

Designing Title II Multi-Year Assistance Programs (MYAPs) A Resource Manual for CRS Country Programs



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Designing Title II Multi-Year Assistance Programs (MYAPs)

A Resource Manual for CRS Country Programs



This manual is intended as an aid to Catholic Relief Services staff and partners developing Title II Food for Peace MYAP proposals. It cites a wide range of documents from a wide variety of organizations. Collectively, these provide information relevant to Title II programming, and a general understanding of this literature is essential to any effective proposal. The programming recommendations put forward in any individual document or by any individual organization do not necessarily reflect the policies or principles of CRS.

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Foreword

December 8, 2008

Dear CRS staff,

We are pleased to present to you CRS' Multi-Year Assistance Program (MYAP) Manual Designing Title II MYAPs - A Resource Manual for CRS Country Programs, and the corresponding workshop materials. These long awaited resource materials are designed to provide user friendly step-by-step guidance to CRS staff and partners who are designing USAID/Food for Peace (FFP) Title II MYAP proposals. More specifically, these materials have been updated to respond to USAID/Food for Peace's Strategic Plan for 2006-2010 aimed at reducing food insecurity in vulnerable populations and to reflect CRS' adoption of Integral Human Development (IHD) as an overarching framework for our work. FFP MYAPs are a major source of CRS' US government funding and a unique opportunity to provide integrated programming which can contribute to the realization of IHD among the communities we serve.

This manual is a revision of CRS' 2004 Development Assistance Program (DAP) Manual in response to requests from headquarters and field staff due to changes in FFP's strategy and the introduction of IHD within CRS. We believe that this manual will contribute to CRS' ability to ensure high quality programming. While this manual is directed to MYAP proposals, the subject is food security which is the basis of much of the development and emergency activities implemented by CRS. Additionally, many of the proposal development steps outlined in the manual, such as macro and micro assessments, Stakeholder Analysis, Problem Trees, Gap and Capacity Analyses, etc. are steps that most proposal processes require. As such, this manual can be a useful tool for designing proposals for a variety of interventions and donors, not just MYAP proposals alone.

The creation and release of this manual has been a long and involved process, so we want to express our thanks to all of those recognized in the Acknowledgements who worked on these materials for their dedication to making the MYAP Manual a comprehensive and useful tool. We would also like to thank USAID/Office of Food for Peace for their support through CRS' Institutional Capacity Building (ICB) Grant. Without it, this manual would not have been possible. We encourage all headquarters and field staff to take advantage of this resource in order to ensure that CRS conducts the highest quality food security programming possible. The people we serve deserve no less.

PQSD and OSD welcome any and all comments for improving this manual and related materials.

Regards,



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Designing Title II MYAPs: A Resource Manual for CRS Country Programs was developed by Jenny Aker, working with a team from the Program Quality and Support Department and the Overseas Support Department: Anne Sellers, Carrie Miller, and Bridget Rohrbough.

This manual and associated workshop materials are based on the *DAP Manual* developed by Jenny Aker during her tenure as the CRS West Africa Regional Office (WARO) Deputy Regional Director for Program Quality (DRD/PQ). The production of this manual and associated workshop materials was done over the course of three years. Special thanks goes to Janine Scott-Shines and the CRS Burundi staff for hosting a MYAP Planning Workshop in 2007, where many of the workshop materials were tested prior to developing this manual. The authors would like to acknowledge the time and effort of the following individuals who helped us develop, review, revise, and package this document.

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Acronyms

AAPD	Acquisition and Assistance Policy Directive
AED	Academy for Educational Development
AER	Annual Estimate of Requirements
AIDS	Acquired Immunodeficiency Syndrome
BMI	Body Mass Index
CBO	Community-Based Organization
CFW	Cash for Work
CHA	Community Health Agents
CIA	Central Intelligence Agency
COP	Chief of Party
COSA	Comprehensive Close Out Strategy Amendment
COSAN	Community Health Committees
CP	Country Program
CP	Community Plan
CR	Country Representative
CRG	Commodity Reference Guide
CRS	Catholic Relief Services
CRS/HQ	CRS Headquarters (Baltimore, MD)
CS	Cooperating Sponsor
CSI	Centre de Santé Intégré (IHC)
DAP	Development Assistance Program
DCHA/FFP	Bureau for Democracy, Conflict, and Humanitarian Assistance/Food for Peace
DME&R	Design, Monitoring, Evaluation and Reporting
DOS	Department of State
DRC	Democratic Republic of Congo
DRD	Deputy Regional Director
DRR	Disaster Risk Reduction
ECD	Health District Teams
ENA	Essential Nutrition Actions
EPPR	Emergency Prevention, Preparedness, and Response
EU	European Union
FAE	Food Assisted Education
FANTA	Food and Nutrition Technical Assistance
FAO	Food and Agriculture Office of the United Nations
FARN	Foyer d'Alimentation et de Réhabilitation Nutritionnelle
FEWS	Famine Early Warning System
FEWS NET	Famine Early Warning Systems Network
FFA	Food for Assets
FFW	Food for Work
FFE	Food for Education
FFP/W	Food for Peace/Washington
FFT	Food for Training
FY	Fiscal Year
GDP	Gross Domestic Product
GHA	Government Health Agent
GNP	Gross National Product
GON	Government of Niger

DESIGNING TITLE II MULTI-YEAR ASSISTANCE PROGRAMS

HDDS	Household Dietary Diversity Score
HFIAS	Household Food Insecurity Access Scale
HH	Household
HIPC	Heavily Indebted Poor Country
HIV	Human Immunodeficiency Virus
HN	Health and Nutrition
HOP	Head of Programming
IDP	Internally Displaced Persons
IEC	Information, Education, and Communication
IEE	Initial Environmental Examination
IEHA	Initiative to End Hunger in Africa
IFPRI	International Food and Policy Research Institute
IG	Non-Agricultural Income Generation
IGA	Income Generating Activity
IHC	Integrated Health Center (CSI)
IMA	Interfaith Medical Assistance
IMCI	Integrated Management of Childhood Illnesses
IPTT	Indicator Performance Tracking Table
IR	Intermediate Results
IRC	International Rescue Committee
ISDR	International Strategy for Disaster Reduction
KG	Kilogram
KM	Kilometer
KPC	Knowledge, Practices, and Coverage
LIFDC	Low Income Food Deficit Country
LOA	Life of Activity (Resource Request)
MAHFP	Months of Adequate Household Food Provisioning
MCHN	Maternal and Child Health and Nutrition
MICS	Multi-Indicator Cluster Survey
MQ	Management Quality
MQAT	Management Quality Assessment Tool
MT	Metric Ton
MUAC	Mid-Upper Arm Circumference
MYAP	Multi-Year Assistance Program
NEHA	Non-Emergency Humanitarian Assistance
NGO	Non-Governmental Organization
NICRA	Negotiated Indirect Cost Rate Agreement
NRM	Natural Resource Management
OMB	Office of Management and Budget
OSD	Overseas Support Department
OVC	Orphan and Vulnerable Children
PDI	Positive Deviant Inquiries
PEPFAR	President's Emergency Plan for AIDS Relief
PL 480	Public Law 480
PLHIV	People Living with HIV
PM	Program Manager
PMP	Performance Monitoring Plan
PO	Producers' Organization
PQ	Program Quality
PQSD	Program Quality Support Department

PRA	Participatory Rural Appraisal
PVO	Private Voluntary Organization
QA	Quality Assurance
RD	Regional Director
RFO	Regional Finance Officer
RRA	Rapid Rural Appraisal
RTA	Regional Technical Advisor
SCAP-RU	Système Communautaire d'Alerte Précoce-Réponses aux Urgences
SFP	School Feeding Program
SILC	Saving and Internal Lending Communities
SNC	Safety net Center
SO	Strategic Objective
SOW	Scope of Work
STD	Sexually Transmitted Disease
SYAP	Single-Year Assistance Program
TB	Tuberculosis
TBA	Traditional Birth Attendant
TDY	Temporary Duty
TEC	Technical Evaluation Committee
UN	United Nations
UNESCO	United Nations Educational Scientific and Cultural Organization
UNFPA	United Nations Population Fund
UNHCR	United Nations High Commission on Refugees
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
USAID/FF P	United States Agency for International Development/Food for Peace
USAID/FF P/W	United States Agency for International Development /FF P Washington Office
USDA	United States Department of Agriculture
VAM	Vulnerability Analysis Mapping
VDC	Village Development Committee
WARDA	African Rice Center
WARO	West Africa Regional Office
WatSan	Water and Sanitation
YC	Youth Council

About This Manual

Why This Manual?

In 2004, the first CRS *DAP Manual* was published with funding from the Institutional Support Assistance (ISA) award FAO-A-00-98-00046-00 to assist CRS field staff, partners and headquarters staff involved in the design, development, and implementation of Title II Development Assistance Programs (DAPs). Since its development, CRS has found the *DAP Manual* to be an invaluable tool to assist in the development of quality proposals thereby facilitating better program implementation, as well as achievement of results and impact.

Since the publication of the *DAP Manual* in 2004, however, there have been significant changes in the food aid environment, including a new *Food for Peace Strategic Plan for 2006-2010* and subsequent prioritization of 15 countries by Food for Peace (FFP), a decline in available food aid resources for development, and the introduction of the Integral Human Development (IHD) Framework into CRS programming. This manual updates the *DAP Manual* by taking into account this evolving food aid environment.

This manual is intended for CRS field staff, partners and HQ staff who are involved in the design, development and implementation of Title II Multi-Year Assistance Program (MYAP) proposals. MYAPs are one of two principal types of Title II food assistance provided through USAID's Office of Food for Peace. The other type is known as a single year assistance program (SYAP), a short-term response to a slow or quick-onset disaster or an ongoing emergency. The focus of this manual is on MYAPs, although many steps in the process may apply to SYAPs as well. This manual is meant to be used as a resource to familiarize users with Title II programs and the FFP strategy plan, to outline the recommended (and standardized) steps to develop such programs, and to provide some concrete and real-life examples of their applications.

This manual is not exhaustive in the area of food security programming, project design, monitoring and evaluation (M&E) or specific sectors. It is intended to complement other project design documents and technical manuals developed by CRS and other agencies.

How to Use This Manual

Manual Organization

This manual and the accompanying workshop materials were developed based on experiences of a number of country programs and the steps outlined in this manual are important for properly designing a MYAP. However, each country is different and users should adapt the materials as appropriate to meet specific country program contexts.

The manual is organized into three parts in the main text plus Annexes, a Glossary of Terms, and a Bibliography. Each part of the main text is comprised of several **chapters**, each of which is broken down into **sections**. **Part I** of the manual provides an overview of MYAPs, including the policy context for the MYAP, proposal guidelines, and food aid resources. **Part II** provides an overview of the phases and steps of MYAP proposal development, including the pre-planning steps. **Part III** describes the MYAP proposal development process, including conducting and analyzing assessments, determining sectoral and geographic priorities, developing sectoral interventions, determining resource needs, writing the proposal, and submitting the proposal to FFP. To help orient the reader, a step navigator bar is provided at the beginning of each step.

	Preplan	Action Plan	Conceptual Frameworks	Macro Assessments	Micro Assessments	Problem Tree	Gap and Capacity	Sectoral and Geographic	Sectoral Assessments	Sectoral Analyses	Project Strategies	Food Aid	Exit Strategy	Funding Decisions	Results Framework	Draft Proposal	Submit MYAP Proposal	Review, Revise, Resubmit
PRE	1.1	1.2	1.3	1.4	1.5	1.6	1.7	2.1	2.2	2.3	2.4	2.5	2.6	2.7	3.1	3.2	3.3	

Each chapter contains a list of **Additional Resources** which includes document citations and website links that provide more in-depth information on a particular topic.

The **Annexes** contain additional USAID/FFP and CRS resources for MYAP planning and development. FFP resources include its Expanded Conceptual Framework for Understanding Food Security and their MYAP proposal Evaluation Criteria. CRS resources include sample scopes of work, food security mapping exercise materials, and a list of available workshop PowerPoint presentations and other workshop materials that can be used by country programs over the course of MYAP development.

Users of this manual should not overlook the **Glossary of Terms** which contains definitions of important terms commonly used in Title II and food security programming.

The focus this manual is on the MYAP project design process, and it is intended to complement other CRS project design materials. This manual does not include information about the administrative, financial, and logistic processes that are an integral part of the MYAP proposal development. Country programs are encouraged to use the proposal development process as the first step in creating the strong communication linkages among programming, M&E, finance, administration and logistics staff that will be invaluable for effective MYAP implementation.

Key to the Icons

To assist users in document navigation, the following icons are provided in the document margins. The meaning of each one of these symbols is found below.

SYMBOL	DEFINITION	DESCRIPTION
	<p>Stop and Reflect</p>	<p>This symbol is used to identify a point where country programs should stop and reflect. Reflection should be based on the information provided in the manual along with the information gathered and analyzed by the country program up to that point.</p>
	<p>IHD Check</p>	<p>This symbol is used to indicate points in the MYAP design process where it would be useful to use the IHD conceptual framework to reflect on the analysis being conducted. Bringing the reader back to the concepts in the IHD conceptual framework can help spark additional ideas and considerations, as well as identify additional information needs and programming options.</p>
	<p>Review or Practice Exercise</p>	<p>This symbol is used to highlight review and/or practice exercises. These exercises and questions are a means to get the reader to think about and practice the concepts presented.</p>
	<p>Additional Information</p>	<p>This symbol is used to indicate points in the manual where additional information is provided. The information is important for the MYAP process but may not be part of an outlined step.</p>
	<p>Gender Check</p>	<p>This symbol is used to indicate points in the MYAP process where the country program should ensure—at a minimum—gender considerations are taken into account.</p>

Part I

Overview of MYAPs

Chapter 1

What Is a MYAP?

This chapter will cover the following topics:

- 1.1** The Policy Context for Title II MYAPs
- 1.2** The Purpose of MYAPs: Reducing Food Insecurity
- 1.3** MYAP Proposal Guidelines
- 1.4** Food Aid in the MYAP
- 1.5** Should We Submit a MYAP?
- 1.6** Additional Resources

1.1 The Policy Context for Title II MYAPs

Both the World Food Summit in 1996 and the Millennium Summit in 2000 set goals for reducing hunger by half between 1990 and the year 2015. Although significant progress has been made towards achieving the Millennium Development Goal (MDG) target of halving the proportion of the population who are undernourished, food insecurity still affects a significant portion of the world's population. Almost 800 million people in developing countries face chronic malnutrition, and 199 million children under the age of five suffer from acute or chronic protein and energy deficiencies.¹ As many as 82 nations fell into the category of low-income food-deficit countries (LIFDCs) in 2006, including 41 in Sub-Saharan Africa, 27 in Asia and the Pacific, four in Latin America and the Caribbean, seven in the Near East/North Africa and three in Europe and the Commonwealth of Independent States.²

Traditionally, the United States has provided assistance for the food insecure in a number of ways, including food aid and direct foreign assistance. One of these is the Title II program, one of the largest foreign assistance programs and the subject of this manual. Title II MYAPs have their basis in Public Law 480 (PL 480), which permits the U.S. to use its agricultural productivity to promote U.S. foreign policy by enhancing the food security of the developing world. A brief history of PL 480 is provided in Box 1.1.

Title II is a provision under PL 480 that provides food aid and cash resources to Private Voluntary Organizations (PVOs), commonly referred to as Cooperating Sponsors (CSs) by FFP, to implement activities to alleviate hunger and promote economic development. Managed by USAID's Office of Food for Peace (FFP), Title II programs currently fall under two categories: Single-Year Assistance Programs (SYAPs), which provide up to 12 months of funding in response to slow or quick-onset disasters and ongoing emergencies; and MYAPs, which provide multiple years of funding for complex emergencies, post-emergency transition situations and countries with chronic food insecurity. In Fiscal Year (FY) 2007, for example, 2.12 million metric tons (MT) in Title II food assistance directly benefited nearly 30 million people in over 30 countries.³

BOX 1.1 A BRIEF HISTORY OF PL 480

U.S. farmers were among those who were hit particularly hard during the Great Depression of the 1930s. In order to save farmers from economic ruin, the U.S. Congress passed legislation aimed at improving farm prices, establishing price supports, and restricting production. Despite these measures, prices of agricultural commodities continued to plummet and surpluses continued to accumulate.

Surplus production prevailed in the U.S. throughout most of the 1940s. In 1949, Congress passed the Agricultural Act of 1949, which enabled voluntary agencies to receive surplus commodities that would otherwise spoil. In July of 1953, Congress conducted hearings to consider a bill giving the President authority to use farm surpluses for famine assistance overseas. This bill evolved into PL 480 and was signed into law on July 10, 1954.

In general, the law states that the U.S. will use its agricultural commodities and local currencies to: 1) combat world hunger and malnutrition and their causes; 2) promote broad-based, equitable, and sustainable development, including agricultural development; 3) expand international trade; 4) develop and expand export markets for United States agricultural commodities; and 5) foster and encourage the development of private enterprise and democratic participation in developing countries.

1 FAO. 2005. *The State of Food Insecurity in the World 2005*. Rome: FAO. Available at <ftp://ftp.fao.org/docrep/fao/008/a0200e/a0200e.pdf>

2 FAO. 2006. *List of LIFDCs in 2006*. Rome: FAO. Available at <http://www.fao.org/countryprofiles/lifdc.asp>

3 Of the 2.13 million MT allocated via the Title II program in FY07, approximately 1.5 million MT were provided in emergency food aid, and 594,840 MT were provided in non-emergency food aid. USAID. 2008. *U.S. International Food Assistance Report 2007*. Washington, D.C.: USAID. Available at http://www.usaid.gov/our_work/humanitarian_assistance/ffp/fy07_usifar_final.2008.pdf

Title II funding priorities are grounded in USAID's 1995 *Food Aid and Food Security Policy Paper*.⁴ This paper sets forth the agency's policy for programming Title II resources to promote sustained improvements in food security. As outlined in the paper, USAID's priorities for Title II development programs are the improvement of household nutrition and increases in agricultural productivity in Sub-Saharan Africa and South Asia. While the policy paper outlines USAID's geographic and sectoral priorities for programming, the paper also affords CSs considerable flexibility in designing and programming interventions.

In addition to this policy paper, USAID/FFP's *Strategic Plan for 2006-2010* has identified specific geographic and thematic priorities for Title II programs.⁵ While the plan retains food security as the cornerstone of the Title II program, FFP has expanded its conceptual framework to make explicit the risks that constrain progress toward food security. Of note, USAID/FFP has put special emphasis on using Title II resources to reduce food insecurity for vulnerable populations via risk reduction. The strategic plan also states that the Title II program will focus on specific geographic priority countries, using criteria such as the percentage of children stunted, the percentage of the population living under a dollar per day, and the percentage of the population malnourished.⁶ A copy of USAID/FFP's Expanded Conceptual Framework for Understanding Food Insecurity is provided in Annex B.

1.2 The Purpose of MYAPs: Reducing Food Insecurity

As mentioned in Section 1.1., the key objective of the Title II program and USAID/FFP's 2006-2010 *Strategic Plan* is the reduction of food insecurity of vulnerable populations. The concept of food security is therefore central to MYAPs and a crucial element of the MYAP development process.

There are a wide variety of definitions of food security in use, including those provided by USAID, the Food and Agriculture Organization (FAO), the World Bank and the European Union (EU). In its 1992 *Policy Determination*, USAID defined food security as "when all people, at all times, have both physical and economic access to sufficient food to meet their dietary needs for a productive and healthy life."⁷ Although USAID/FFP's new strategic plan expanded its conceptual framework to include risk and vulnerability, this 1992 definition of food security is still used by USAID/FFP.

CRS' definition of food security is similar to that of USAID's and is provided in Box 1.2. A detailed overview of the food security framework is provided in Section 3.2.2.

BOX 1.2 CRS' DEFINITION OF FOOD SECURITY

All people at all times have physical and economic access to sufficient food and water to meet their needs for a productive and healthy life without undermining their future food security.

4 USAID. February 1995. *Food Aid and Food Security Policy Paper*. Washington, D.C.: USAID. Available at <http://www.usaid.gov/policy/ads/200/foodsec/foodsec.doc>

5 USAID/FFP. 2005. *Strategic Plan for 2006-2010*. Washington, D.C.: USAID.

6 As of 2006, USAID/FFP identified fifteen priority countries for the Title II program: Zambia, Madagascar, Niger, Ethiopia, Malawi, Liberia, Uganda, Chad, Guatemala, Bangladesh, Sierra Leone, Burkina Faso, Mozambique, Haiti, and Mauritania. To develop the list, FFP ranked countries with current MYAPs "based on a weighted average of the country's ranking under three food insecurity indicators: percentage of children stunted, percentage of population living under \$1 per day, and percentage of population undernourished. These three criteria were chosen because they addressed three aspects of food security—utilization, access and availability." (USAID/FFP. March 1, 2006. *Country Prioritization for Food for Peace Multi-Year Assistance Programs Proposal for Consultation*. Washington, D.C.: USAID.)

7 USAID. April 13, 1992. *Policy Determination-19. Definition of Food Security*. Washington, D.C.: USAID. This determination set the foundation for USAID's approach towards food security, which was further elaborated in USAID's 1995 Food Aid and Food Security Policy paper.

