANTA-2) publications. See section III of this FFPIB for a list of relevant resources.

II. Monitoring and Evaluation Responsibilities of Food for Peace Awardees:

A. At the proposal writing stage:

As part of the proposal submission, potential awardees are responsible for developing an M&E plan, which is a system to collect and analyze data and modify the activities based on lessons learned. An M&E plan includes:

1. A results framework or other type of logic model which represents the food aid program's theory of change by laying out the activities and outputs that will lead to short, medium and long term outcomes and objectives;
2. The indicator performance tracking table (IPTT) which includes performance indicators (at the impact, outcome and output levels) linked to the food aid program proposal's objectives, and baseline and target values for each indicator (estimated);
3. Definitions for each indicator listed in the IPTT, the data collection methodology and frequency (ideally presented in a performance management plan (PMP) table);
4. A general implementation plan, describing activities that correspond to the resources requested in the proposal in order to meet the proposed food aid program objectives and targets over the life of the proposed food aid program;
5. A detailed implementation plan (DIP), for the first year of the proposed food aid program, describing activities that correspond to the resources requested in the proposal in order to meet the proposed food aid program objectives and targets; and
6. A schedule of M&E events, describing procedures and timing for analysis and use of performance data in order to modify activities based on lessons learned.

B. At the start up stage

At the beginning of food aid program implementation, awardees are required to:

1. Attend the FFP M&E workshop to refine their M&E plan, focusing on the IPTT, required indicators, and preparations for their baseline study. Baseline studies are required of all MYAPs; their purpose is to gather baseline values on outcome and impact indicators as well as provide needed information to the awardee about their target population so that they may better design interventions;
2. Submit the M&E documents revised during the M&E workshop to FFP within one month after completion of the workshop and prior to starting the baseline study;
3. Submit the baseline study plan to the agreement officer's technical representative (AOTR) in FFP/Washington (FFP/W) for review prior to baseline study data collection. The following information should be submitted:
 - a. Results framework or logic model for the food aid program;
 - b. Draft statement of work (SOW) for an M&E consultant, if one is being used;

- c. List of the indicators to be collected through the survey and their definitions;
 - d. Description of the survey type, sample design, sample universe, methods to be used, planned level of statistical precision and power, sample size calculation, sampling frame to be used and respondent selection procedures;
 - e. Draft questionnaires and field manual;
 - f. Plan for supervisor and enumerator training and questionnaire pre-testing; and
 - g. Analysis plan, including estimation procedures to be used (weighting and other adjustments), tabulation plan for the indicators, any plans to analyze by subgroups, etc.
4. Conduct the baseline study after FFP reviews the draft baseline documents.

The baseline study:

1. Collects the baseline value of the MYAP's impact indicators and other information that will help the food aid program refine its implementation approaches;
2. Must include a quantitative household survey that is population based; complementary qualitative methods are encouraged;
3. Must be designed to be comparable to a final evaluation;
4. Must be completed within the first year of food aid program implementation, before implementation of on-the-ground activities begin; it is ideally conducted during the hungry season;
5. Does not have to be external and/or independent, meaning food aid program staff may conduct all aspects of the study;

The baseline study report:

1. Should be sent to the AOTR and should include confidence intervals along with point estimates, a full description of the survey design type and sampling methodologies; questionnaires should be attached in an annex;
2. Is due within three months following the end of data collection; and
3. Preliminary baseline indicator values can be submitted in the IPTT of the first annual results report of the food aid program, even if final results are not yet available.

C. Throughout the Life of the Award

M&E is a continuous process that must be conducted throughout the life of the food aid program.

1. The following M&E tools must be submitted annually with the following documents:
 - a. Pipeline and Resources Estimate Proposal (PREP) (prospective):
 - i. Proposed modifications to the M&E plan, including IPTT indicators and targets, if applicable;
 - ii. The DIP for the upcoming fiscal year; and
 - iii. Environmental Status Report.
 - b. Annual Results Reports (retrospective):

- i. Narrative regarding progress made towards and status of results achievement, success stories and lessons learned;
 - ii. The completed IPTT for the fiscal year being reported on, with indicator values filled in;
 - iii. The DIP table, with an accounting of whether activities from the fiscal year being reported on were completed or not;
 - iv. The standardized annual performance questionnaire (SAPQ); data submitted within the SAPQ, as with other reporting mechanisms, are potentially subject to an annual data quality assessment conducted by FFP;
 - v. The tracking tables for beneficiaries and resources; and
 - vi. The baseline, mid-term or final evaluation study report, if applicable.
2. Mid-term evaluations must be carried out approximately halfway through the life of award. Mid-term evaluations:
 - a. Learn from successes and also acknowledge and learn from problems;
 - b. Assess implementation progress and roadblocks rather than focus on outcomes and/or impact;
 - c. Are not required for food aid programs lasting less than five years;
 - d. Are not required to be quantitative or population based; participatory qualitative assessments are encouraged;
 - a. Do not have to be external and/or independent, meaning food aid program staff may conduct all aspects of the study; and
 - b. Reports are due within three months following the end of data collection.

D. Final Evaluation

Final evaluations are summative studies that assess the awardee's progress in implementing its FFP activities and meeting its stated objectives. Final evaluations are required for all multi-year assistance programs (MYAPs) and must explain the degree of progress made since the baseline study was completed and underscore challenges and successes for the food aid program, substantiated with quantitative data from a population-based household survey. Final evaluation results are a factor in the review of any food aid programs proposed by the same awardee in the same host country.