1.3 MYAP Proposal Guidelines

In order to obtain Title II resources for SYAPs and MYAPs, CSs are required to submit project proposal documents to USAID/FFP. USAID/FFP provides annual information related to Title II programs and proposals, including guidelines for the project proposal document, reporting requirements, and new or revised USAID/FFP policies and procedures. These documents are issued prior to the submission date of the MYAP proposal and are available on the USAID/FFP website.⁸

While USAID/FFP policy priorities are fairly consistent, there have been several important changes to the guidelines in recent years that are worth noting. The primary changes to the USAID Title II program include the following:

- ***The inclusion of MYAP Proposal Evaluation Scoring System***, which specifically outlines the criteria that USAID/FFP uses in evaluating Title II MYAPs. In recent years, USAID/FFP has included the MYAP Proposal Evaluation Scoring System in Annex A1 of the Title II guidelines, which provides the list of criteria and point system that will be used to evaluate Title II MYAP project proposals.⁹ Although USAID/FFP changes its evaluation criteria regularly, the FY08 evaluation criteria have been the most detailed and comprehensive.¹⁰ However, CRS country programs should review the Title II guidelines for each fiscal year to ensure that there have not been any significant changes to the evaluation criteria. The evaluation criteria for FY08 and FY09 proposals are included in Annexes C and D of this manual.
- ***The submission date of the MYAP***, which has shifted to the beginning of the calendar year (January/February). CSs are required to submit MYAP project proposal documents to USAID/FFP/Washington (USAID/FFP/W) and the appropriate USAID Mission in January of the calendar year prior to the fiscal year (FY) in which the project activities are expected to begin.¹¹ USAID Missions review MYAP proposals and submit comments to USAID/FFP/W within approximately 1-2 months of receipt of the proposal. USAID/FFP/W is then expected to reach a final decision on the project proposal (accept the proposal, deny the proposal or withhold a decision) within 120 days of submission of a complete document to FFP.
- ***The use of standardized indicators for particular sectors***, which can have important implications for the design and implementation of the program. This policy change is related to two memos issued by USAID/FFP in August 2007. In order to facilitate the comparison of data across Title II programs and sectors, USAID/FFP now requires that CSs report on a limited set of standard indicators, in addition to the program-specific indicators, in all MYAPs (and some SYAPs). While this issue will be discussed in greater detail in Chapter 8, CRS country programs should be aware of these changes before designing their MYAPs.
- ***The Strategic Objectives (SO) of MYAPs are expected to be consistent with the objectives in USAID/FFP's strategic plan.*** USAID/FFP's 2006-2010 strategy states that "MYAP proposals should prioritize program objectives, keeping them focused and limited in number and in context with the FFP strategy." Specifically, USAID/FFP would like to ensure that the MYAP program areas (Strategic Objectives) are consistent with the following components of the USAID/FFP strategic plan:
 - Human capabilities protected and enhanced;
 - Livelihood capacities protected and enhanced;

⁸ USAID/FFP. 2008. *PL 480 Title II Program Policies and Proposal Guidelines – Fiscal Year 2009*. Washington, D.C.: USAID. Available at http://www.usaid.gov/our_work/humanitarian_assistance/ffp/fy09_final_guidelines.html.

⁹ USAID/FFP. 2008. *PL 480 Title II Program Policies and Proposal Guidelines – Fiscal Year 2009. Annex A1- MYAP Proposal Evaluation Criteria*. Washington, D.C.: USAID. Available at http://www.usaid.gov/our_work/humanitarian_assistance/ffp/annexa1_final.doc.

¹⁰ In the FY09 Title II Guidelines, USAID/FFP changed the format of its Evaluation Criteria provided in Annex A.1. The criteria are not significantly different than those provided in FY07 and FY08, but are not as detailed.

¹¹ For example, a MYAP that will begin in FY 2010 (a start date of October 1, 2009), should be submitted in January 2009. USAID/FFP changes its submission dates on an annual basis, so CRS country programs should remain in regular contact with the CRS/HQ Public Resource Specialist.

- Community resiliency protected and enhanced;
- Community capacity to influence factors (decisions) that affect food security increased.

Country programs' final MYAP proposal will need to include strategic objectives (SOs) that are consistent (in both content and wording) with the four objectives highlighted above and should be carefully reviewed at the outset.



1.4 Food Aid in the MYAP

As funding for MYAPs and SYAPs are provided under PL 480 (Title II), food aid is a crucial component of Title II program proposals. For this reason, the Title II program is quite distinct from many other sources of CRS' private and public funding. Food aid can be used both for direct distribution and for monetization purposes in Title II programs. Food aid for direct distribution and additional details on monetization are provided in Chapter 7.

Monetization refers to the sale of U.S. commodities to generate proceeds for the food security activities outlined in Title II proposals. Under the USAID/FFP Title II program, CSs obtain cash proceeds for program implementation through direct cash resources (known as 202(e)) and through monetization. Although 202(e) funds have expanded in the past few years, monetization remains an important source of funding for Title II program activities.

Since monetization involves the sale of food commodities, the proceeds to be generated through monetization depend upon the sales capacity of local markets. At times, a local market can only absorb a small quantity of commodities, and hence the proceeds will be quite limited. It is for this reason that country programs should attempt to determine, at an early stage, whether monetization is feasible and, if so, the amount of proceeds that will be available. This should be determined through a **Bellmon Analysis**, which is described in Box 1.3. Based upon this analysis, CRS country programs can estimate the potential resources available for Title II programming activities. Inland transport shipping and handling (ITSH) cash resources are provided for specific food-distribution-related activities.

As monetization represents an important source of funding for MYAPs, the feasibility of monetization should be addressed at an early stage in the MYAP design process. Country programs should look at the results of the Bellmon Analysis immediately in order to verify that the program can be funded and to determine the appropriate types and quantities of commodities.

In recent years, the use of food aid for monetization has become increasingly controversial, and has been criticized as an inefficient means of providing cash resources for development interventions. In their book *Food Aid after Fifty Years: Recasting its Role*, Barrett and Maxwell (2005) state that food aid for distribution can be an effective development tool. Nevertheless, they also express concern over the potential negative impact of monetization on production incentives in developing countries and argue that it is an inefficient means of generating cash resources.

From an economic perspective, the impact of monetization on local markets depends to a significant degree on the extent to which food is imported into the local economy. One situation is a country (such as the Democratic Republic of Congo) where very little food is imported and prices are almost entirely determined by local supply and demand. In this case, an increase in imported food aid can shift out the supply of food and lower its price. This can be good for consumers, particularly in a food shortage crisis, but it can undermine the income of local farmers. The second situation is a country that produces relatively little food (such as Senegal).

BOX 1.3 THE BELLMON ANALYSIS

What Is a Bellmon Analysis?

In 1977, Congress adopted the Bellmon Amendment to PL 480, in response to concerns that U.S. food aid would have a negative impact on farmers in recipient countries by creating a disincentive to local food production.

The Bellmon amendment stipulates that: (1) adequate storage facilities will be available in the recipient country at the time of the arrival of the commodity to prevent the spoilage or waste of the commodity; and (2) the distribution of the commodity in the recipient country will not result in a substantial disincentive to or interference with domestic production or marketing in that country. Any PL 480 distribution or monetization program must fulfill these criteria in order to make a positive Bellmon Determination. The analysis addresses a wide range of economic, agricultural, and marketing issues related to the agro-food system.

Who Conducts the Bellmon Analysis?

In the past, the Bellmon Analysis was primarily the responsibility of the CS, but in recent years the USAID Mission has increasingly made itself responsible for the Bellmon Analysis. Beginning in 2008 for the January 2009 MYAP proposal submissions, USAID/FFP has contracted a consultant, FINTRAC, for three years to perform all Bellmon Analyses in order to standardize them. The Bellmon reports will be reviewed by USAID and made public for use by the CSs in determining commodities for their proposals and on-going projects.

CRS country programs should work to make themselves available to FINTRAC during the Bellmon Analysis process in order to help facilitate and form the Bellmon Analysis and to ensure CRS' continued capacity in understanding markets and their operations. Country programs should continue to involve and work with HQ and/or regional monetization advisors with regards to monetization issues for their MYAP proposals and project implementation.

Here the vast majority of food (rice) is imported, and the local rice prices are strongly determined by the price of imports. In this situation, food aid simply displaces imports and does not have a significant effect on either consumption or local farm production. In effect, it saves the country's foreign currency since it does not have to use as much foreign currency to pay for the imported food. In this situation, an NGO that receives U.S. food aid can sell it to a local trader and the money can then be used to fund local development initiatives, with little effect on food markets.

In many cases, understanding the market will require a significant amount of economic analysis, which may not be completed prior to making the decision to pursue a MYAP. Nevertheless CRS country programs should be aware of the issues associated with monetization and should discuss them with local and national government officials. Local perspectives on food aid should also be understood. The potentially negative impact of monetization underscores the importance of conducting a thorough and objective Bellmon Analysis.



1.5 Should We Submit a MYAP?

Deciding to design and submit a Title II program is an important decision for a CRS country program, and one that should not be taken lightly. While Title II resources can provide country programs with a significant source of multi-year funding for an integrated program, the MYAP development process is time-consuming and requires both human and financial resources. Furthermore, food aid has the potential to create long-term negative impacts such as dependency, market disruption and security risks for staff and recipients. That said,

BOX 1.4 KEY QUESTIONS TO CONSIDER

- Does your country program have a strategic program plan (SPP)? If so, has food security been identified as a major problem in the country?
- If food security is an important issue in the country, does the country import foodstuffs (either staples or other food)?
- Is the country listed as a priority country for USAID/FFP?
- Do CRS' partners feel comfortable with a food-aid-based program?
- Do CRS and its partners feel that food aid (for distribution or monetization) can be implemented in a way that minimizes any potential harm?
- What are the host country government's policies on food aid? Does the host country government support the use of food distribution for particular groups, e.g. pregnant and lactating women, young children, or those living with chronic illnesses?
- Does the host country government support monetization?

food aid and Title II programming can make a long-term contribution to reducing food insecurity, provided that do no harm principles are applied. Consequently, CRS country programs should carefully consider whether to submit a MYAP proposal before engaging in the MYAP design process. Box 1.4 outlines some core questions that a CRS country program should discuss before deciding whether to undertake a MYAP. If a country program answers “No” to any of these questions, then the MYAP is probably not the most appropriate funding resource.

1.6 Additional Resources

Annex A provides an overview of US government food aid programs and definitions of key terms. Some additional key documents are included below:

Barrett, C. and D. Maxwell. 2005. *Food Aid after Fifty Years: Recasting Its Role*. London: Routledge.

Barrett, C. May 2005. *Food Aid after Fifty Years: Recasting Its Role in Support of MDG #1*. Presentation to Executive Leadership Team of Catholic Relief Services. Available at http://aem.cornell.edu/faculty_sites/cbb2/presentations/crspresentationmay2005.ppt

USAID/FFP. 2005. *Food For Peace Strategic Plan for 2006-2010*. Washington, D.C.: USAID. Available at http://www.usaid.gov/our_work/humanitarian_assistance/ffp/ffp_strategy.2006_2010.pdf

USAID/FFP. 2008. *PL 480 Title II Program Policies and Proposal Guidelines -Fiscal Year 2009*. Available at http://www.usaid.gov/our_work/humanitarian_assistance/ffp/fy09_final_guidelines.html

USAID. 1995. *Food Aid and Food Security Policy Paper*. Washington, D.C.: USAID. Available at http://www.usaid.gov/our_work/humanitarian_assistance/ffp/fspolicy.htm

USAID. List of LIFDCs as of November 2006. Washington, D.C.: USAID. Available at http://www.usaid.gov/hum_response/ffp/lifdclist.html

Part II
Understanding
the MYAP
Process

Chapter 2

CHAPTER 2

How Is a MYAP Developed?

This chapter will cover the following topics:

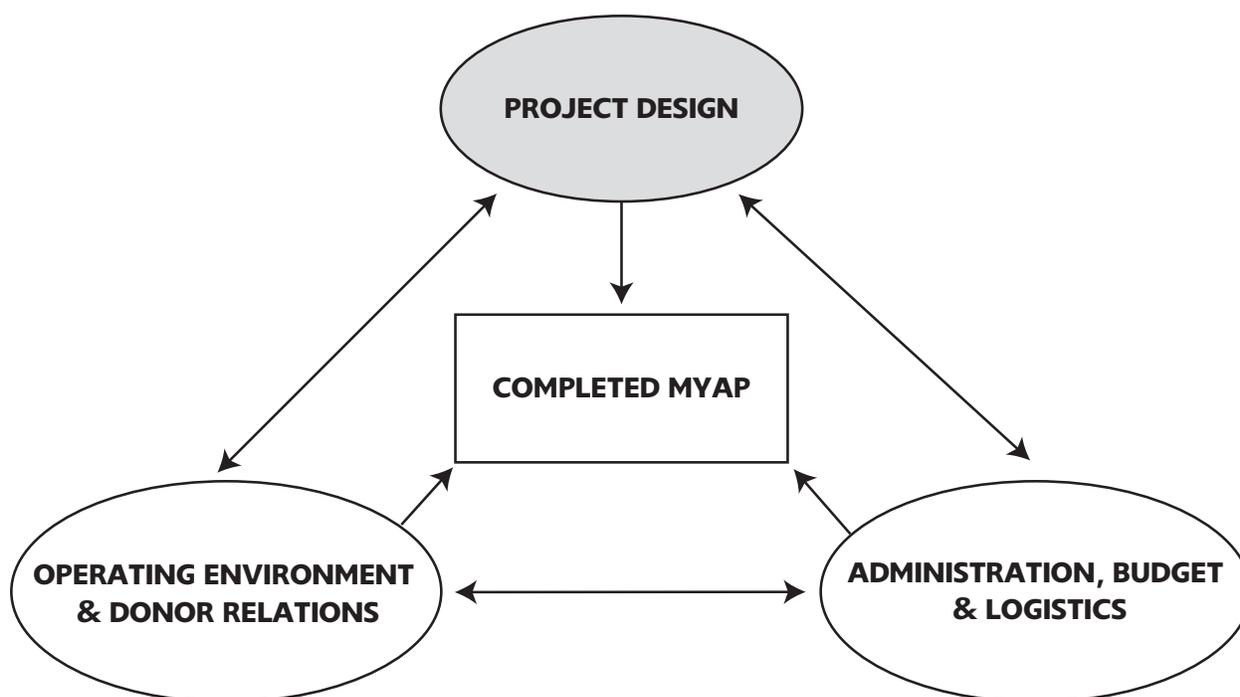
- 2.1** What Does this Manual Cover?
- 2.2** Overview of MYAP Proposal Design
- 2.3** Detailed Steps for Developing a MYAP
- 2.4** The MYAP Design Process and USAID/FFP's Conceptual Framework
- 2.5** Additional Resources

2.1 What Does This Manual Cover?

Developing a MYAP involves three overlapping but separate processes: 1) **project design**; 2) **administration, budget, and logistics**; and the 3) **operating environment and donor relationships** (See Figure 2.1). In the area of administration, budget, and logistics, country programs must obtain the necessary certificates and vehicle waivers, develop budgets, conduct an Initial Environmental Evaluation (IEE),¹² develop the Annual Estimate of Requirements (AER) for food aid, and conduct the Bellmon Analysis and develop a Monetization Plan. Country programs must also consider the operating environment and relationships when developing a MYAP, specifically those relationships with local partners, host country government, other stakeholders, USAID/FFP and the local USAID mission.

While all of these processes are crucial for developing a MYAP, the purview of this manual is the project design process for developing a MYAP proposal.

Figure 2.1 The MYAP Processes



2.2 Overview of MYAP Proposal Design

As is the case with any project proposal, designing a MYAP involves a series of steps, methods, and processes. The MYAP design process can be simplified into three steps: assessment, analysis and action. **Assessment** involves gathering information on macro and micro issues through a combination of primary and secondary data, in the hopes of better understanding the problem in terms of magnitude and distribution. Once

¹² The objective of Regulation 216 is to ensure that all U.S. government-funded projects under USAID undergo an environmental review to avoid or lessen any potential adverse impact on the environment. Activities proposed under the MYAP may require extensive documentation outlining potential adverse impacts and measures that will be taken to avoid or lessen those impacts.

gathered, this information must be **analyzed** using project design tools such as problem trees, gap analysis, capacity analysis, program quality analysis and others. This analysis leads to **action**, referring to decision-making about what project strategies and interventions are to be employed and included in the proposal. Each step is, of course, comprised of a series of sub-steps, and the process isn't necessarily a linear one. Nevertheless, these steps summarize the general process that CRS country programs and partners should follow while developing a MYAP. A diagram of these steps is provided in Figure 2.2.

Figure 2.2 Overview of the MYAP Design Process

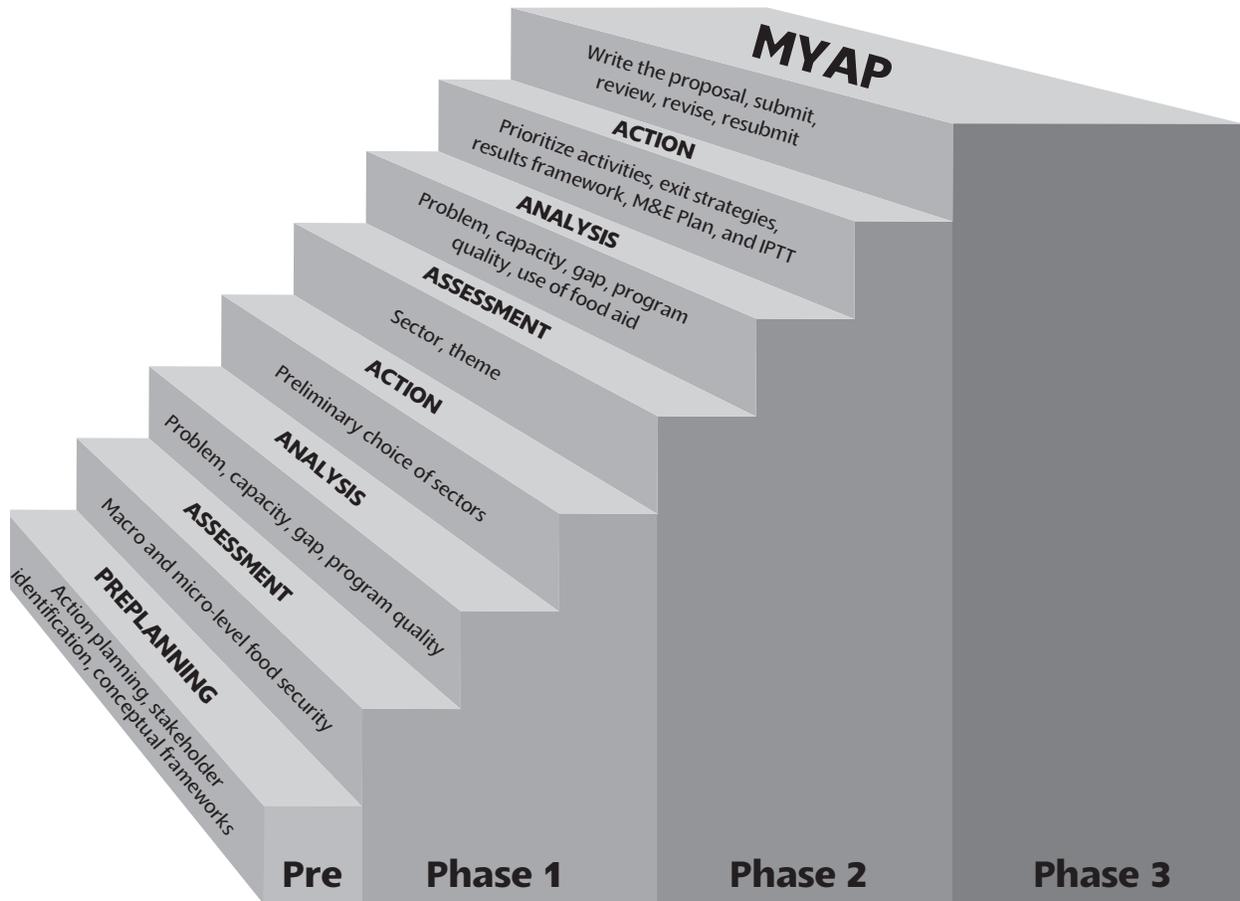


Figure 2.2 shows three distinct phases to the MYAP design process. In the pre-planning phase, the country program and its partners make the necessary administrative, logistical and financial preparations for the project design process of the MYAP. In Phase 1, the country program focuses on broader assessment and analysis, analyzing the general integral human development (IHD) or food security situation in the country and making initial choices about geographic priorities in the country and possible sectoral interventions. In Phase 2, the country program conducts more focused, sector-specific assessments and analyses in order to develop sectoral-specific activities and interventions for the project proposal. Phase 3 is the writing, submission, and revision process of the MYAP proposal.

In general, these stages can be used to design new or follow-on MYAPs. While the manual primarily concentrates on new MYAPs, CRS country programs in East, Central and West Africa, as well as Latin America, have successfully used these steps for follow-on MYAPs as well.

2.3 Detailed Steps for Developing a MYAP

Although developing a MYAP can be broken down into the steps of “assessment, analysis and action,” these categories do not fully outline the steps required to successfully design a MYAP. More detailed steps are necessary in order to provide country programs with effective guidance on the MYAP process.

This manual outlines 17 detailed steps to assist CRS country programs in designing high-quality MYAP project proposals. These steps are provided in Box 2.1. The detailed steps outline the process of assessment, problem identification and analysis, sectoral project design and proposal development. In general, these steps adhere to the practices for project proposal design outlined in CRS’ *ProPack I*: using local and outside knowledge; working with and through partners; developing a good problem analysis; identifying solutions (strategies and interventions) based on the results of solid analyses; developing strong goals, objectives, and activities; and planning a monitoring and evaluation system.¹³ Each step provides building blocks or information needed for the next step in the MYAP process, while ensuring that country programs are responding to USAID/FFP’s strategic priorities and Title II proposal guidelines. The steps presented in Box 2.1 focus primarily and almost exclusively on the **project design and programmatic aspects** of designing a MYAP, from the initial conception to the final proposal.

BOX 2.1 DETAILED STEPS FOR DEVELOPING A MYAP

- Step 1.1** Develop an Action Plan and Identify Stakeholders
- Step 1.2** Understand How Different Conceptual Frameworks Are Used in MYAP Project Design
- Step 1.3** Conduct Macro-Level Food Security Assessments
- Step 1.4** Conduct Micro-Level Food Security Assessments in Targeted Areas
- Step 1.5** Analyze the Data: Problem Tree and Key Leverage Points
- Step 1.6** Analyze the Data: Gap and Capacity Analyses
- Step 1.7** Determine Sectoral and Geographic Priorities for the MYAP
- Step 2.1** Conduct Sectoral Assessments
- Step 2.2** Conduct Sectoral Analyses
- Step 2.3** Develop Sectoral Project Strategies and Align with FFP Food Security Framework
- Step 2.4** Determine When and How to Use Food Aid
- Step 2.5** Develop a Sustainability or Exit Strategy
- Step 2.6** Determine What Will Be Funded through the MYAP
- Step 2.7** Construct the Results Framework, Proframe, M&E Plan, Indicator Performance Tracking Table, and Trigger Indicators for the MYAP
- Step 3.1** Draft the Proposal and Submit It for Technical Reviews
- Step 3.2** Submit the MYAP Proposal to USAID/FFP
- Step 3.3** Review FFP’s Issues Letter, Revise the MYAP Proposal, and Resubmit

¹³ The steps outlined in this manual supplement CRS guidance on project design, monitoring and evaluation and reporting (DME&R) by applying DME&R tools to the MYAP context.

Figure 2.3 Steps in Developing a MYAP

	Preplan	Action Plan	Conceptual Frameworks	Macro Assessments	Micro Assessments	Problem Tree	Gap and Capacity	Sectoral and Geographic	Sectoral Assessments	Sectoral Analyses	Project Strategies	Food Aid	Exit Strategy	Funding Decisions	Results Framework	Draft Proposal	Submit MYAP Proposal	Review, Revise, Resubmit
PRE	1.1	1.2	1.3	1.4	1.5	1.6	1.7	2.1	2.2	2.3	2.4	2.5	2.6	2.7	3.1	3.2	3.3	

2.4 The MYAP Design Process and USAID/FFP's Conceptual Framework

Section 1.3 outlined the USAID/FFP policy changes that have influenced MYAP proposal guidelines since FY06. One of the most important changes is USAID/FFP's new conceptual framework for food insecurity, which has put increased emphasis on risk and vulnerability and the formulation of MYAP SOs, which should concentrate on human and livelihood capabilities. In light of this policy change, country programs could use USAID/FFP's objectives as a starting point for the MYAP development process. While this approach has merit, this manual uses an approach similar to that outlined in the 2004 *DAP Manual*. As is evident in Box 2.1, country programs are encouraged to first analyze the broad food security and integral human development situation in the country in order to identify sector-specific problems, promising strategies and potential interventions before merging these with USAID/FFP's conceptual framework. The rationale for this approach is threefold: 1) first, it builds upon CRS' other project design materials—namely the *DAP Manual* and *ProPack I*, both of which have been effective approaches to developing high-quality programs; 2) it encourages country programs to prioritize MYAP interventions that respond to local needs and capacities; and 3) the approach is consistent with USAID/FFP's conceptual framework and priorities.

2.5 Additional Resources

A variety of CRS and external resources exist to support CRS country programs in the MYAP development process. An abbreviated list of these documents appears below. For more general information on commodity management, country programs should refer to CRS' U.S. government resource management and financial application materials, available through CRS/HQ.

Burpee, G. P. Harrigan and T. Remington. 2000. *A Cooperating Sponsor's Field Guide to USAID Environmental Compliance Procedures*. Baltimore: Catholic Relief Services (CRS). Available at <http://www.foodaid.org/envmt3.htm>

CRS. 2005. *The Partnership Toolbox: A Facilitator's Guide to Partnership Dialogue*. Baltimore: Catholic Relief Services (CRS). Available at <http://www.crs.org>

CRS Public Resource Group, Business Development Team. 2004. *Public Proposal Toolbox*. Available on <https://global.crs.org>.

Hahn, S, G. Sharrock and V. Stetson. 2004. *ProPack I: The CRS Project Package*. Baltimore: Catholic Relief Services (CRS). Available at <http://www.crs.org>

Parker, T. 1998. *Regulation 216*. Available at <http://www.foodaid.org/envmt3.htm>

Ralyea, B. 1999. *PL 480 Title II Cooperating Sponsor's Monetization Manual*. Washington, D.C.: Food Aid Management (FAM). Available at <http://www.foodaid.org/monetization3.htm>.

Stetson, V., S. Hahn, D. Leege, D. Reynolds, and G. Sharrock. 2007. *ProPack II: The CRS Project Package*. Baltimore: Catholic Relief Services (CRS). Available at <https://www.crs.org>

USAID/FFP. August 2008. *Annex D: FY09 Title II Environmental Review and Compliance*. Washington, D.C.: USAID. Available at http://www.usaid.gov/our_work/humanitarian_assistance/ffp/fy09_final_guidelines.html.

USAID/FFP. 2008. *PL 480 Title II Program Policies and Proposal Guidelines: Fiscal Year 2009*. Washington, D.C.: USAID. Available at http://www.usaid.gov/our_work/humanitarian_assistance/ffp/fy08_final_guidelines.html.

Part II Understanding the MYAP Process

Chapter 3

CHAPTER 3

MYAP Pre-Planning

This chapter will cover the following topics:

3.1 Step 1.1 Develop an Action Plan and Identify Stakeholders

3.1.1 Review the MYAP Guidelines and USAID/FFP's Strategic Plan

3.1.2 Review the Detailed Steps for Developing a MYAP and Draft an Initial Action Plan

3.1.3 Conduct a Stakeholder Analysis

3.1.4 Plan for Necessary Human and Financial Resources to Design the MYAP

3.1.5 Tips for MYAP Development Planning and the "Final" Action Plan

3.2 Step 1.2 Understand How Different Conceptual Frameworks Are Used within MYAP Project Design

3.2.1 The Integral Human Development (IHD) Framework

3.2.2 The Food Security Framework

3.2.3 Risks, Hazards/Shocks, and Vulnerability in the IHD and Food Security Frameworks

3.2.4 Comparing the Two: How Do the IHD and Food Security Frameworks Fit Together?

3.3 Additional Resources

3.1 Step 1.1: Develop an Action Plan and Identify Stakeholders

	Preplan	Action Plan	Conceptual Frameworks	Macro Assessments	Micro Assessments	Problem Tree	Gap and Capacity	Sectoral and Geographic	Sectoral Assessments	Sectoral Analyses	Project Strategies	Food Aid	Exit Strategy	Funding Decisions	Results Framework	Draft Proposal	Submit MYAP Proposal	Review, Revise, Resubmit
PRE	1.1	1.2	1.3	1.4	1.5	1.6	1.7	2.1	2.2	2.3	2.4	2.5	2.6	2.7	3.1	3.2	3.3	

CHAPTER 3

“Failing to plan is planning to fail.”

This simple expression summarizes an important theme that should be carried throughout the MYAP project design process.

Although planning should not be an end in itself, it is necessary to successfully achieve a goal—in this case, a high-quality, MYAP proposal that will be approved by USAID/FFP. Producing the MYAP is an intensive and time-consuming process. While the rewards of a successful MYAP can be great for CRS country programs, their partners and project participants, the financial and human investments are equally high. Consequently, the decision to pursue a MYAP should be preceded by a thorough understanding of USAID/FFP’s Strategic Plan and Title II proposal guidelines, an assessment of the human and financial resources required to develop and implement a MYAP, and a review of the country program’s strategic plan to determine whether a MYAP is an appropriate choice.

Proper planning is crucial for designing a high-quality program and project proposal document. Therefore, before starting the MYAP development process, a CRS country program should engage in some pre-planning activities. These involve the following steps:

- Reviewing the MYAP Guidelines and USAID/FFP’s Strategic Plan
- Reviewing the Detailed Steps for Developing a MYAP and drafting an initial action plan
- Conducting a stakeholder analysis
- Planning for necessary human and financial resources to design the MYAP

Each of these steps is addressed in more detail throughout this chapter.

3.1.1 Review the MYAP Guidelines and USAID/FFP’s Strategic Plan

As is the case with any project proposal submitted to an external donor, it is important to know the donor’s expectations at an early stage. Although many of these expectations are summarized in Section 1.3, CRS country programs should review relevant USAID/FFP documents as a first step in the planning process, in order to better understand what is required for final submission.

There are three USAID/FFP resources that CRS country programs should review during the pre-planning process. The first of these is USAID/FFP’s *Strategic Plan for 2006-2010*, which outlines the agency’s new conceptual framework and strategic priorities.

The second document is the *PL 480 Title II Program Policies and Proposal Guidelines*, which are issued on an annual basis. The guidelines include information on priority programming sectors for USAID/FFP, what activities will and will not be funded, submission deadlines for proposals (including MYAPs and SYAPs), proposal formats and templates, and the evaluation criteria that USAID/FFP uses for approval.¹⁴ As the PL 480 Title II proposal guidelines are often not issued until late in fiscal year, CRS country programs should use the guidelines from the *previous* fiscal year for planning purposes, and review the updated guidelines when they are issued.

In addition to the proposal guidelines, USAID/FFP often issues annual “Policy Letters” or memoranda, which summarize important policy changes to USAID Title II funding mechanisms. In the past few years, for example, USAID Policy Letters have imposed limitations on funding for food-assisted education activities and third-country monetizations. In another example, in August 2007, USAID/FFP issued two memoranda on performance indicators and reporting requirements, requiring that CSs use standardized performance indicators for certain sectors.

3.1.2 Review the Detailed Steps for Developing a MYAP and Draft an Initial Action Plan

Once the review of the Title II MYAP guidelines has been completed, a country program should review the detailed steps for MYAP planning in this manual (Box 2.1). In addition, CRS country programs should review *CRS Protocols for MYAP Proposal Development Standards and Support*; this document outlines CRS’ internal protocols and suggested roles for CRS staff involved in the MYAP proposal development process at each proposal action stage. This document is available upon request from the regional offices, the country program’s Public Resource Specialist, or the Program Quality and Support Department (PQSD). It is also available on the MYAP working group site which can be accessed through <https://global.crs.org>.

CRS country programs that are submitting new MYAPs should expect the entire process to take nine to twelve months. Those country programs that have ongoing MYAPs, or are submitting MYAP amendments, should still expect to spend approximately six to nine months in planning and preparation.

These steps can then be used to develop an initial action plan for the MYAP, including the following:

- **What** activities need to be completed
- **Why** these activities need to be completed
- **Who** will be responsible for (and involved in) each activity
- **When** the activities need to be completed
- **What** resources (human, financial) are required

A template for an action plan is provided below (Table 3.1).

¹⁴ PVOs are permitted to submit an amendment to an already-approved MYAP in the following circumstances: 1) there is an increase of 10% in the overall approved Life of Activity (LOA), 2) there is an increase in the total LOA resource request based on local currency and 202(e) LOA monetization budgets and/or the direct distribution commodity requirements, and/or 3) there are changes in implementation arrangements, which may require a substantive review of the foundations upon which the program was originally approved.

Table 3.1 Initial Action Plan¹⁵

Time (X) = Final Submission Date	MYAP Step	Activities	Who	Financial and Human Resources Required	Stakeholders Involved (see Stakeholder Analysis)
X-12 (2-3 days)	(1.1) Review the MYAP guidelines, develop a plan of action and conduct a stakeholder analysis (1.2) Review the conceptual frameworks	Meeting on the MYAP guidelines and steps, review food security conceptual framework, develop MYAP action plan			
X-11 (5-10 days)	(1.3) Conduct macro-level mapping exercise	Collect secondary data on the national-level food security situation, conduct first MYAP workshop			
X-10 (15 days)	(1.4) Conduct micro-level food security assessments	Data gathering in specific regions/areas			
X-9 (2-3 days)	(1.5) Construct a problem tree and identify key leverage points	Conduct analysis at second MYAP workshop			
X-9 (2-3 days)	(1.6) Conduct gap and organizational capacity analyses [*]	Conduct analysis at second MYAP workshop			
X-9 (5 days)	(1.7) Identify sectoral priorities for the MYAP	Make decisions regarding sectoral priorities and develop sectoral SOWs during the second MYAP workshop			
(X-9) to (X-7)	(2.1) Conduct sectoral assessments and (2.2) conduct sectoral analyses	Conduct sectoral assessments and develop fact-sheets Analyze data during third MYAP workshop			
(X-7) to (X-5)	(2.3) Develop sectoral strategies, (2.4) Determine whether and how to use food aid, (2.5) Determine what will be funded by the MYAP, and (2.6) Develop a sustainability/exit strategy	Finalize sectoral project strategies and interventions (including food aid use and exit strategy) during third MYAP workshop Draft initial budgets			
(X-4) to (X-3)	(2.7) Construct Proframe and M&E Indicators	Construct sectoral results frameworks and a project Proframes during third MYAP workshop Conduct IEEs, gather other administrative documents			
X-2	(3.1) Draft the proposal	Relevant technical staff and CRS country program point person draft relevant sections of the MYAP			
X-1	(3.2) Submit the proposal for regional and HQ technical reviews				
Submission date (X)	(3.2) Submit the proposal to FFP/W (3.3) Receive the Issues Letter, Revise and Respond				

* For country programs bringing on new partners or partners new to Title II it is helpful to conduct the organizational capacity analysis prior to engaging the partner heavily in MYAP development. This will help CRS staff allocate adequate resources for capacity building. It is helpful to plan on 1 day per partner for this analysis. The results, especially the results about capacity in various sectoral areas can then be used during the second MYAP workshop.

¹⁵ "X" denotes the MYAP submission deadline; therefore, "X-12" denotes 12 months before the MYAP submission deadline, X-9 denotes 9 months before the submission deadline.

The initial action plan should be fairly simple, including the steps, general activities and a time frame. As additional steps in the MYAP pre-planning phase are completed, the action plan should be modified accordingly.

When developing this action plan, it should be noted that **Steps 1.3** and **1.4** (the macro-level food security mapping exercise and micro-level food security assessments) and **Steps 2.1-2.7** (determining sectoral interventions) require significant time and human and financial resources.

3.1.3 Conduct a Stakeholder Analysis

Once an initial action plan has been developed, country programs should conduct a **stakeholder analysis** with key programming and management staff. **Stakeholders** are defined as persons, groups or institutions that have interest in and influence and/or control over the project.¹⁶ Stakeholders can include, but are not limited to, project participants and other community members; CRS personnel in the country program, regional office or HQ; CRS partners, host government agencies, donors, and private sector operators.

The purpose of a stakeholder analysis is to help country programs to determine **who the key stakeholders are** and **how they should fit into the MYAP planning process**. In general, a stakeholder analysis should be conducted as early as possible in the MYAP planning process in order to gauge the level of participation and commitment of each stakeholder. While this manual provides some general information on conducting a stakeholder analysis, more detailed information is available in CRS' *ProPack I*.

Conducting a stakeholder analysis involves several steps:

- Identifying possible stakeholders for the MYAP
- Determining each stakeholder's interest in and influence over the MYAP
- Assessing how stakeholders can have an impact on the MYAP
- Identifying stakeholders' participation in the different steps of MYAP project cycle

Table 3.2 provides an example of a Stakeholder Assessment Table that can be used to capture the results of the stakeholder analysis. During the first step, country programs should brainstorm a list of potential stakeholders for the MYAP. Once the key stakeholders have been identified, it is important to determine each stakeholders' potential interest in—or influence over—the MYAP. Once this is determined, the country program should identify at which stage in the MYAP project design process the stakeholder should be involved, based upon the MYAP design steps. Multiple stakeholders can be involved in one stage, and the same stakeholder can be involved during multiple stages. The final step of the stakeholder analysis involves determining how the stakeholder should be involved during each step. A stakeholder can be:

- **Informed:** Stakeholder is kept abreast through copies of e-mails, reports, etc.
- **Consulted:** Stakeholder is more actively solicited for input (e.g., information, knowledge and decisions)
- **Actively involved:** Stakeholder has a strong voice in decision making and works in partnership with the project design team
- **In charge:** Stakeholder is responsible for managing the process and performance of project design team

The stakeholder analysis can be performed in a workshop setting or during an informal meeting. In addition, participants in a specific stakeholder analysis will vary with the country program. For those country programs

¹⁶ Interest is defined as “what stakeholders might gain or lose in the project”, whereas influence refers to the “power that stakeholders have over the project in a positive or negative way.”

with ongoing MYAPs and strong partner relations, a wide variety of partners, government agencies and staff might be invited to the meeting in order to ensure the broadest participation at an early stage. In other country programs, an internal stakeholder analysis might be more appropriate before inviting other agencies.

Once the stakeholder analysis has been completed, the information should be captured in a report, memo or some other document. This initial analysis should be used to further refine or revise the country program’s action plan for the MYAP, particularly with regards to details as to who should be involved in each step of the MYAP design process.

Table 3.2 Stakeholder Assessment Table

List of Stakeholders (1)	What are their primary needs and interests? (How might they be affected, negatively or positively, by a CRS MYAP?) (2)	What is their potential influence on the ultimate success or failure of a CRS MYAP? (3)	At what stage(s) in the MYAP development process should this stakeholder be involved? (Be specific) (4)	How should this stakeholder be involved at each stage? (Informed, consulted, as a partnership, managed) (5)



- Has a broad range of stakeholders with a variety of sectoral, geographic and technical expertise been identified to participate in the process?
- Will stakeholders with a broad range of expertise interact with one another, or will they be involved in the process separately?
- Will there be opportunities for stakeholders with a variety of expertise to work together to develop complementary strategies that create synergy and holistic outcomes?

3.1.4 Plan for Necessary Human and Financial Resources to Design the MYAP

Ensuring that the necessary staff and financial resources are available to implement the MYAP action plan is crucial. CRS’ experience in designing MYAPs has shown that having a full-time MYAP coordinator greatly facilitates the planning process (see Annex E for a sample scope of work (SOW)). This person should be familiar with the requirements for the USAID/FFP Title II program, and help to establish systems for

communicating with CRS HQ regarding policies, guidelines and procedures that could affect the Title II MYAP program.¹⁷

Even with a MYAP coordinator, designing the MYAP can be a strain on a country program's human and financial resources. CRS country program staff should therefore be encouraged to modify their work plans in order to ensure that they have the time necessary for their expected contribution to MYAP planning. In addition, CRS country programs should carefully consider the need for outside consultants or workshops well in advance (e.g., six months). Thus, budgets that support consultants, workshops or other data collection activities should be developed.¹⁸

3.1.5 Tips for MYAP Development Planning and the “Final” Action Plan

CRS' vast experience in Title II program development and implementation has yielded some important lessons regarding the MYAP planning process. Most of these lessons have been incorporated throughout this manual. Box 3.1 summarizes the key lessons learned from the MYAP development process in Burkina Faso, Ethiopia, Ghana, Kenya, Niger, Rwanda, Uganda and Zambia. A more detailed list is provided in Annex F.

BOX 3.1 TIPS FOR MYAP PLANNING

- **Develop a written plan of action and a detailed calendar of activities.** In this plan of action, there should be dates for specific deliverables and mechanisms for timely follow-up, either by the MYAP Coordinator, Head of Programming or another senior manager.
- **Clearly delegate roles and responsibilities of CRS and partner staff during the MYAP design process.** CRS staff might be required to modify their normal work plans in order to allocate the appropriate number of days/hours to the MYAP planning process. In addition, SOW should be developed for any consultants that might be hired during the process.
- **Ensure that meetings, workshops and field trips and data collection surveys are planned well in advance.** Regularly scheduled coordination meetings are also important.
- **Communicate openly with regional and HQ program and management quality staff about important issues and in advance of technical reviews.** In certain CRS programs, country programs organized a MYAP meeting with CRS regional staff to go over technical programming and management issues related to the MYAP.
- **Conduct the Bellmon/market analysis early on**, in order to determine the available resources and develop programs within this resource base. **If the MYAP is a follow-on MYAP, carefully consider the advantages and disadvantages (and resource implications) of adding on new sectors.** While multiple sectors can better reduce food insecurity of targeted households, adding new sectors can also add an additional level of complexity.
- **Determine who will be responsible for writing the MYAP concept paper and the final document.** The writer should be fluent in English.

¹⁷ In many cases, the position of the MYAP coordinator falls to the Head of Programs (HoP) of the CRS country program. As the responsibilities of the MYAP coordinator are substantial, it can be difficult for the HoP to manage the MYAP process, in addition to his or her ongoing responsibilities. Therefore, hiring a MYAP coordinator for a short-time period—such as 6-9 months—can greatly facilitate the process. In either case, the person must have the support of the country program leadership.

¹⁸ Country programs should budget this in the Annual Program Plan (APP) as growth funds may be available for new MYAPs.