Prior to final evaluation data collection, awardees are to submit their final evaluation plan to the AOTR for review. The following information should be submitted:

1. Results framework or logic model for the food aid program;
2. Draft SOW for the final evaluation team, including the external consultants who will lead the study;
3. List of the indicators to be collected through the survey and their definitions (comparable to the baseline survey);
4. List of the evaluation questions to be answered through the final evaluation study;
5. Description of the survey type, sample design, sample universe, methods to be used, planned level of statistical precision and power, sample size calculation, sampling frame to be used and respondent selection procedures (comparable to the baseline survey);

6. Draft questionnaires (comparable to the baseline survey) and field manual;
7. Plan for supervisor and enumerator training and questionnaire pre-testing; and
8. Analysis plan, including estimation procedures to be used (weighting and other adjustments), tabulation key for the indicators, any plans to analyze by subgroups, etc.

Awardees will conduct the final evaluation study after FFP reviews the final evaluation documents. The final evaluation study:

1. Collects impact indicators and other useful information;
2. Must include a quantitative household survey that is population based, complementary qualitative methods are encouraged;
3. Must conduct the quantitative survey portion at the same time of year that the baseline survey was done in order to be comparable, ideally during the hungry season;
4. Is no longer required to be conducted in the first quarter of the third year (for a three-year food aid program) or in the penultimate year (of a four-year or longer food aid program), from fiscal year 2010 onward; awardees can now arrange for an external evaluator to conduct the final evaluation study as close as possible to the expiration of the food aid program but in time to meet the due date for submission of the final evaluation study report (noted below), keeping in mind the time needed for study design, FFP review, consultant recruitment, data collection and analysis, draft report review and document finalization;
5. Must be external for reasons of independence, which means that the key evaluation team experts (the team leader and sectoral leads) should be external consultants hired by the MYAP. This team directs the evaluation and writes the evaluation report. MYAP staff may participate in the evaluation by drafting the evaluation questions and the evaluation design and by serving as members of the evaluation team, except for the leadership positions. MYAP staff may participate in data collection providing that enumerators do not collect data in the same geographic area where they carry out implementation.

The final evaluation study report:

1. Is to be written by the external team members. MYAP staff may review and comment on but not edit the externally written report. The MYAP's written reactions to the evaluation report can be attached as a separate section of the report.
2. Should be sent to the AOTR and should include confidence intervals along with point estimates, a full description of the survey design type and sampling methodologies; questionnaires should be attached in an annex;
3. Is due:
 - a. Upon expiration of the food aid program or no later than two months prior to the submission date of the new MYAP proposal (whichever comes first), if the awardee intends to submit a subsequent MYAP proposal; or
 - b. Upon expiration of the food aid program if the awardee is not submitting a subsequent MYAP proposal;

4. Preliminary results should be submitted with the annual results reports submissions, if finalized results are not yet available.

III. Monitoring and Evaluation Resources

The [ADS Series 200](#) covers USAID's programming policy. Programming policy guides the way in which USAID and its awardees plan and design programs to achieve development results, implement those programs and assess them. USAID's procedures and methods to plan, achieve, assess, and learn from its programs are covered in ADS 201-203 and the Mandatory References in 200.4.

1. ADS 200, [Introduction to Program Policy](#), provides an overview to the ADS Series 200.
2. ADS 201, [Planning](#), explains how USAID manages for long-term results and development impact, retaining rigorous internal management and documentation standards while collaborating with Department of State/Office of the Director of Foreign Assistance and other U.S. Government agencies on implementing a new foreign assistance policy agenda and reporting system; it also summarizes the Foreign Assistance Framework and its standardized program structure.
3. ADS 202, [Achieving](#), outlines the basic policy directives and required procedures used in achieving foreign assistance results with USAID-managed program and staff resources to help ensure that the development results that USAID seeks are obtained in a cost-effective and timely manner, consistent with applicable regulatory and accountability requirements.
4. ADS 203, [Assessing and Learning](#), describes USAID practices and standards used to determine how well assistance objectives are achieving their intended results. Potential awardees should consult ADS 203 closely for important information regarding the design of M&E plans.

The following is a short selection of the many useful publications available on the FANTA-2 website. Potential awardees should visit the [FANTA-2](#) website to learn more about M&E planning for food aid programs: www.fanta-2.org

1. Indicators for Assessing Infant and Young Child Feeding Practices: Part I Definitions http://www.fantaproject.org/publications/iycf_definitions2008.shtml
2. A Guide to Monitoring and Evaluation of Nutrition Assessment, Education and Counseling of People Living With HIV <http://www.fantaproject.org/publications/NAEC.shtml>
3. Household Food Insecurity Access Scale (HFIAS) for Measurement of Food Access: Indicator Guide, Version 3 http://www.fantaproject.org/publications/hfias_intro.shtml
4. Household Dietary Diversity Score (HDDS) for Measurement of Household Food Access: Indicator Guide, Version 2 http://www.fantaproject.org/publications/hdds_mahfp.shtml

5. Months of Adequate Household Food Provisioning (MAHFP) for Measurement of Household Food Access: Indicator Guide
http://www.fantaproject.org/publications/hdds_mahfp.shtml
6. Evaluating Title II Development-oriented Multi-Year Assistance Projects
http://www.fantaproject.org/downloads/pdfs/TN11_MYAP.pdf
7. Monitoring and Evaluation Framework for Title II Development-oriented Projects
http://www.fantaproject.org/downloads/pdfs/TN10_MEFramework.pdf
8. Title II Evaluation Scopes of Work
<http://www.fantaproject.org/publications/tn2.shtml>
9. Sampling Guide <http://www.fantaproject.org/publications/sampling.shtml>