Once the review of the Title II guidelines has been completed, a stakeholder analysis has been conducted and an initial action plan has been drafted, a country program should develop a more detailed and comprehensive “action plan” that will serve as the basis for its MYAP planning process for the nine-to-twelve month period. The action plan can and should be revised as new activities arise or timelines change.

3.2 Step 1.2: Understand How Different Conceptual Frameworks Are Used within MYAP Project Design

Preplan	Action Plan	Conceptual Frameworks	Macro Assessments	Micro Assessments	Problem Tree	Gap and Capacity	Sectoral and Geographic	Sectoral Assessments	Sectoral Analyses	Project Strategies	Food Aid	Exit Strategy	Funding Decisions	Results Framework	Draft Proposal	Submit MYAP Proposal	Review, Revise, Resubmit
PRE	1.1	1.2	1.3	1.4	1.5	1.6	1.7	2.1	2.2	2.3	2.4	2.5	2.6	2.7	3.1	3.2	3.3

As the objective of the PL 480 Title II program is to reduce the food insecurity of vulnerable populations, it is important that CRS and partner staff operating in a country have a common understanding of the relevant food security conceptual framework, in particular the one used by Food for Peace.¹⁹ In addition, CRS introduced the Integral Human Development (IHD) Framework in 2004, which incorporates CRS’ values and strategic priorities. Since the IHD framework plays a central role in the development of CRS programs—especially with respect to country-specific strategic plans—CRS and partner staff should become familiar with the relevant conceptual frameworks (Food Security and IHD) in order to better inform and influence the MYAP design process.

Conceptual frameworks can help country programs in the design of project proposals, especially complex, multi-sectoral proposals such as MYAPs. First, conceptual frameworks demonstrate, in a fairly simple fashion, the complex relationships between a problem and its immediate and underlying causes. Therefore, a conceptual framework can help a country program to organize its data collection process by helping to set assessment objectives and identify the data required. Second, conceptual frameworks can also be used in conjunction with other project design tools (such as problem trees) during the analysis phase of the project design process. During the problem analysis, country programs can use the relevant conceptual framework as a ‘map’ or guide to compare local knowledge of a situation to wider, scientific knowledge. Finally, conceptual frameworks can assist country programs in designing an integrated program, especially when a problem is the result of a variety of interrelated, yet multi-sectoral factors.

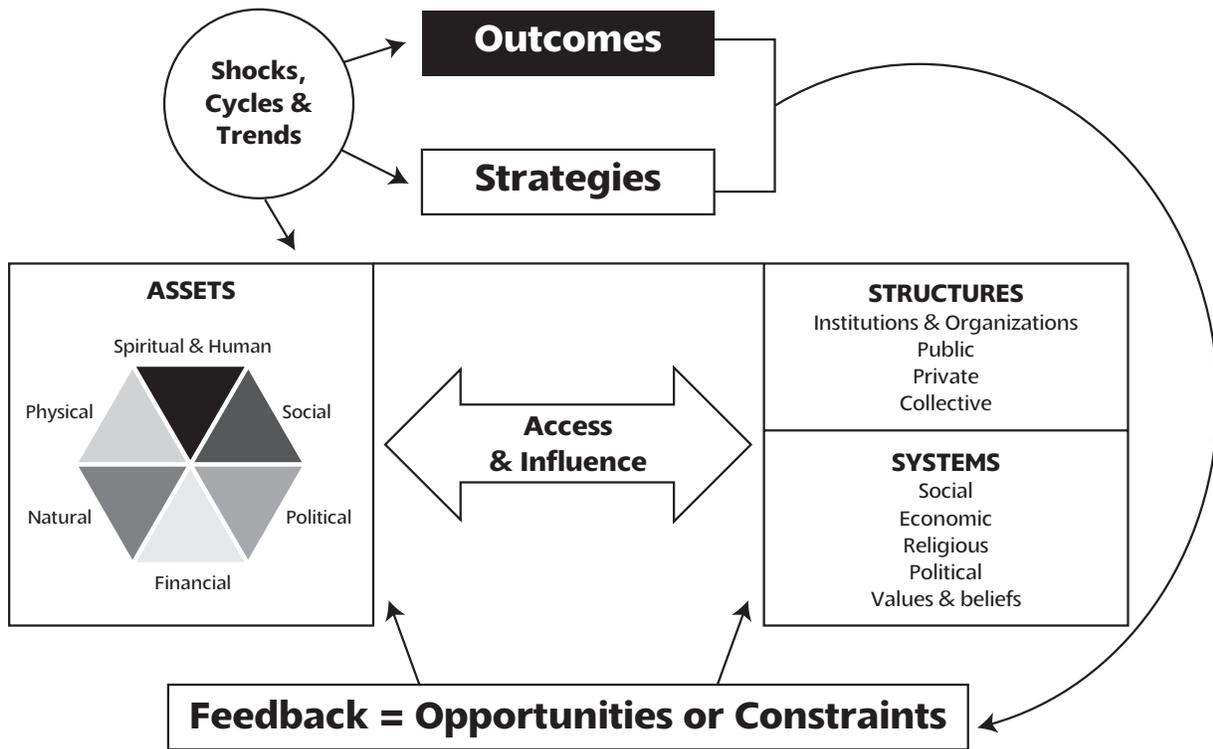
In order to develop a common understanding of the IHD and USAID/FFP-Food Security Conceptual Frameworks among CRS staff and partners, it is suggested that CRS country programs hold a workshop or reflection. This can be achieved during a one-day meeting, or as part of a larger workshop on the MYAP process. Workshop materials, including a draft agenda, a facilitator’s manual, exercises, and PowerPoint slides, are referenced in Annex M, of this manual, and are available on CD-ROM and on <https://global.crs.org>.

¹⁹ Food security is the main goal of the Title II program and, therefore, all MYAPs; however, it is not a USAID or Title-II specific concept. The concept of food security coincides with CRS’ mission and vision.

3.2.1 The Integral Human Development (IHD) Framework²⁰

Integral Human Development is a concept that originates from Catholic Social Teaching, and represents both a goal and a process. IHD promotes the good of every person and the whole person; it is cultural, economic, political, social and spiritual. As a *goal*, IHD means that people increasingly realize their full human potential in solidarity with others and in the context of a just and peaceful society. IHD is based on human dignity and right relations and therefore, as a *process*, requires active engagement with others to transform the way that societies live, heal, and structure their relationships.

Figure 3.1 Integral Human Development Framework



CRS’ IHD framework—provided in Figure 3.1—is a graphic representation that can help to understand a context in a holistic way, clarifying the complex relationships between different variables and showing how they might be aligned to promote Integral Human Development. In reviewing the framework, it is useful to begin with the **IHD outcomes**. At the highest level, outcomes might include the protection of human dignity and justice for all members of a community. Outcomes can also include access to basic needs, food security, increased income and/or well-being.

These outcomes can be influenced and achieved by strengthening the **strategies** people use, protecting and enhancing the **assets** they have, understanding and transforming some of the **structures and systems**, and preparing for — as well as mitigating the results of — **shocks, cycles and trends**.

²⁰ A detailed treatment of CRS’ IHD Framework is outside the scope of this manual. However, for more in-depth resources on IHD, please see *CRS’ Strategic Program Plan Guidance* and the *Users’ Guide to Integral Human Development*. The diagram of the IHD framework in figure 3.1 differs slightly from versions in previous CRS publications. Changes made to it, in response to comments from CRS staff, include: separating out structures and systems to better distinguish between them, making the access and influence arrows go in both directions, and replacing the asset arrows with more visually pleasing color pie pieces.

Strategies are the approaches that individuals and households develop in order to meet their daily needs and other life aspirations. There are six major categories of strategies, as follows:

- **Coping/survival mechanisms** — getting through difficult periods
- **Risk reduction mechanisms** — reducing vulnerability to shocks, cycles and trends
- **Engagement** — increasing the influence of people and communities to advocate and claim rights and services
- **Asset recovery** — rebuilding assets lost in a disaster
- **Asset diversification** — increasing resilience by having many different types of assets
- **Asset maximization** — increasing the quantity and quality of assets.

As can be seen from the list above, strategies are intertwined with assets; IHD strategies are based on individuals', households' and communities' access to and control over assets. **Assets** can be defined as the resources that people have to work with and build on. The CRS IHD Framework encompasses six types of assets.

- **Human** and **spiritual** assets include education, religious faith, individual health, life experiences and wisdom, intelligence, livelihood skills and physical strength.
- **Social** assets are peoples' support networks—family and friends, religious groups and the organizations to which they belong.
- **Political** assets reflect the power people have in their communities and families. Political Assets are the capacity to influence decision-making, to advocate for resources or change, and ability to claim one's rights — for example to education, health care or voting.
- **Physical** assets are tangible assets, and can include homes and sheds, equipment and tools, bicycles, vehicles, wells, clothes, etc.
- **Financial** assets are either cash, or items that can be converted to cash quickly and easily. Financial assets might include grain, livestock, wool rugs, gold, income from a job or remittances from abroad.
- **Natural** assets include natural resources like soil, water, plants, trees, animals, air, regular rainfall and oceans.

When identifying assets, it is important to consider both *quality* (e.g., healthy animals are better able to survive an on-coming drought than malnourished ones) and *access* (does an entire household and/or community have access to a particular asset, or do some members control that asset to the detriment of others?).

Structures and systems affect how different assets can be used and, in some cases, who has access to specific assets.

Structures are organizations and institutions that organize and regulate the way people live, affect what they can do, and how they do it. Some examples include:

- Government ministry offices (e.g., agriculture, education)
- Judicial courts
- Schools, hospitals, and other social services
- Civil society organizations
- Management committees (e.g., water management committees, storage facility management committees, etc.)
- Traditional and religious leadership structures.

Systems are the values, attitudes and policies that regulate or influence people’s behavior and relationships. Examples include religious beliefs and values, cultural norms, legal systems (laws), political systems (policies), and market systems.

Finally, there are the external factors—**shocks, cycles, and trends**—that influence every other variable in the IHD framework. These external factors can impact people’s assets and strategies as well as their ultimate outcomes. In addition, structures and systems can facilitate—or hinder—people’s response to these external factors. For example, a drought (shock) can not only affect a household’s access to water (a natural asset), but also that household’s potential strategies to deal with this shock and hence the household’s ultimate IHD outcomes. A government’s response to that drought, in terms of policies and also in terms of physical services provided (structures and systems), may help or hinder that household’s ability to cope.

As can be seen in the diagram, the relationship among all of these factors is cyclical in nature. Low levels of assets (access to and/or control over) in the short-term along with ineffective and/or harmful systems/structures can limit the strategies available to a household, thereby reducing the household’s opportunities to strengthen assets and achieve its IHD outcomes in the longer term. As assets erode further, households are even more vulnerable to future shocks; they may be forced into using unsustainable or negative strategies just to survive. By clearly defining the connections between shocks, strategies, assets, and structures/systems, the IHD framework enables a focus on strengthening what already exists at the household/ community level and thereby strengthening resiliency (the ability to manage risk).

3.2.2 The Food Security Framework

Food security is defined by CRS as “All people at all times have physical and economic access to sufficient food and water to meet their needs for a productive and healthy life without undermining their future food security.”

Food insecurity is therefore the absence of any (or all) of these conditions: the food-insecure individual or household²¹ does not consume sufficient quantities (or quality) of food or water to survive; or, if there is sufficient food, the individual does not have the good health to use it properly. This definition also includes vulnerable households—meaning, households whose members may be eating sufficiently in the present but who—due to lack of control over resources *or* due to the use of negative coping strategies (such as selling assets, depleting food stocks) *or* because of exposure to shocks—will not be able to continue accessing sufficient food and water in the longer term.

An overwhelming number of individuals and households in less developed countries suffer from different types of food insecurity, including **seasonal, transitory, and chronic**. More specifically:

- **Seasonal food insecurity** is defined as inadequate access to sufficient food or water or poor health on a cyclical or seasonal basis, implying that households can return to ‘normal’ consumption after the difficult period. In many countries in West Africa, for example, this type of food insecurity is known as the ‘hungry season’ or the *soudure*.
- **Transitory (or temporary) food insecurity** is defined as inadequate access to food / water or poor health

²¹ Food security can be defined and analyzed at the individual, household, community, national, and international level. This manual focuses primarily on household-level food security.

during a temporary period, often after a man-made or a natural shock or cycle. Transitory food insecurity implies that households can return to a state of food security after the shock passes.²²

- **Chronic food insecurity** is defined as inadequate access to sufficient foods or poor health on a continuous basis. This type of food insecurity is ongoing.

Although chronic food insecurity is often considered the most severe form of food insecurity, other types of food insecurity are similarly problematic. When households suffer from seasonal or transitory food insecurity, they must find ways to cope, such as selling productive assets or depleting food stocks. While such actions help households to meet their immediate consumption needs, they can also expose households to greater risk of future food crises (including transitioning into chronic food insecurity). Real-life examples of the types of food insecurity are provided in Box 3.2.

BOX 3.2 TYPES OF FOOD INSECURITY

In West Africa, *seasonal food insecurity* is common because most farmers plant staple foods (such as millet and sorghum) once per year. Part of the harvest is immediately sold to pay for household necessities, school fees, and other debts, leaving the remaining stocks to be consumed over the dry season. These stocks are often depleted before the household's next harvest season, forcing families to reduce their consumption.

In the Democratic Republic of Congo, militia attacks in the far east of the country results in *transitory food insecurity* for some households. The attacks displaced families and destroyed assets, leaving some households unable to access food immediately afterwards. In some cases, families were able to return to their homes, and consumption and production patterns returned to normal.

In The Gambia, factors such as extreme poverty and poor crop yields have resulted in *chronic food insecurity* for many households in targeted regions of the country. Chronic food insecurity is evident by a stunting prevalence of 22 percent of children under 5 years old.

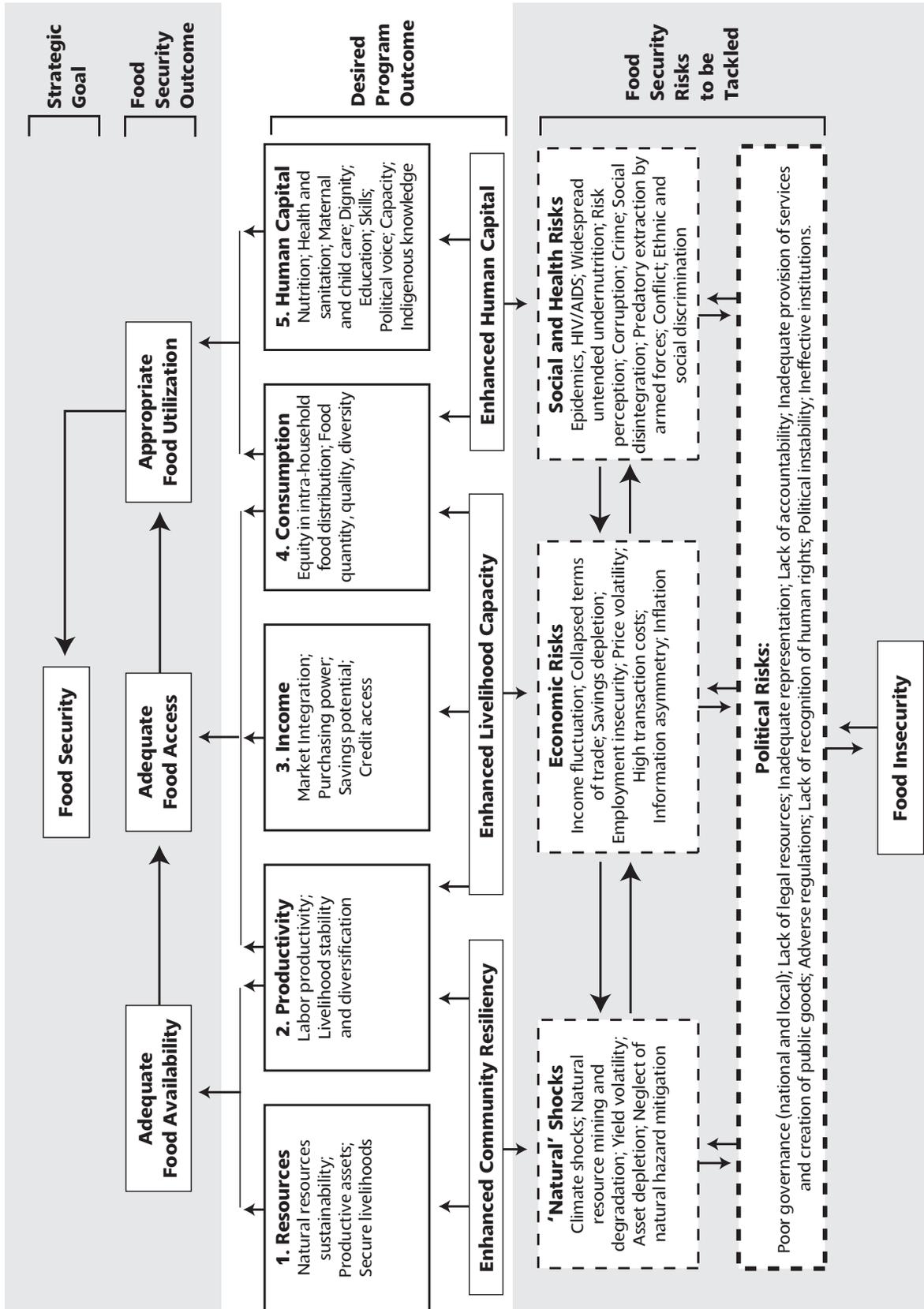
Traditionally, CRS has used a food security framework that defined three main components (or pillars) to food security: availability, access, and utilization.²³ This was similar to the original food security framework outlined in USAID/FFP's 1995 *Food Aid and Food Security Policy*. However, in USAID/FFP's 2006-2010 Strategic Plan, USAID/FFP developed an expanded conceptual framework to take into account the risk that vulnerable countries, communities, and households have towards food insecurity. This emphasis on risk—implicit in the definition of food security (“at all times”)—means that programs aiming to reduce food insecurity must identify potential shocks or hazards and understand how these will impact food insecure households and their ability to cope. Adding this emphasis on vulnerability and risk actually brings the FFP Food Security Framework even closer to the IHD Framework, as shall be shown later in this chapter.

USAID/FFP's expanded framework is depicted in Figure 3.2.

²² There is often substantial debate about the timeframe for “transitory” food insecurity, and whether populations affected by long-term conflicts suffer from transitory or chronic food insecurity. The determining element about transitory food insecurity is whether a return to post-shock food security is likely.

²³ The CRS DAP Manual—and accompanying workshop materials—defined and outlined this simple framework.

Figure 3.2 Adapted Food Security Framework



As can be seen from this diagram, the USAID/FFP Expanded Food Security Framework is at once a conceptual framework (exploring an issue—food security—and showing the complex relationships between various factors) and a results framework (outlining a hierarchy of interventions and outcomes that lead to an overall goal—food security). The shaded section of the framework in Figure 3.2 represents the part for use in analyzing and understanding the factors related to food security. The middle section explores potential responses, or strategies to address food insecurity; this part will be discussed further in Chapter 6.

The **food security outcomes** in this framework are the same as the three components that have traditionally been used to analyze food security: **availability, access, and utilization**.

Ensuring adequate **availability** of food includes production of food, raising livestock, and gathering food that is directly consumed by the household. Food availability is directly influenced by land (including land size and fertility), labor, and other farm inputs (tractors, hoes), and knowledge of effective farming techniques. These, in turn, are influenced by factors such as health status, access to financial services, and education levels. And finally, these factors are influenced by basic social, political and natural factors, including rural infrastructure, the land tenure system, access to agricultural services, and the natural environment.

Increasing physical and economic **access** generally refers to the individual or household's use of its assets to generate income and obtain food, water, and health services. This can include purchase, trade, and barter. Access therefore depends on a household's or individual's purchasing power, which is determined by income levels and prices. These are affected by a household's income-generating activities and remuneration for such activities, in addition to consumer prices. These, in turn, are influenced by factors such as land, labor, access to financial services, health and education status, and intra-household resource allocation and responsibilities. Finally, these are influenced by basic social, political, and natural determinants, including rural infrastructure, microfinance institutions, government policies (such as marketing boards) and road networks.

Improving **utilization** refers to the individual's ability to use food and water in good health. Utilization depends on the stage of life, such as infancy, pregnancy, lactation or presence of illness such as those that inhibit nutrient absorption (such as HIV or intestinal parasites) and those that affect the appetite (such as diarrhea, malaria, HIV, or tuberculosis). Health status is immediately determined by infant and young child feeding practices, the environment, access to safe drinking water, health behaviors and access to basic health services. These, in turn, are affected by factors such as inadequate investment in health and sanitation infrastructure, cultural norms, and ethnomedical belief systems.

Underlying these three components (near the bottom of the diagram) are **natural shocks and economic, social and health, and political risks**. Thus, risk becomes a critical and underlying pillar of food security. While these shocks and risks can negatively impact availability, access, and/or utilization, if they are identified and mitigation or prevention actions are undertaken; these managed risks can actually protect and strengthen food security.

As will be discussed further in Chapter 6, the middle section of the FFP framework concerns program outcomes (5 main categories of interventions aiming to improve food security) and how they relate to program objectives as well as to the pillars of food security. The middle section should be used during the project design ("action") part of the MYAP development process, whereas the top and bottom sections should be used during the assessment and analysis steps of the process.

3.2.3 Risks, Hazards/Shocks, and Vulnerability in the IHD and Food Security Frameworks

Both the IHD and the food security frameworks incorporate the impact of shocks on households’ assets, strategies and outcomes. It is important to understand that the concepts of shocks, risk and vulnerability may have distinct definitions across different agencies, which can result in some confusion. This manual adopts the terminology used by the International Strategy for Disaster Reduction (ISDR), which is similar (but not identical to) the definitions provided in CRS’ *Users’ Guide to Integral Human Development*.²⁴ Though this document will not delve deeply into the terminology of disaster risk reduction, it attempts to align with what is used in the IHD Framework and is applied to CRS’ work in disaster risk reduction.

As previously discussed, **shocks** are commonly defined as severe, negative events that harm people’s lives and/or livelihoods, such as natural disasters, epidemics and conflict. A synonymous term with shock is a **hazard**, which refers to a potentially “damaging physical event, phenomenon or human activity that may cause the loss of life or injury, property damage, social and economic disruption or environmental degradation.” In keeping with the terminology used in CRS’ IHD Framework CRS uses “shock” synonymously with “hazard.”

It is important to define three related concepts: risk, hazard and vulnerability. According to the ISDR:

Risk ²⁵	=	Hazards	x	Vulnerability ²⁶
The probability of harmful consequences, or expected losses (deaths, injuries, property loss, livelihood loss or disruption, economic disruption, or environmental damage) resulting from interactions between natural or human-induced hazards and vulnerable conditions.		A potentially damaging physical event, phenomenon or human activity that may cause the loss of life or injury, property damage, social and economic disruption or environmental degradation.		The conditions determined by physical, social, economic and environmental factors or processes, which increase the susceptibility of a community to the impact of hazards.

Determining disaster risks must first begin with the identification of what are the threats and who and what is vulnerable to the threats. Risk is often calculated using the formula:

$$Risk = Hazards \times Vulnerability$$

Vulnerability is the component in the risk equation over which we can have the most influence through community-based interventions. Table 3.3 provides an example of two communities with differing vulnerabilities and associated risk. Both Community A and Community B are exposed to the same hazard or shock (hurricanes), but their level of vulnerability differs. This in turn translates into different levels of risk. Due to its location, Community A’s risk from a hurricane is lower than Community B’s risk. Understanding this difference should influence the programmatic targeting and response.

24 This terminology is used by CRS’ Emergency Operations Department and many other organizations. However, it is important to recognize that these terms are defined somewhat differently by the World Bank and USAID/FFP.

25 An alternative definition of risk is the probability of being affected by a shock. Types of risk include natural risks, health risks, economic risks, life-cycle risks, social risks, political risks or environmental risks. When a risk materializes, it is known as a shock. Hoogeveen, J., E. Tesliuc, R.Vakis, with Stefan Dercon. 2001. *A Guide to the Analysis of Risk, Vulnerability and Vulnerable Groups*. Unpublished mimeo, Social Protection Network, the World Bank.

26 In its FY09 Title II guidelines, USAID/FFP defines vulnerability to food insecurity as a “forward looking concept related to people’s proneness to future acute loss in their capacity to acquire food. The degree of vulnerability depends on the characteristics of the risks and a household’s ability to respond to risk” (TANGO International 2004). While the definition is different from that proposed by ISDR, the concept is the similar.

Table 3.3 Comparison of Two Communities with Differing Levels of Vulnerability

Risk	=	Hazard/Shock	x	Vulnerability
Community A				
Risk	=	Hazard/Shock	x	Vulnerability
Low	=	Living in a hurricane area; event pattern increasingly severe every five years	x	Live inland Have diversity of livelihoods; plant in highlands and lowlands Have reinforced homes—hurricane straps, reinforced foundations Have family members in the city Have high social capital Have title to their land
Community B				
Risk	=	Hazard/Shock	x	Vulnerability
High	=	Living in a hurricane area; event pattern increasingly severe every five years	x	Live in coastal areas and areas prone to landslides Livelihoods depend on lowland planting and animal grazing Repair homes after each hurricane season with mud and straw Do not have title to their land

Examples of reducing vulnerabilities include strengthening and diversifying livelihoods, adaptation of agricultural practices due to climate change, establishing disaster early warning systems and planning for disasters through community preparedness planning and linking communities with other disaster risk reduction actors including local government bodies.

Capacities must also be factored into the risk equation. Some risk calculations are expressed as *Risk = Hazards x Vulnerabilities—Capacities* whereby capacities to mitigate and reduce risks contributes to decreased vulnerability. To illustrate, Orissa, India is increasingly affected by torrential and prolonged rains during the cyclical monsoon season. The communities most at-risk have been identified as those that are situated in low lying flood-prone areas, whose livelihoods are severely disrupted by the floods, that live in sub-standard housing damaged or destroyed by floods, that have little or no government support. Efforts to reduce their level of vulnerability might include training and assistance to implement a flood early warning system, to plan evacuation routes, to identify safe havens, to carry out search and rescue, and to implement other emergency preparedness and response activities. These increased capacities are resulting in reduced loss of lives and livelihoods and a return to productivity more quickly after the disaster.

Before the shock occurs, households can minimize the impact of these hazards by engaging in prevention activities; households can also mitigate the impact of these shocks after they occur.

The concepts of risk, shock and vulnerability are important in both the IHD framework and USAID/FFP's expanded conceptual framework for food security. The next section (3.2.4) discusses the similarities and differences among the different frameworks, and what this means for CRS MYAPs.

3.2.4 Comparing the Two: How Do the IHD and Food Security Frameworks Fit Together?

The existence of the food security and IHD frameworks has created some confusion among CRS country programs. CRS country programs have wondered whether and how the IHD and food security frameworks can be reconciled while submitting a MYAP.

By using the IHD Framework, CRS is in many ways aligning its programming more closely with the FFP ‘expanded conceptual framework’. As described in the previous section, the FFP Food Security Framework includes a new focus on shocks and risks as an underlying fourth pillar. This is also an explicit focus of the IHD Framework, as “Shocks, Cycles & Trends” affect all the other components in the framework (assets, structures and systems, strategies, and outcomes).

If one of the IHD “outcomes” is defined as “improved food security”, then the two frameworks mutually support each other. The Food Security Framework outlines the *what*, or the main underlying factors to food insecurity (access, availability, utilization, and risk) whereas the IHD Framework helps point the way to *how* to understand those factors, exploring questions such as: What assets do people have and how do these help or hinder their access? What strategies do people use to improve food availability? What systems (such as cultural beliefs) are in place that negatively impact people’s utilization? What are the most significant risks (shocks, cycles and/or trends) and how have these impacted people’s assets and strategies?

Table 3.4 provides a brief review of some of the main similarities between the IHD and FFP/Food Security Frameworks.²⁷

Table 3.4 Similarities between the IHD Framework and FFP Food Security Framework

	Food Security Framework	IHD Framework	Implication for MYAP
Goal	Food insecurity in vulnerable populations reduced	Food insecurity in vulnerable populations reduced (in a sustainable manner) could be one outcome in the “outcomes box” of the IHD Framework.	Food Security is part of the larger CRS goal of “meeting basic needs while living in dignity,” an integral part of social justice.
Risk	Risk added as a fourth pillar, underlining the other pillars of access, availability, and utilization	“Shocks, Cycles and Trends” box encourages the identification of external risks to achieving food security, while the “Systems & Structures,” “Assets,” and “Livelihood Strategies” boxes provide possible ways in which the external risk is managed (resilience) and the impact of these risks on the most vulnerable	This is a new and critical component to the Food Security Framework. As a result, the analysis of food insecurity should begin with an in-depth understanding of the risks faced by communities, households, and individuals that may threaten food security.
Importance of enhancing human capital	One of three main strategies to reduce risk and positively impact food utilization, access, and availability	Human assets are central to the IHD framework; strengthening them is essential to achieving IHD (and therefore food security)	This emphasizes the importance of behavioral change as well as short-term strategies to reduce hunger.

²⁷ A more in-depth treatment of the similarities between the FFP strategy (which is based on the expanded food security framework) and IHD, as well as a discussion on how the use of these two frameworks will influence the response (or project design) can be found in Sellers, 2006.

	Food Security Framework	IHD Framework	Implication for MYAP
Emphasis on enhancing livelihood capacity	One of three main strategies to reduce risk and positively impact food access, availability, and utilization	“Livelihood strategy” box will facilitate looking beyond “increasing rural or agricultural productivity” to what is needed to promote livelihoods and reduce risks (for example, through diversifying crops, livestock or market activities, improving water management, etc.).	This underlines the importance of taking a wider view on ways to improve household food access/availability beyond agricultural productivity.
Focus on community resiliency (ability to rebound and thrive after a shock)	One of three main strategies to reduce risk and positively impact food availability, access, and utilization	The clear definition of the connections between shocks, livelihood strategies, assets, structures and systems at the community level naturally leads to strengthened resiliency	This emphasizes the importance of identifying ways to assist communities in responding more effectively to shocks.
Recognition of the importance of governance (and community capacity to influence factors) in achieving food security	The issue of governance (and political risks) underlies all of the other risks and affects food availability, access, and utilization.	Systems and structures (as well as social and political assets) emphasize the importance of governance and community capacity to act. Community capacity to influence factors that affect food security determines how well individuals (and communities) can capitalize on their assets to produce livelihoods and to protect their assets from shocks.	This new focus provides an opportunity to strengthen community capacity and governance through such actions as training and technical assistance to communities to undertake needs assessments, manage/mitigate conflict, advocate for resources, etc.

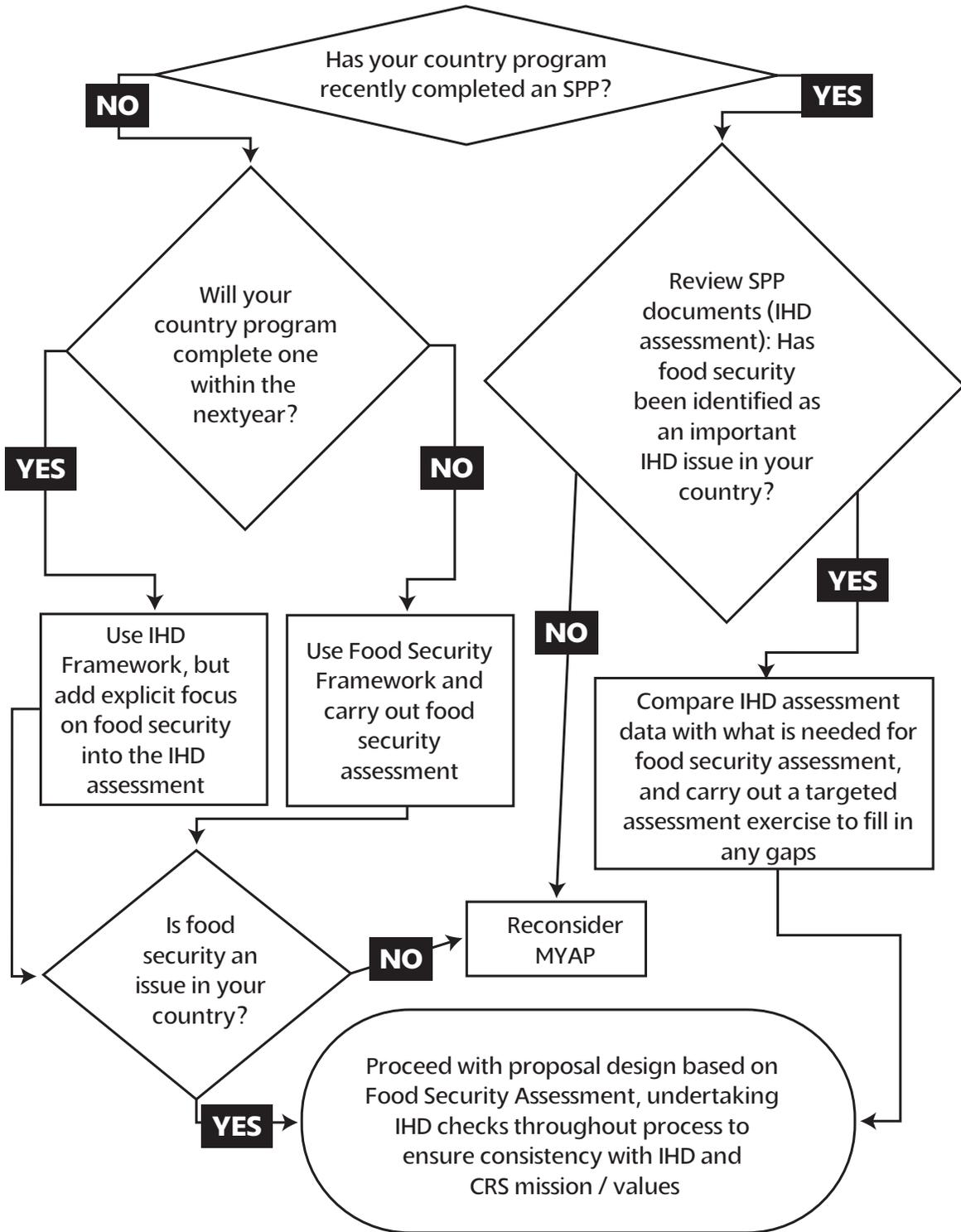
As can be seen from Table 3.4, there are many similarities between the IHD and Food Security Frameworks: both have similar ‘outcomes’ or goals; both look at external factors that affect outcomes—which could include food security (or IHD); and both have an emphasis on human assets, livelihood capacity, and strengthening the ability to respond to shocks (community resiliency).

While there are a number of similarities between the two frameworks, there are some notable differences as well. Most importantly, the IHD framework includes human dignity as a central outcome, which is not an explicit outcome in the food security framework.²⁸ In addition, the visual presentation of the two frameworks is quite different, with the Food Security Framework more linear in nature.

Consequently, country programs that are preparing MYAPs must make a decision whether to use the IHD or Food Security Framework during the first phase of MYAP project design (assessment and analysis). Both frameworks have advantages and disadvantages. The Food Security Framework links directly to USAID/FFP’s strategy and has some well-known project design tools, although it is narrower in its outcomes. The IHD Framework, by comparison, links directly to CRS’ Agency Strategy, but doesn’t have quite as many well-established project design tools and doesn’t have the same explicit focus on food security. Using elements of both frameworks during the first phase of the MYAP design process can yield a higher-quality project proposal.

²⁸ It is, however, part of FFP’s vision for global food security, which is: “A world free of hunger and poverty, where people live in *dignity*, peace and security” (USAID/FFP, 2005. *Strategic Plan for 2006-2010*. Washington, D.C.: USAID).

Figure 3.3 Decision Tree for Using the IHD or Food Security Framework





In order to determine which framework to use, country programs should consider the decision tree in Figure 3.3. As is evident in the decision tree, this manual focuses on using the food security framework for project design, although incorporating elements of the IHD framework during certain steps. When an IHD “check” is required at a certain stage in the MYAP design process, an icon appears in the margin of the document (as in the example presented here).



Review the IHD and food security conceptual frameworks in Figures 3.1. and 3.2. What are the similarities and differences for the outcomes of both frameworks? What are the similarities and frameworks in the strategies used to achieve these outcomes? What are the similarities and differences in the assets, systems and structures in both frameworks?

3.3 Additional Resources

For more detailed information on the IHD and food security frameworks, suggested references include the following:

- Africare. 1999. *Africare Field Manual on the Design, Implementation, Monitoring and Evaluation of Food Security Activities*. Washington, D.C.: Africare.
- Benson, C. and J. Twigg. 2007. *Mainstreaming Disaster Risk Reduction: Guidance Notes for Development Organisations*. Geneva: ProVention Consortium Secretariat. Available at www.interaction.org/files.cgi/6460_tools_for_mainstreaming_DRR.pdf
- CRS. 2006. *SPP Guidance for CRS Country Programs*. Baltimore: Catholic Relief Services (CRS) CRS. April 2008. *Protocols for MYAP Proposal Development Standards and Support*. Baltimore: Catholic Relief Services (CRS).
- Heinrich, G., D. Leege and C. Miller. 2008. *A User’s Guide to Integral Human Development: Practical Guidance for Staff and Partners*. Baltimore: Catholic Relief Services (CRS).
- International Strategy for Disaster Preparedness (ISDR). 2004. *Living with Risk—A global review of disaster reduction initiatives*. Geneva: United Nations ISDR.
- Sellers, A. 2006. *IHD and the New FFP Strategy: How to Make the Link in MYAPs*. Baltimore: Catholic Relief Services (CRS).
- Twigg, J. June 2007. “Disaster Reduction Terminology: A Common Sense Approach.” Humanitarian Exchange No. 38. *Humanitarian Practice Network*. Available at <http://www.odihpn.org/report.asp?id=2893>
- USAID/FFP. 2005. *Strategic Plan for 2006-2010*. Washington, D.C.: USAID. http://www.usaid.gov/our_work/humanitarian_assistance/ffp/ffp_strategy.2006_2010.pdf
- von Braun, J., H. Bouis, S. Kumar, and R. Pandya-Lorch. 1992. *Improving Food Security of the Poor: Concept, Policy, and Programs*. Washington, D.C.: IFPRI. Available at www.ifpri.org/pubs/books/oc23.pdf

Part III
Conducting the
Project Design
Process for
MYAPs

Chapter 4

Food Security Assessments

This chapter includes information on the following topics:

4.1 Step 1.3 Conduct Macro-Level Food Security Assessments

4.1.1 An Overview of Assessments: What, Why and How

4.1.2 The Macro-Level Food Security Assessment and Food Security Mapping Exercise

4.1.3 Strengths and Weaknesses of the Mapping Approach

4.1.4 Beyond the Food Security Mapping Exercise

4.1.5 A Note on Macro-Level Food Security Assessments

4.2 Step 1.4 Conduct Micro-Level Food Security Assessments in Targeted Areas

4.2.1 Micro-Level Food Security Assessments

4.2.2 Beyond the Food Security Assessments

4.3 Additional Resources

4.1 Step 1.3 Conduct Macro-Level Food Security Assessments

	Preplan	Action Plan	Conceptual Frameworks	Macro Assessments	Micro Assessments	Problem Tree	Gap and Capacity	Sectoral and Geographic	Sectoral Assessments	Sectoral Analyses	Project Strategies	Food Aid	Exit Strategy	Funding Decisions	Results Framework	Draft Proposal	Submit MYAP Proposal	Review, Revise, Resubmit
PRE	1.1	1.2	1.3	1.4	1.5	1.6	1.7	2.1	2.2	2.3	2.4	2.5	2.6	2.7	3.1	3.2	3.3	

Information gathering is a necessary prerequisite to MYAP problem analysis and program design. Projects based on insufficient or faulty information may not correspond to the needs of vulnerable populations and may actually have a negative effect on people's lives. Moreover, a misplaced intervention wastes valuable donor and community resources.

CHAPTER 4

In preparation for the MYAP, it is important that CRS country programs gather information on the local context through **assessments**. An assessment is defined as a process of gathering information as the basis for future analysis and decision-making. Assessments are also referred to as research and field-based studies, situational analysis and program diagnosis. While assessments are often thought of as “data collection processes”, assessments and analysis are often done simultaneously.²⁹

There are four types of assessments that are necessary for the MYAP:

- A **national (macro) level food security or IHD assessment**, based primarily upon secondary data, which allows CRS country programs to target the most food insecure zones for possible intervention
- A **household/community (micro) level food security or IHD assessment**, based upon secondary and primary data, to pinpoint more precise causes of food insecurity in specific regions
- **Gap and capacity assessments** (Step 1.6)
- **Sectoral assessments** (Step 2.1) based upon secondary and primary data, in order to identify sectoral-specific problems and form the basis for potential interventions

This chapter includes information on **macro (national) and micro food security assessments** (Steps 1.3 and 1.4), as well as information on specific assessment methodologies. Chapter 5 covers gap and capacity assessments, and Chapter 6 provides information on sector-specific assessments.

4.1.1 An Overview of Assessments: What, Why and How

In the context of the MYAP, information gathering is a necessary prerequisite to the project proposal, in order to identify needs, determine gaps and capacities and prioritize possible interventions.

In order to gather information, different assessment methodologies can be used. Assessments can be based upon **primary or secondary data**, and can use either **qualitative or quantitative techniques**. The key is to match the methodology with the kind of information that is needed. In many cases, the best approach will

²⁹ There is often some confusion regarding the difference between assessments and baseline surveys, both of which involve gathering information. Assessments are open-ended regarding the themes and questions that are explored and are part of the project design process. Baseline surveys, by contrast, collect data that are needed to make comparisons between the pre-project situation and that same situation at midterm or at End of Project (EOP). Baseline surveys are usually undertaken after project design has been completed.

involve combining several different methods in order to put together the most complete picture of a given situation. A brief summary of the differences among these assessment methodologies is provided in Box. 4.1. A more comprehensive review of assessments is provided in *Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA): A Manual for CRS Field Workers and Partners* and *CRS' ProPack*.

BOX 4.1 PRIMARY AND SECONDARY, QUANTITATIVE AND QUALITATIVE

- **Primary data** is defined as data that an organization collects directly from the target population. **Secondary data**, on the other hand, is data that is collected from outside (secondary) sources. For example, a country program that carries out its own survey on children's nutritional status is collecting primary data, whereas a country program that obtains the same information from a demographic health survey (DHS) report is collecting secondary data.
- **Qualitative and quantitative methods** of collecting data differ on their approach and in the kinds of information they are best suited to collecting. In general, qualitative research is best-suited to answer the question "why," whereas quantitative research primarily focuses on the questions of "how many" or "how often." Qualitative research provides depth of understanding, whereas quantitative research measures degrees and levels of occurrence.
- Nevertheless, qualitative and quantitative techniques and data are not mutually exclusive; in many cases they can be complementary. Qualitative research may be used as a preliminary step in developing a quantitative survey, or as a way to help interpret the results of a quantitative survey.

Before carrying out an assessment, country programs should develop an assessment plan, which outlines how the assessment will be completed. In order to develop an assessment plan, a country program should address the following questions:

- Why are we doing this assessment and what are the specific objectives?
- What information do we need in order to meet these objectives, and what conceptual framework(s) will be used?
- How will this information be collected? In other words, what methods will be used, who will be interviewed and where should this information be collected?

Setting clear objectives for the assessment is crucial for determining the methodology, tools and techniques to be used during the data collection process.

4.1.2 The Macro-Level Food Security Assessment and Food Security Mapping Exercise

Macro-level food security assessments are an important part of the MYAP design process. Using the food security framework as a guide, macro-level assessments assist country programs in identifying the most food insecure or vulnerable zones in the country, which can then be targeted for future interventions. After the macro-level assessment has been completed, micro-level assessments should be conducted in the targeted regions.

Macro-level food security assessments can be carried out using a variety of methodologies. USAID's Famine Early Warning Systems Network (FEWS NET) collects information on a variety of socio-economic factors and monitors the ongoing food security situation. World Food Programme (WFP)'s Vulnerability Analysis

Mapping (VAM) also uses agricultural and economic indicators to target those zones that are the most vulnerable to food insecurity.

The mapping exercise used in this manual is a static assessment of the food security situation that allows country programs to identify the most food insecure zones in the country. CRS' food security mapping exercise involves five steps listed in Box 4.2:

In the first and second steps, country programs should collect secondary data at the national and sub-national (i.e., regional, state or division) level on food security and its main components: availability, access, utilization and shocks, trends or cycles. Box 4.3 summarizes the types of data that should be collected.

BOX 4.2 FIVE STEPS IN THE FOOD SECURITY MAPPING EXERCISE

- Step 1:** Choose indicators to measure the food security situation at the macro level
- Step 2:** Collect secondary data at the sub-national level on food security indicators
- Step 3:** Rank the regions according to the indicators
- Step 4:** Mark the most vulnerable regions on the map
- Step 5:** Identify the regions the most affected by food insecurity

BOX 4.3 DATA FOR THE FOOD SECURITY MAPPING EXERCISE

To measure the **overall food security status** of populations in the country, an ideal indicator is **nutritional status**—preferably the prevalence of stunting in the population, or height-for-age, particularly for children under 5 years of age (or 2 years of age if available). If these data aren't available, other acceptable indicators include per capita consumption (by region), weight-for-age (undernutrition) or height-for-weight (wasting).

To measure **availability**, an indicator is the **food balance sheet** (surplus/deficit production as compared to consumption needs). If this information is not available, possible alternatives include regional per capita production, regional harvest estimates and average rainfall.

To measure **access**, an indicator is **the percentage of the population living below the poverty line**. If these data are not available, alternative indicators include income per capita, expenditures per capita, or access to markets.

To measure **utilization**, a commonly used indicator is the **prevalence of diarrhea in children under 5 years of age** or **wasting of children under 5 years of age**. Other indicators could include data on prevalence of exclusive breastfeeding, feeding practices during diarrhea episodes in children, access to health services, access to potable water or sanitation services, the level of mothers' education and literacy rates.

Additional data should be collected on the **most common shocks, cycles or trends** that affect the population, such as drought, flood, cyclones, locusts, the prevalence of HIV and conflicts. To the extent possible, data on the impact of events should also be collected.

In Step 3, the country program should organize the data into a table (similar to Table 4.1), with each region ranked from “worst” to “best” for each indicator. For example, after CRS Niger collected data on per capita production (the “availability” column of Table 4.1.) it ranked the geographic regions using a “reverse ranking” approach. With this approach, the region with the *lowest* per capita production received the *highest* ranking (e.g., 1). This process allowed CRS Niger to prioritize those regions with the worst indicators.

Table 4.1 Food Security Mapping Exercise for CRS Niger’s MYAP

REGIONS	FOOD SECURITY		UTILIZATION		AVAILABILITY		ACCESS	
	Prevalence of stunting (<2 Z-scores) in Children under 5	Rank ³⁰	Prevalence of Diarrhea in Children under 5	Rank ³¹	Surplus/ Deficit Production (production as compared to consumption needs)	Rank ³²	Population Living below the Poverty Line	Rank ³³
Agadez	31.1%	5	30.1%	6	.18%	1	24%	4a
Diffa	42.1%	2	41.8%	3	31.47%	3	19%	7
Dosso	37.3%	4	44.8%	2	92.76%	8	43%	2
Maradi	47.3%	1b	49.1%	1	88.65%	6	39%	3
Niamey	18.1%	7	21.8%	7	3.4%	2	18%	8
Tahoua	40.1%	3	37.1%	4	84.67%	5	20%	6
Tillaberi	28.4%	6	35.8%	5a	70.91%	4	53%	1
Zinder	47.8%	1a	35.5%	5b	90.80%	7	24%	4b

After the regions have been ranked for each indicator, country programs should proceed to Step 4: highlighting the “worst” regions on a map. In the context of the food security mapping exercise, “worst” is defined as *those regions that fall below a specific, pre-determined benchmark or cutoff point for the indicator being used*. For example, in West Africa, CILSS has set 75 percent as the benchmark for acceptable food production as compared to consumption needs (also known as a “coverage rate”). For this reason, CRS country programs in the West Africa region have used 75 percent as a cutoff point for this indicator in the mapping exercise. Benchmarks for other indicators are provided in Box 4.4, with a more exhaustive list provided in Annex G.³⁴

BOX 4.4 SUGGESTED BENCHMARKS FOR FOOD SECURITY INDICATORS

- The benchmark for malnutrition is *stunting rates equal to or above 40 percent*, a level considered by the World Health Organization as severe. Therefore, regions with stunting rates above 40 percent would be identified on the map.
- The threshold for agricultural production is a *coverage rate of 75 percent*, defined as per capita food production compared to consumption needs. This is the cutoff criteria considered by CILSS as a deficit of food production. Therefore, regions with “coverage rates” below 75 percent would be marked on the map.
- The threshold for poverty is a *rate of extreme poverty above 50 percent*, meaning that more than 50% of the population is living below the extreme poverty threshold of USD \$1 per day. An alternative threshold defined by the World Bank is whether the per capita GDP in a particular region is less than USD \$2 per day. Therefore, regions with an incidence of poverty above 50 percent would be highlighted on the map.
- The threshold for utilization is a *prevalence of diarrhea above 20 percent*. Therefore, regions with diarrhea rates above 20 percent would be marked on the map.

³⁰ Provinces are ranked from the highest prevalence of stunting (1) to the lowest prevalence of stunting (7).

³¹ Provinces are ranked from the highest prevalence of diarrhea (1) to the lowest prevalence of diarrhea (7).

³² Rank the provinces from the lowest level of production per capita (1) to the highest level of production per capita (7).

³³ Provinces are ranked from the highest percentage of poverty (1) to the lowest percentage of poverty (7).

³⁴ The thresholds provided for each indicator are not exhaustive, and are subject to change. In many cases, cutoff points for health, poverty, food security and agriculture are available from international, regional and/or local institutes. For many health indicators, for example, the World Health Organization, the International Committee on Nutrition, and the Sphere Project are good resources. For poverty, the World Bank often provides guidelines for “acceptable” poverty thresholds. Finally, for agriculture, regional research institutes—such as CILSS in West Africa—will provide cutoff points for acceptable production levels. Country programs should consult these sources in order to obtain up-to-date information, but more information is provided in Annex G.

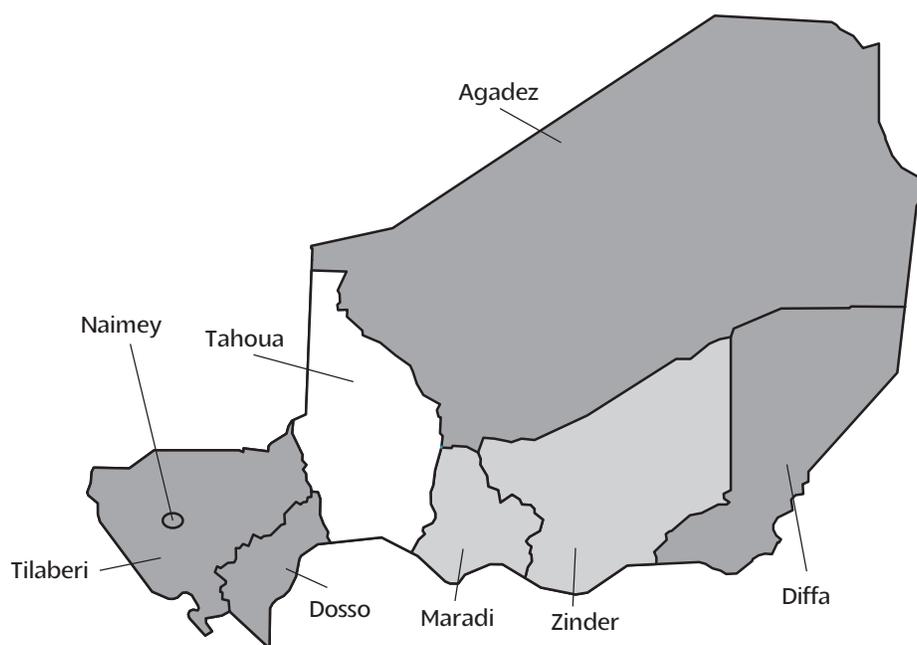


It is important to note that, while the threshold levels for health, nutrition and water and sanitation indicators are fairly standardized, this is not the case for agriculture and poverty indicators. For this reason, country programs might need to refer to national or regional standards for cutoff points for their country programs.

In Step 5, the CRS country program should proceed to identifying the most food insecure regions of the country. At this stage, the regions with low levels (below the identified threshold) for **all or most of the indicators** should be identified as the most food insecure regions.

An example of this exercise for CRS Niger is provided in Figure 4.1. On this map, the darkest regions represent the extremely food insecure regions, or those areas that had low levels for all of the indicators; the lighter regions represent highly food insecure areas, or those regions with low indicators for 3 of the 4 indicators. The unshaded regions on the map represent areas that were not identified by the mapping exercise as being either extremely or highly food insecure, although food insecurity could still exist in these areas.

Figure 4.1 Results from CRS Niger’s Food Security Mapping Exercise for the MYAP



Review the data for CRS Niger’s food security mapping exercise in Table 4.1. Which regions have the lowest levels of production? Which region has the highest prevalence of poverty? Which region is the most food insecure?

The food security mapping exercise in Figure 4.1 does not include potential risks to food insecurity in Niger, which are necessary to target regions the most vulnerable regions. Nevertheless, many country programs also collect data on potential risks to food insecurity, such as conflicts, drought and the prevalence of HIV.

In preparation for its MYAP, CRS Gambia conducted a food security mapping exercise that included data on potential hazards to food insecurity. CRS Gambia first collected data on the food security outcomes and strategies (availability, access and utilization) and conducted the mapping exercise. At the same time, CRS

Gambia collected data on hazards to food insecurity (the frequency of conflicts and the prevalence of HIV). While the inclusion of conflict in the mapping exercise did not affect the results, HIV prevalence affected the country program's targeting priorities. In the normal mapping exercise, food insecurity was highest in the Upper and Central River Divisions of The Gambia. Once the HIV prevalence was included, the Western Division was also identified as a vulnerable region.

4.1.3 Strengths and Weaknesses of the Mapping Approach

While the mapping exercise is a useful tool for targeting food insecure regions in a country, like most assessment tools it has strengths and weaknesses. Key **strengths** of the mapping exercise are the following:

- It targets the most food insecure regions in a country, so that country programs can focus future micro-level assessments in these areas.
- It is based upon secondary data, and so requires minimal human and financial investment.
- It is simple and easy-to-use, therefore enabling for the full participation of CRS country program and partner staff.
- It analyzes the food security situation over a multi-year period, rather than on an annual basis.
- It can identify those regions with increasing levels of vulnerability if risks and shocks are also included.

In terms of **weaknesses**:

- Administrative levels can hide sub-regional discrepancies and/or differ from food economy zones.
- The secondary data can be of dubious quality and out-of-date.
- It weights all of the indicators equally (food security, availability, access and utilization), rather than establishing a numeric index.
- It is not statistically significant.
- It does not show intra- or inter-annual changes or risks unless data is collected over several years.

4.1.4 Beyond the Food Security Mapping Exercise

Once a CRS country program has completed the macro-level food security mapping exercise, it has important information about the most food insecure regions in the country (or those regions that are the most vulnerable to food insecurity). Nevertheless, before moving onto the micro-level assessments, a country program might need to conduct intermediary assessment steps. Although the steps outlined in the manual are presented in a linear manner, in most cases, the MYAP process is not as simple as jumping from the food security mapping exercise to micro-level assessments.³⁵

For example, if a country program's food security mapping exercise reveals a large number of food insecure regions, the country program might decide to conduct the mapping exercise on a smaller administrative level. Or, if a country program feels comfortable with the results of the analysis, it might decide to collect additional secondary data on food security in the targeted zones, in order to determine whether further micro-level food security assessments are needed.

³⁵ The results of the mapping exercise help the country program to decide where to conduct micro-level food security assessments. Nevertheless, the final decisions regarding MYAP targeting must also include discussions with the donor, an analysis of other actors (gap analysis), a capacity analysis, an evaluation of resource opportunities and constraints and potential synergies (integration) with other programs.



4.1.5 A Note on Macro-Level Food Security Assessments

This section has focused on the data collection needs for conducting a food security mapping exercise. While specific data are required for the food security mapping exercise, during this step, it is also recommended that country programs collect data on the general food security situation in the country, using the IHD framework as a check. These data—in conjunction with data collected during micro-level food security assessments—will be used during the food security problem analysis. From a planning standpoint, it can therefore be beneficial (and cost-effective) for a country program to collect all of the secondary data on the macro -level food security situation at the same time.

These data are similar to the data required for the food security mapping exercise, although broader and more qualitative in nature. It is recommended that CRS country programs collect data on the following topics:

- **General demographic statistics:** Total population, life expectancy, fertility rates, infant mortality, maternal mortality.
- **General food security:** Food and water consumption, prevalence of stunting in children under 5.
- **Availability:** Agriculture and the environment (dominant food and cash crops, access to improved varieties, seed systems, production levels, land size and use, marketing systems, productivity and yields, crop pests and diseases and management practices, farming systems, irrigation systems, utilization of natural resources, access to and quality of extension services, and agricultural policies).
- **Access:** Poverty and the economy (poverty levels, income-generating activities, employment, economic activities, access to financial services and related policies, training and education levels, roads and infrastructure, and market systems and prices, and dominant coping strategies).
- **Utilization:** Health statistics (malnutrition in particularly stunting among children under 2 years old, immunization rates), micronutrient deficiencies, practices (including data on exclusive breastfeeding, infant and young child feeding, feeding practices during illness, use of complimentary foods, hygiene and sanitation), prevalence of diseases by age and sex that may impact nutritional status and productivity (e.g. intestinal worms, HIV, tuberculosis, malaria, schistosomiasis, others), access to and quality of health services, access potable water and relevant government policies, often developed by the Ministry of Health.
- **Shocks, Cycles and Trends:** Prevalence of conflicts, natural disasters, other food security risks, the populations affected and their mitigation strategies. Existence and quality of early warning systems and relevant government policies.
- **HIV and AIDS:** Prevalence, behavioral practices (related to prevention, care, and support), access to treatment, and government policies.
- **Education:** Literacy rates, access to education, average years of schooling, and enrollment levels.
- **Governance:** Government policies in the key sectors/areas, political system, participation of the population in local and national governments.
- **Gender:** To the extent possible all data should be disaggregated by sex, which may help to highlight differential access to food security related assets, services and outcomes. Knowing gender policies and practices of the government, partners and other stakeholders relevant to food security is also helpful (e.g. differences in men's and women's property rights related to various assets, gender related risks such as migration and its impacts on men and women, etc.).³⁶

³⁶ Two highly valuable resources for gender include the *Gender Checklist* developed by the Bill and Melinda Gates Foundation and World Bank, FAO, IFAD. 2009. *Gender in Agriculture Sourcebook*. Washington, D.C.: The International Bank for Reconstruction and Development/The World Bank.

These data can be obtained from a wide variety of sources, including the World Bank, Demographic and Health Surveys (DHS), host government ministries, UN agencies, other NGOs, research institutions and universities. A large amount of country- and even region-specific information is available on-line and in published academic journals.³⁷ Once collected, the data should be organized in a data sheet.

After the micro-level assessments have been conducted, these data can also be incorporated into the data sheet; this “final” data sheet will be used for the food security problem analysis. An example of a data sheet for CRS Congo is provided in Annex I. Ensuring complete references are included on the data sheet is an invaluable resource for the problem analysis and program strategy sections of the MYAP proposal. In addition to being useful for the proposal development process, data collected during the macro-level assessment should also be used to inform the check list and questions for the micro-level food security assessment.



In cases where internet access is poor country programs should contact appropriate public resource specialists and technical advisors at the regional and/or headquarters levels.

4.2 Step 1.4 Conduct Micro-Level Food Security Assessments in Targeted Areas

	Preplan	Action Plan	Conceptual Frameworks	Macro Assessments	Micro Assessments	Problem Tree	Gap and Capacity	Sectoral and Geographic	Sectoral Assessments	Sectoral Analyses	Project Strategies	Food Aid	Exit Strategy	Funding Decisions	Results Framework	Draft Proposal	Submit MYAP Proposal	Review, Revise, Resubmit
PRE	1.1	1.2	1.3	1.4	1.5	1.6	1.7	2.1	2.2	2.3	2.4	2.5	2.6	2.7	3.1	3.2	3.3	

After the mapping exercise is conducted, CRS country programs should conduct **micro-level food security assessments** to gather more information on community- and household-level food security.³⁸ As it isn't possible or feasible for country programs to conduct micro-level assessments on a nationwide basis, the results from the mapping exercise (Step 1.3) should be used to determine the geographic location of the assessments.

In general, micro-level food security assessments are used to collect secondary and primary data in the regions identified during the mapping exercise. For secondary data, food security data should be collected from a wide variety of secondary sources, such as other NGOs, government agencies or international organizations. If secondary data is insufficient or lacking, primary data should then be collected. While a combination of assessment methodologies can be used for micro-level assessments, qualitative methodologies are usually the most appropriate at this stage of MYAP project design, as the country program is attempting to determine why food insecurity is an issue, what might be some of the root causes, and how the communities cope. Consequently, this section focuses on rapid rural assessments, primarily rapid rural appraisals (RRAs). A complete treatment of RRAs—including the what, why and how—is outside of the scope of this manual. For detailed information on this subject, CRS country programs should consult *Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA): A Manual for CRS Field Workers and Partners*.

³⁷ Some publicly available resources that can be used to find academic literature include Google Scholar <http://scholar.google.com/> and PubMed <http://www.ncbi.nlm.nih.gov/pubmed/>.

³⁸ This manual refers to food security assessments, although the IHD conceptual framework can complement this approach.

4.2.1 Micro-Level Food Security Assessments

Although a variety of assessment methodologies exist for collecting micro-level data, RRAs are an effective way of collecting data on the household and village-level food security situation. RRAs describe the reasons “why” a certain event (such as food insecurity) is occurring, and can be combined with quantitative assessments (such as anthropometric surveys) to collect a complete set of information.

There is no generally accepted definition of RRA. An RRA is more commonly described as a systematic but semi-structured activity conducted by a multidisciplinary team, designed to obtain new information and to formulate new hypotheses about rural life. RRAs are based upon four key principles:

- **Reversal of learning**, whereby the project design team learns from people directly and on-site
- **Learning rapidly and progressively**, whereby the project design team adapts and plans further information gathering during the assessment
- **Offsetting biases**, meaning that project design team members proactively seek out poorer people, neglected groups, more marginal communities and households
- **Triangulation**, meaning that project design teams use a range of methods, types of information, diversity of team members and sector perspectives to crosscheck information and deepen understanding of the issues.

The distinction between RRA and other research methodologies depends upon its multidisciplinary approach and the particular combination of tools that it employs. A core concept of RRA is that research should be carried out not by individuals, but by a team comprised of members drawn from a variety of appropriate disciplines. With this in mind, RRA tools are typically interactive and multi-disciplinary in nature. A summary of some of the most important RRA tools are included in Box 4.5.

BOX 4.5 ASSESSMENT TOOLS USED IN RAPID APPRAISALS

Wealth ranking: A process whereby communities identify three to five wealth groups within their community and describes the characteristics of each—group e.g., quality of assets (livestock, shelter, access to labor), length of hungry season experienced, coping strategies, etc. To have an idea of the number of community members falling into each group small stones or other small objects can be divided into piles proportional to the size of the wealth groups within the community.

Participatory mapping: A visual tool that is used to gather information about a range of issues of village life, including infrastructure, markets, landmarks and relationships with other villages

Transect Walk: A walk through the community with village guides to directly observe the village environment and to gather information on its historical development, infrastructure and social organization

Semi-structured interviewing: Interviews using open-ended questions to learn about the village and consumption patterns. Valuable information could include: types of food consumed, trends in production, household food distribution, income sources, access to health services, comparisons of years of good and bad harvest, and strategies for coping with food crises.

Historical profile: Dated list of key events in the history of the community.

Venn Diagram: Diagram that illustrates social relationships in the village, particularly with regards to internal community organization.

Calendars: Diagrams that focus on seasonal topics and how they change throughout the year. Topics such as income, labor, consumption, disease and migration can be illustrated on a calendar.

Similar to the mapping exercise, before carrying out the micro-level assessments, country programs should develop an assessment plan, addressing the following questions:

- Why are we doing this assessment and what are the specific objectives?
- What information do we need in order to meet these objectives, and what conceptual framework(s) will be used?
- How will this information be collected? In other words, what methods will be used, who will be interviewed and where should this information be collected?
- Other points important for data quality or ethical questions, such as data reliability, gender concerns, etc.

The answers to these questions should be used to develop a scope of work (SOW) for the micro-level assessments.³⁹ An example of a SOW for a MYAP micro-level assessment is available in Annex H. While this SOW focuses primarily on food security, country programs should conduct an IHD check of the SOW, ensuring that it includes relevant assets, systems and structures, as well as shocks, cycles and trends. Also, because all country programs are different, the SOW must be adapted to the local context. Collecting information about gender, especially men and women's roles in relation to food security, is critical. In her 2008 article, Salkeld identified four major areas where information about gender is critical:⁴⁰



1. “The gendered division of labor, both in productive and reproductive activities, daily schedules, and mobility mapping.
2. Asset ownership and control, detailing who owned, used, and had decision-making control over household assets.
3. Community participation and decision-making processes, including involvement in community activities, and how women and men participate in community decision-making processes.
4. Livelihood aspirations of women and men.”

Other considerations might include collecting data about women's access to training, especially agricultural training, as well as community norms concerning working in the field for pregnant and lactating women. More specific questions about gender are available in some of the documents listed in the additional resources section of this chapter.

³⁹ While Bonnard (2002) focuses on SOWs for mid-term and final evaluations, it may be helpful in preparation for the micro-level food security assessment. Bonnard, P. 2002. *Title II Evaluation Scopes of Work. Technical Note No. 2*. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED). Available at <http://www.fantaproject.org/downloads/pdfs/tn2SOW.pdf>

⁴⁰ Salkeld, A. 2008. The value of gender analyses in humanitarian livelihoods programming: a case study from Nias Island, Indonesia. *Gender and Development*. 16:1,117 -131.



- Has the assessment linked macro-level issues with their effects at the micro level? (i.e., international or national agreements or policies that affect farmers)
- Has the assessment analyzed the interaction (or lack thereof) between national level structures and local communities?
- Has the assessment analyzed the extent to which structures and systems enable or constrain achievement of food security or IHD outcomes?
- Has the assessment analyzed the degree to which local communities influence structures and systems successfully on issues that affect them?
- Has the assessment identified a wide range of assets types (including asset quality) to which individuals, households and communities may or may not have access?
- Has the assessment identified any obstacles to access and control over those assets by individuals, households or communities?
- Has the assessment identified any limiting factors that constrain the use of these assets?
- What are the dominant shocks, cycles and trends faced by the community? And who is most vulnerable to them?
- Has the assessment analyzed the range of strategies that individuals and household develop through combining their assets within the context of shocks, cycles and trends, structures and systems?
- Has the assessment analyzed the degree to which individuals and households achieve food security or IHD outcomes through their strategies?



Review the list of RRA assessment tools in Box 4.5 and the draft SOW in Annex H. Which tools would be useful for collecting data on Objective 1? Which tools would be useful for collecting data on Objective 4?

4.2.2 Beyond the Food Security Assessments

Once a CRS country program has completed the micro-level assessments, it should combine the micro-level data with the secondary data collected during Step 1.3. Both datasets should be organized, ideally in a summary report or in a “Food Security Fact Sheet” for the country.⁴¹ An example of a food security fact sheet is provided in Annex I. The CRS country program will use this information in the next stage of the MYAP design process: the problem analysis.

⁴¹ If the country program hires an external consultant or uses a technical advisor to conduct the micro-level assessments, organizing the data into report can be a specific task or deliverable in the SOW.

4.3 Additional Resources

For more information on assessments, CRS country programs should consult the following resources:

Bill and Melinda Gates Foundation. ND. *Gender Checklist*.

Cogill, B. 2003. *Anthropometric Indicators Measurement Guide*. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED). Available at http://www.fantaproject.org/downloads/pdfs/anthro_2003.pdf

Crawford, I. M. 1997. *Marketing Research and Information Systems*. Rome: FAO. Available at <http://www.fao.org/docrep/W3241E/w3241e00.htm#Contents>

DFID. 2008. *DFID Sustainable Livelihoods Guidance Sheets*. Available at http://www.livelihoods.org/info/info_guidancesheets.html

FANTA and WFP. 2007. *Food Assistance Programming in the Context of HIV*. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED). Available at <http://www.fantaproject.org/publications/fapch.shtml>

Heinrich, G., D. Leege and C. Miller 2008. *A User's Guide to Integral Human Development: Practical Guidance for Staff and Partners*. Baltimore: Catholic Relief Services (CRS).

Salkeld, A. 2008. "The value of gender analyses in humanitarian livelihoods programming: a case study from Nias Island, Indonesia". *Gender and Development*. 16:1,117 -131.

Schoonmaker –Freudenberger, K. 1999. *Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA): A Manual for CRS Field Workers and Partners*. Baltimore: Catholic Relief Services (CRS). Available at <http://crs.org/publications/>

USAID/GH/HIDN. 2007. Child Survival and Health Grants Program (CSHGP). *Technical Reference Materials: Maternal and Newborn Care*. Calverton, Md. Available at http://www.childsurvival.com/documents/trms/update_trms.cfm

USAID/GH/HIDN. 2007. *Child Survival and Health Grants Program (CSHGP). Technical Reference Materials: Nutrition*. Calverton, Md. Available at http://www.childsurvival.com/documents/trms/update_trms.cfm

World Bank, FAO, IFAD. 2009. *Gender in Agriculture Sourcebook*. Washington, D.C.: The International Bank for Reconstruction and Development/The World Bank. Available at <http://www.ifad.org/gender/pub/sourcebook/gal.pdf>

Part III
Conducting the
Project Design
Process for
MYAPs

Chapter 5

Analyzing Information from Assessments

This chapter will cover the following topics:

5.1 Step 1.5. Analyze the Data: Problem Tree and Key Leverage Points

5.1.1 Assessment and Analysis

5.1.2 Construct a Problem Tree

5.1.3 Construct a Food Security Problem Tree for the MYAP

5.1.4 Identify Key Leverage Points

5.2 Step 1.6. Analyze the Data: Gap and Capacity Analyses

5.2.1 Conduct a Gap Analysis

5.2.2 Conduct an Organizational Capacity Analysis

5.3 Step 1.7. Determine Sectoral and Geographic Priorities for the MYAP

5.4 Additional Resources

5.1 Step 1.5 Analyze the Data: Problem Tree and Key Leverage Points

Preplan	Action Plan	Conceptual Frameworks	Macro Assessments	Micro Assessments	Problem Tree	Gap and Capacity	Sectoral and Geographic	Sectoral Assessments	Sectoral Analyses	Project Strategies	Food Aid	Exit Strategy	Funding Decisions	Results Framework	Draft Proposal	Submit MYAP Proposal	Review, Revise, Resubmit
PRE	1.1	1.2	1.3	1.4	1.5	1.6	1.7	2.1	2.2	2.3	2.4	2.5	2.6	2.7	3.1	3.2	3.3

Using the data collected from the macro- and micro-level food security assessments, the next step in the MYAP design process is to construct a food security problem tree, either for the entire country or for targeted regions. The purpose of the problem tree exercise for the country program is to clearly *identify the core food security problem facing the country* (including the geographic regions, populations and types of food insecurity); *to identify the immediate and underlying causes of the core problem and its effects*; and *to pinpoint those causes that have the most significant influence on the problem*. The results of this analysis, in addition to the gap and capacity analyses, will assist the country program in determining the most appropriate sector or thematic priorities for the MYAP.

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While this step can be conducted in a variety of ways, a workshop with CRS staff and partners has proven to be the most efficient and participatory approach to constructing a problem tree. CRS has developed workshop materials for a problem tree exercise, which are referenced in Annex M.

5.1.1 Assessment and Analysis

Whereas assessments are broad, horizontal processes where a wide variety of issues are explored, analysis is a deep, “vertical” process where selected issues are probed in depth to gain deeper insights.

Analysis helps project stakeholders make sense of the information gathered during assessments.

It is all too easy for country programs to fall into the trap of collecting too much information during assessment that is then difficult to manage and analyze.

Similar to the different types of assessments, there are four types of analyses associated with the MYAP design process. These include:

- **Problem analysis** (problem tree) of the food security problem (Step 1.5)
- **Gap analysis** (analysis of unmet needs) (Step 1.6)
- **Capacity analysis** (Step 1.6)
- **Sector-specific problem, gap and capacity analyses** (Step 2.2)

This chapter focuses on the food security problem analysis, which helps to distinguish between core problems and immediate and underlying causes. The way in which the problem is identified and analyzed determines possible project strategies and interventions.

5.1.2 Construct a Problem Tree

A **problem tree** is an analytical tool used to analyze the primary and secondary data collected through the micro-level food security or IHD assessments. The problem tree is a simple but powerful exercise that identifies and visualizes the **cause** and **effect** relationships around a core problem. At this stage of the MYAP design process, the problem tree is related to the conceptual framework being used, i.e., food security or IHD.

Problem trees revolve around three crucial concepts:

- A **problem**, defined as a specific negative situation related to the human condition. It is not an absence of a solution.
- A **cause**, defined as an underlying factor that exists in the household, community, organization or external environment that brings about the problem.
- An **effect**, defined as a social, biological, environmental, political or economic condition, usually negative, that results from the problem.

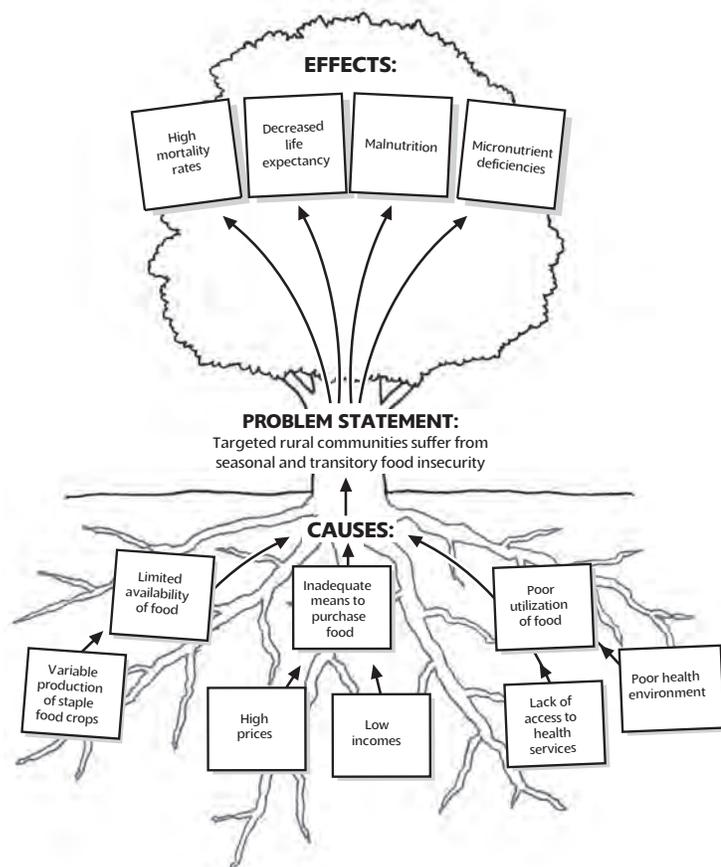
The basic steps for constructing a problem tree are as follows:

1. Draw an outline of a tree.
2. Using the data collected from micro-level assessments, identify the major problem(s) in the country, region(s) or communities.
3. Write a statement describing the core problem (problem statement) and post the statement on the trunk.
4. Discuss the immediate and underlying causes of the core problem. Post the causes on the roots.
5. Discuss the effects or consequences of the problem and post them on the tree branches.

The problem statement should identify *existing problems* and not possible, imagined, or future problems. A good problem statement should also contain the “who” (who is affected), the “what” (the specific problem) and the “where” (where the population is located). In addition, a strong problem statement should define the problem in a concrete manner (it can be measured) and should not mention causes or solutions. An example of a problem tree is provided in Figure 5.1.

Examples of strong and weak problem statements are provided in Box 5.1. For more information on constructing problem trees, country programs should consult CRS’ *ProPack I* manual.

Figure 5.1 Problem Tree



BOX 5.1 STRONG AND WEAK PROBLEM STATEMENTS

- ✗ **Weak: Some people in parts of Niger do not have a lot of money.**
This statement does not clearly define the people affected (who), the targeted areas (where), and does not clearly identify the problem (related to a specific standard).
- ✓ **Strong: Rural households in the Zinder and Dosso regions of Niger suffer from extreme poverty (i.e., below the World Bank standard of US 2 per day).**
This problem statement identifies the “who” (rural households), where (Zinder and Dosso) and what (extreme poverty).
- ✗ **Weak: Persons living with HIV and AIDS in Kenya are not cared for because of stigma surrounding the disease.**
This problem statement does not identify the where and mentions the cause of the problem (“because of stigma...”).
- ✓ **Strong: Persons living with HIV and AIDS in the rural areas of Kenya do not have access to proper care and counseling services.**
This statement is more specific and no longer mentions causes.

5.1.3 Construct a Food Security Problem Tree for the MYAP

For MYAPs, country programs should use the same process for constructing a problem tree as outlined in Section 5.1.2. Nevertheless, the problem tree should be specifically related to the food security problem, and should be based upon the data collected from the macro- and micro-level assessments.

The **food security problem** can be defined in one or more of the following ways:

- **Chronic food insecurity:** Inadequate access to sufficient food and/or water, or poor health, on a continuous basis.
- **Seasonal food insecurity:** Inadequate access to sufficient food and/or water, or poor health, during a certain time of year.
- **Temporary or transitory food insecurity:** Inadequate access to sufficient food and/or water, or poor health, immediately following a man-made or natural disaster.

When developing the problem statement, the country program should identify the type of food insecurity predominant in the country. In order to make this determination, country programs should refer to the data collected. Indicators of a food security problem include low levels of consumption (either on a continuous basis or a certain times of year), high rates of malnutrition (stunting or wasting) or high prevalence of micronutrient deficiencies.⁴²

In some countries, multiple types of food insecurity might exist simultaneously. For example, in the Democratic Republic of Congo, CRS determined that certain populations suffered from chronic food insecurity, whereas others suffered from transitory food insecurity as a result of the conflict. To reflect this state, CRS Congo’s problem statement, “Vulnerable populations in rural areas of the Kivus suffer from chronic, transitory and seasonal food insecurity” identified all types of food insecurity.

⁴² In the past, many CRS country programs have had difficulty with identifying the food security problem. In this case, a country program should refer to the definition of food security for assistance. Since food security is defined as “access to sufficient food and water for all”, indicators of a food security problem are related to food intake, the prevalence of micronutrient deficiencies, or low consumption of water.

After identifying the core food security problem, the next step in the problem tree analysis is to analyze its **causes** (i.e. why and how the problem has occurred). In order to facilitate this analysis, it is helpful to ask the following question: Why do the targeted populations suffer from food insecurity? To answer this question, country programs should refer to the data collected (ideally summarized in a report or Fact Sheet) and brainstorm a list of possible causes. Once a list of potential causes is identified, country programs can organize these into immediate, secondary and underlying causes.

Often, the immediate causes of food insecurity can be categorized into insufficient availability, inadequate access (poverty), or poor utilization.⁴³ Specific shocks (such as climatic shocks, death of a household from HIV) or risks (such as conflict, HIV, poor governance) might be included as an immediate cause of food insecurity for the identified population and/or as an underlying cause of insufficient availability, inadequate access, and/or poor utilization.

After identifying these immediate causes, country programs should ask, “Why do these causes occur” in order to identify underlying causes. At times, country programs might find that one cause could appear multiple times in the problem analysis. For example, illiteracy not only affects health knowledge, childcare practices and utilization, but it also affects earning capacity, income and access to food. Thus, illiteracy would appear as a cause under both the “utilization” and “availability” causal chains.

In terms of **effects**, the most common effects of the food security problem are malnutrition, morbidity and mortality. Other effects can include natural resource degradation, poverty and conflict.

An example of a food security problem tree for Ghana is provided in Figure 5.2. This problem tree shows the core food insecurity problem, as well as the immediate and underlying causes. It is important to note that many of the underlying causes include limited assets, structures and systems. Finally, it should be noted that certain causes—some of which are highlighted in bold—appear multiple times in the causal chain.

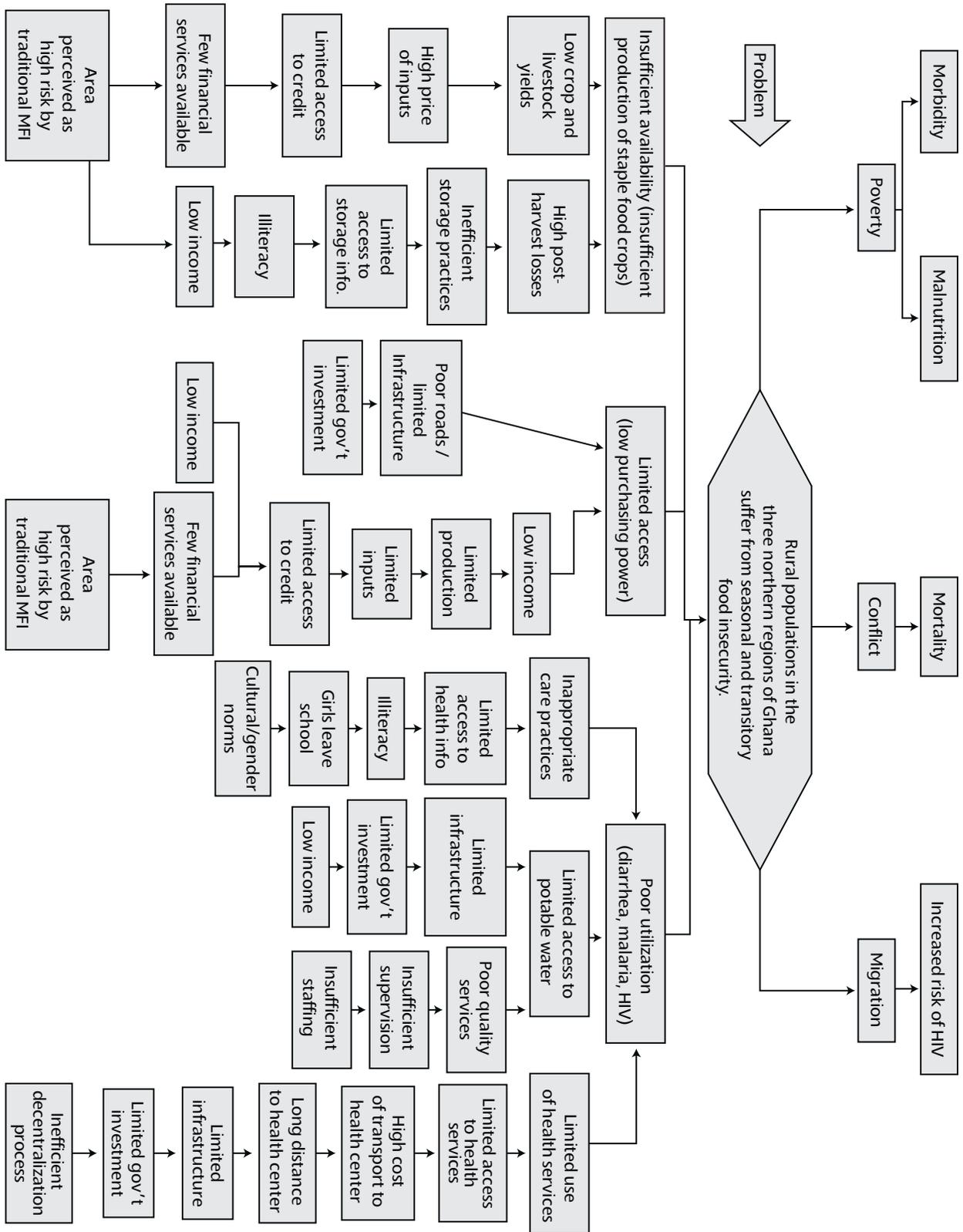


Once the draft food security problem tree is completed, country programs should conduct a “check” using CRS’ IHD framework. The country program should modify the problem tree, based upon the questions:

- Has the problem tree taken into account power imbalances (i.e. gender, caste) within households and communities?
- Are structures (organizations) and systems (beliefs, knowledge) included in the different causes?
- Does the problem tree take gender into account (e.g., differences in gender roles or access to assets)?
- Has the problem tree taken into account shocks, cycles and trends that may affect the community, as well as its vulnerability and resiliency?
- Has the problem tree taken into account both the enabling and constraining elements of structures and systems as well as how communities engage?
- Has the problem tree looked at the full range of needs within a community?
- Are potential shocks, cycles and trends that directly and indirectly affect the core food security problem included?

⁴³ At the same time, it might not be the case that all of these immediate causes exist in every country program. For example, in certain countries, insufficient availability of food might not be a cause of the food security problem. In this case, a country program would focus primarily on inadequate access to food and poor utilization as the main determinants of food insecurity.

Figure 5.2 Problem Tree Diagram



5.1.4 Identify Key Leverage Points

Once the problem tree is completed, a final step in the problem analysis is identifying those causes that have the most significant influence on the food security problem because they appear at multiple points. These causes are known as **key leverage points**.⁴⁴

Key leverage points are causes that demonstrate significant influence on the problem analysis. Consequently, they have the potential to bring about positive change on multiple aspects of the food security problem. By directly addressing the key leverage points, a country program can expect to see a “multiplier effect”; in other words, solving multiple problems with one intervention. At this stage of the MYAP design process, key leverage points are used to identify the sectoral areas for intervention.

Identifying the key leverage points in the problem tree analysis is fairly straightforward. After finalizing the problem tree, country programs should focus only on the roots (or causes) of the tree. Those causes that appear the *most often* or are *common* across causal chains are the key leverage points. Country programs should list all of the key leverage points that appear in the problem tree. This list is then used as a basis for Step 1.7, which involves prioritizing geographic areas and sectors for the MYAP.



Look at the problem tree in Figure 5.2. Can you identify the key leverage points? Why do you think that these causes are key leverage points? How will the impact of CRS’ MYAP improve if it designs interventions that address these key leverage points?



Do the leverage points link potential sectoral interventions in a synergistic manner?

5.2 Step 1.6 Analyze the Data: Gap and Capacity Analyses

Preplan	Action Plan	Conceptual Frameworks	Macro Assessments	Micro Assessments	Problem Tree	Gap and Capacity	Sectoral and Geographic	Sectoral Assessments	Sectoral Analyses	Project Strategies	Food Aid	Exit Strategy	Funding Decisions	Results Framework	Draft Proposal	Submit MYAP Proposal	Review, Revise, Resubmit
PRE	1.1	1.2	1.3	1.4	1.5	1.6	1.7	2.1	2.2	2.3	2.4	2.5	2.6	2.7	3.1	3.2	3.3

Finalizing the problem analysis is a crucial step in the MYAP design process. Once this has been completed, a country program needs to determine whether and how it can develop sectoral interventions that address the key leverage points. In many cases, there are multiple key leverage points in the problem analysis—too many for one country program to address or to include in one MYAP. For this reason, country programs often need

⁴⁴ The concept of key leverage points is used by CARE. Caldwell, R. 2002. *Project Design Handbook*. Atlanta: CARE International. Available at <http://portals.wi.wur.nl/ppme/?page=2136>

to narrow down the list of key leverage points. In order to do this, country programs first need to determine whether there are unmet needs, and whether CRS and its partners have the capacity to address these needs. This can be assessed through gap and capacity analyses.

5.2.1 Conduct a Gap Analysis

When a CRS country program is trying to determine whether or not to address a key leverage point, it is important to know the following:

- Are other NGOs or actors already addressing this leverage point in their programming or activities?
- If so, are they doing it in the area(s) identified as most food insecure?
- How well are they addressing this leverage point?

A **gap analysis** assists CRS in determining whether other actors are already meeting identified needs in a geographic area. In general, a gap analysis involves identifying other actors (NGOs, government entities, international organizations) that are intervening in this sector or geographic area. Such an analysis is crucial for avoiding overlap and ensuring that project activities are well-coordinated and complementary.

CHAPTER 5

Gap analyses can be conducted using different methodologies. In general, however, the analysis involves obtaining information about other actors' operations in the country, either nationwide or in specific geographic regions. This information can be collected via formal surveys, using CRS and partner staff's knowledge, or some combination of the two. While this manual will not provide a comprehensive treatment of gap analyses, it will provide some guidelines and suggestions for conducting a gap analysis, which can be modified as necessary.

At this stage of the MYAP design process, the gap analysis should address the following questions:

- **Who is implementing emergency and development programs in the country?** This should focus on international and national PVOs and government actors.
- **Where are these organizations intervening?** In other words, what are the geographic areas?
- **What types of activities are being implemented?** In other words, which sectors are included?
- **How are the interventions being implemented?** Who is the target population? What is the general programming approach or methodology? Has the organization achieved its stated goals and objectives?⁴⁵
- **Coverage?** How many participants are included? What percentage of the target population is reached?

While collecting data on the above topics, country programs can focus on those regions targeted via the food security mapping exercise. For example, in Burkina Faso, rather than collecting data for the entire country and for all sectors, CRS focused on actors intervening in particular provinces (those identified in its mapping exercise) and in particular sectors (those that were related to the key leverage points of poverty, illness and illiteracy). Taking this approach significantly reduces the data collection burden for the program.

After the data has been collected, it is instructive to organize the data in a chart and a map. Examples of a gap analysis chart and map are provided in Table 5.1 and Figure 5.3. Using these data, the country

⁴⁵ While understanding the quality of other actors' interventions is extremely important, this is the most difficult type of information to collect, and is highly subjective. Many CRS programs have compared another PVO's project with CRS' program quality standards.

program should assess whether there are any “gaps” for each key leverage point and for each targeted geographic area. The gap analysis should answer the following questions:

- **For each key leverage point, are there any unmet needs?** In other words, are other organizations addressing the key leverage point, in terms of geographic location, coverage, and the sectoral focus?
- **Are there particular geographic areas where there are unmet needs?**

At the end of the gap analysis, the country program should have a clearer idea as to whether there are specific geographic or programming gaps in the country, especially in comparison to the key leverage points and regions. This information will be used in Step 1.7 to assist with the prioritization of sectoral interventions and geographic areas for the MYAP, and to identify potential complementarities with other organizations during the MYAP.

Figure 5.3 Gap Analysis Map for Ghana

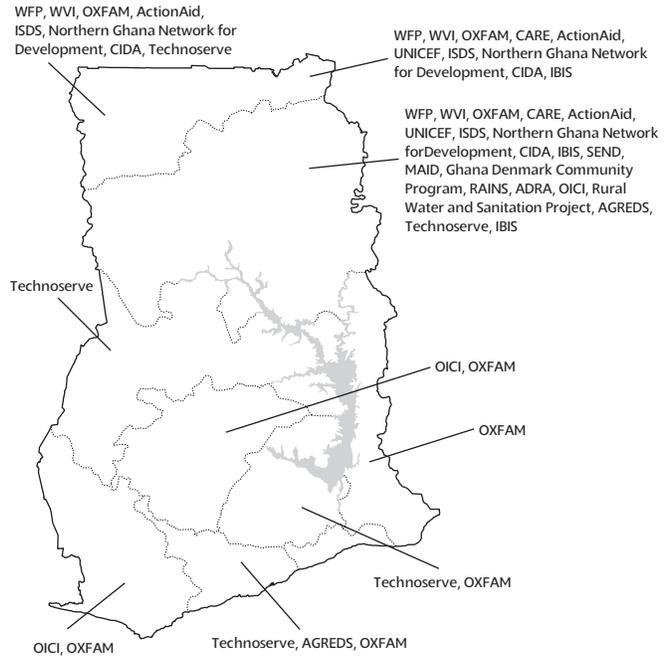


Table 5.1 Sample Gap Analysis Table

Who?	Identifying other actors who have projects addressing the key leverage points identified in the problem tree
Where?	Identifying geographic areas that these actors cover
What?	Gathering information on their existing and future project activities
How?	Gathering information on their strategies, interventions and project participants
Coverage?	Gathering information on the number and type (gender, age, etc.) of direct and indirect participants they work with and where

5.2.2 Conduct an Organizational Capacity Analysis

In addition to the gap analysis, an **organizational capacity analysis** is an important tool in the MYAP design process. Organizational capacity analyses assess CRS’ and its partners’ ability to address an identified need by implementing a particular sectoral strategy or intervention. In general, “capacity” is the ability of organizations and specific units within organizations to perform functions effectively, efficiently and sustainably. This implies that capacity is not a passive state, but rather an evolutionary process, recognizing that no organization has achieved complete capacity, nor is fully effective, efficient, or sustainable. An organizational capacity assessment allows CRS and partners to identify areas of organizational strength they wish to maintain while addressing weaker areas of their organization’s capacity.

An organizational capacity assessment helps a country program to determine whether it and its partners have the ability to respond effectively and efficiently to “unmet needs” identified in the problem and gap analyses. It should assess the following issues:

- What is CRS’ and its partners’ technical and financial capacity to develop and implement a program in general or for a specific sector?
- What actions need to be taken by CRS and partners, to strengthen managerial and financial capacity?

In order to address these questions, the capacity analysis should collect data on the following areas: the strategic priorities or plans of the organization, management systems and structures, human resources, financial resources, and infrastructure. Since Title II programs have specific requirements, particularly with respect to food security, food aid (distribution and monetization), and US government financial reporting systems, the organizational capacity analysis for the MYAP should also address issues related to systems for commodity management (including monetization, if relevant) and compliance with US government standard provisions and regulations. It is strongly suggested that CRS country programs designing MYAPs reflect on their own capacity and gather this information from partners at an early stage in the MYAP development process to 1) determine if there is an appropriate fit with MYAP implementation and 2) to ensure both CRS and partners have an idea of their organization’s strengths and challenges to ensure appropriate planning.

There are several ways to conduct an organizational capacity analysis. Most PVOs have their own approach to conducting such analysis. CRS’ commitment to long-term, respectful partnerships based on subsidiarity strongly suggests a highly participatory and positive approach to organizational capacity analysis. Two common ways CRS conducts organizational capacity analysis include:

- **Reviewing existing capacity analysis findings and organizational strengthening plans.** This method involves a review of an organization’s audits, reports, lessons learned documents, program quality assessments, or financial documents in order to make a determination regarding CRS’ and its partners’ past organizational successes and challenges.
- **Conducting a formal capacity assessment.** This method is a more formal assessment, which is usually based upon a mutually agreed to tool. CRS has developed the Management Quality Assessment Tool (MQAT) for its own use, as well as an organizational assessment tool for partners. In addition to these tools, sample organizational capacity analysis matrices for the MYAP are provided in Tables 5.2 and 5.3. The questionnaires can be filled out through interviews with key stakeholders of an organization or filled out during a workshop with staff and leadership of the organization depending on the comfort level of the organizations.

When should we conduct an organizational capacity analysis?

Country programs may want to consider conducting a MYAP organizational capacity analysis prior to asking the partner to fully engage in the MYAP planning process—this is particularly relevant for new partners or partners new to Title II. This will help CRS and the partner determine if jointly pursuing a MYAP is appropriate for both parties and what capacity-building needs may be required. This point is important because USAID/FFP’s focus is not on PVO capacity-building, so creative approaches may be needed to address needs while meeting USAID/FFP objectives. If, after an in-depth discussion both parties agree to proceed, the next MYAP planning workshop should include a session to review the results of the analysis. The results will

also be used when prioritizing strategies and interventions as well as developing the capacity section of the MYAP proposal (and the budget).

How should an organizational capacity analysis for a MYAP be undertaken?

An organizational capacity assessment is most useful when conducted in a spirit of appreciative discovery, acknowledging that all organizations have strengths and challenges. CRS staff should prioritize the time and effort needed to work with partners to establish a positive environment in which to conduct the assessment. A summary of the steps for using the assessment matrices provided in Tables 5.2 and 5.3 is provided in Box 5.2.⁴⁶

After the organizational capacity analysis, country programs should have a clearer picture of CRS and its partners' strengths and weaknesses in the areas of administration, finance, food aid management, M&E, specific sectors, and organizational sustainability. CRS should not use MYAP design process as the only context for partner capacity analysis and should plan for other opportunities.

BOX 5.2 USING THE ORGANIZATIONAL CAPACITY ASSESSMENT MATRICES

1. CRS and partner organization leadership agree to the rationale for using the assessment and how the results will be used (i.e., for needed improvements, are there resources available? Will a rating of "need for increased capacity" limit the partner's chances of participating in the project? Conversely, will a high capacity assessment be used to match the partner organization with others needing capacity development?).
2. Partners select the team responsible for completing the matrix.
3. CRS and partners determine whether a CRS staff member will be involved in the process and what role CRS will play in the assessment.
4. For each partner organization, review the sections in the matrix and the questions in each section. Delete those questions which are not relevant to the organization and add others as needed.
5. In a workshop or by interviews, answer each question in the matrices and provide an "assessment" of No Capacity (N), Basic Capacity (B) or High Capacity (H). Ask participants to give specific examples and to be candid in assessing the strengths and challenges facing the organization. When there is disagreement, probe for causes and try to reach agreement on the ranking for each question.
6. Once all questions are answered, determine the number of (N), (B), and (H). Using the data, look for areas where the partner organization has high capacity. Discuss how the organization achieved and maintained high capacity in certain areas.
7. Discuss the areas that received (N) or (B). Through discussion with CRS and partners, determine the most important elements to strengthen. Pay particular attention to those aspects of an organization that are fundamental, such as sound financial management systems.
8. Rank the areas of strongest and weakest capacity, as well as possible improvements in priority order. Determine which aspects of the organization's capacity will be strengthened over the course of the MYAP, using what resources and the timeframe.
9. CRS and the partner should agree on the role that CRS might play in the capacity strengthening process during the MYAP.

⁴⁶ Before completing the questionnaire, CRS and the partner should identify and interview the key individuals necessary; individual staff and/or board members, including program and financial staff, supervisors, and top leaders. A workshop is also an option. A representative group of staff and leadership gathers everyone's assessments and completes an action plan at the same time.

Table 5.2 Organizational Capacity Analysis Matrix for CRS Country Programs and Partners Interested in Applying for a MYAP

	Dimension of Capacity	Need for increased capacity (N)	Basic capacity in place (B)	High level of capacity in place (H)	Assessment (N, B, H)
1.	STRATEGY & PLANNING				
1.1	Does our organization have a written strategy?	No strategy	A strategy exists, but is not necessarily clear or is consistently followed	Strategy with clearly identified priorities is used by the organization	
1.2	Does our strategy express commitment to food security (ending hunger), human development, (or similar terms)?	No commitment to food security or human development	Food security and human development are implied, but not explicitly	Strategy focused upon food security and the alleviation of human suffering	
1.3	Does our organization have a formal planning process?	No planning process	A planning process exists, may not used consistently or is inadequate	Planning process is used by all and results in useful plans and reports	
2.	EXTERNAL RELATIONS & PARTNERSHIPS				
2.1	Does our organization effectively build relationships with a variety of local organizations (NGOs, FBOs, CBOs, etc.)?	Limited use of partnerships or partner relations	Early stages of building relationships with other organizations	Built and maintained effective partnerships that are anchored in stable, mutually beneficial collaborative partnerships	
2.2	Does our organization have local community presence and involvement?	Organization's presence not recognized by the community or not regarded as positive	Organization's presence recognized and generally regarded as positive	Organization well-recognized, and perceived as engaged and highly responsive to community needs	
2.3	Does our organization effectively build relationships with the government (local, provincial, national)?	Limited government relations or negative relations	Early stages of building relationships with government	Built and maintained effective relationships that are anchored in stable, mutually beneficial collaborative partnerships	
3.	HUMAN RESOURCE MANAGEMENT				
3.1	Does our organization have trained staff who formulate human resources policies that respect national labor laws?	No dedicated staff and/or policies or not in compliance with national law	Staff and policies exist but may not be in full compliance	Trained human resource professional on staff and policies are in full compliance with national law	
3.2	Does our organization have written human resources policies and regulations available to all staff?	Policies are not written or not available to staff	Policies are written and are provided to staff upon request	Policies are written and a copy are provided to all staff upon hire as well as upon request	

	Dimension of Capacity	Need for increased capacity (N)	Basic capacity in place (B)	High level of capacity in place (H)	Assessment (N, B, H)
3.3	Does our organization have experienced staff for all organizational functions?	Many positions are unfilled or staff drawn from narrow range of experience; staff only have experience in one area	Positions are filled, with some turnover or vacancy problems; staff have variety of backgrounds, experiences and capabilities	Positions are filled with little turnover or vacancy problems; staff have very diverse backgrounds and bring a broad range of skills	
3.4	Does our staff have the level of experience needed to run high quality food security programs?	Staff do not have food security project experience	Some staff have food security project experience	A majority of staff have experience working on a food security project	
4.	FINANCIAL RESOURCE MANAGEMENT				
4.1	Does our organization maintain a formal general ledger with standard entry forms, double entry bookkeeping (debits and credits) that is the basis for all financial reporting?	No formal general ledger system exists	A bookkeeping system exists, but is not double entry and is helpful for financial reporting	Trained accountants use a formal double entry system, with a system for back up documentation, that allows for full and correct financial reporting	
4.2	Does our organization have one or more trained and dedicated employees to perform our financial functions?	No dedicated or formally trained finance staff	Finance staff are not formally trained in accounting or similar field or do not work only in the Finance department	Finance staff are trained in accounting or other appropriate financial fields; there is an adequately staff finance department and staff work only in finance	
4.3	Does our organization have finance staff with the training and experience to ensure compliance with the financial requirements of USAID grants?	Staff do not have experience	Staff have limited experience meeting the requirements of USAID grants	Staff have experience meeting the requirements of USAID grants	
5.	INFRASTRUCTURE & COMMODITIES				
5.1	Does our organization have sufficient infrastructure to manage projects?	No infrastructure (offices, warehouses, vehicles) are available	Infrastructure (an office and some vehicles) are available in the capital city	Infrastructure (an office, warehouse, or vehicles) are available in the capital city or other regions in the country as needed	
5.2	Does our organization have a formal process for requisitioning, authorizing, purchasing and receiving goods and services and recording cash receipts and disbursements? Do we require standardized documentation?	No formal process to requisition or receive, no documentation process	A formal process to requisition, receive, and document exists, but is inadequate or poorly used	Trained accountants use standardized processes to requisition, receive, and document these activities.	

	Dimension of Capacity	Need for increased capacity (N)	Basic capacity in place (B)	High level of capacity in place (H)	Assessment (N, B, H)
5.3	Does our organization store all received or purchased goods or commodities in a well-ventilated, clean, locked and enclosed storage facility or warehouse?	No such property exists	The facility exists but is inadequate or unlocked	The facility is clean, dry, secure, and all goods are accounted for when received and disbursed	
5.	M&E AND ORGANIZATIONAL LEARNING				
5.1	Does our organization have systems for monitoring and evaluating project performance?	Limited M&E system; organization collects data on activities and outputs, but not on impact indicators	M&E system in place; collects data, but not necessarily impact indicators	Strong M&E system in place; collects data on activities, outputs and impact	
5.2	Does our organization have the capacity to monitor and evaluate food security programs?	Limited or no ability to monitor and evaluate food security programs	Modest ability to monitor and evaluate food security programs	Organization has particular aptitude in monitoring and evaluating food security programs	
5.3	Does our organization have the capacity to monitor and evaluate organizational performance?	Limited or no ability to do organizational monitoring and evaluation	Modest ability to monitor and evaluate organizational progress	Well developed system of M&E of organizational performance	
5.4	Does our organizational capture and use the knowledge and learning of individuals to improve performance (knowledge management)?	No formal system in place to learn within the organization	Organizational learning is informal and dependent upon individuals	Systems and structures exist enabling individuals to document and share to improve organizational performance	
6.	SUSTAINABILITY				
6.1	Is our organization dependent upon a few funding sources, or relatively diversified?	Highly dependent on a few funders	Multiple types of funding	Highly diversified funding	
6.2	Does our organization have the capacity to earn income outside of donors (fee-for-service, for-profit enterprises, etc)?	No entrepreneurial activity	Fledgling entrepreneurial activity or limited income derived from activities	Strong entrepreneurial activity or significant income derived	
6.3	Does our organization have systems to develop project proposals or strategies?	Limited ability to develop strategic plan or project proposal	Ability to develop strategic plan and project proposals, but outside assistance needed	Ability to develop a strategic plan and project proposal without assistance	

Table 5.3 Sectoral-Specific Capacity Matrix for CRS Country Programs and Partners

Sectors/Themes	Need for increased capacity (N)	Basic capacity in place (B)	High level of capacity in place (H)	Assessment (N, B, H)
Does our organization have experience in designing, managing, and evaluating projects in the following sectoral areas?				
Agriculture (staple food crop production)				
Agriculture (marketing)				
Advocacy				
Community development				
Peacebuilding				
Disaster Risk Reduction				
Emergency response				
Food distribution				
Education (literacy)				
Education (non-formal or skills training)				
Education (formal education)				
Governance				
Health (maternal/child health, nutrition)				
Health (other)				
HIV and AIDS (prevention, please specify)				
HIV and AIDS (mitigation, please specify)				
Microfinance/financial services				
Road construction, rehabilitation				
Financial services (please specify type)				
Water and sanitation (hardware)				
Water and sanitation (software)				

CHAPTER 5

5.3 Step 1.7 Determine Sectoral and Geographic Priorities for the MYAP

Preplan	Action Plan	Conceptual Frameworks	Macro Assessments	Micro Assessments	Problem Tree	Gap and Capacity	Sectoral and Geographic	Sectoral Assessments	Sectoral Analyses	Project Strategies	Food Aid	Exit Strategy	Funding Decisions	Results Framework	Draft Proposal	Submit MYAP Proposal	Review, Revise, Resubmit
PRE	1.1	1.2	1.3	1.4	1.5	1.6	1.7	2.1	2.2	2.3	2.4	2.5	2.6	2.7	3.1	3.2	3.3

As discussed in Section 5.1.4, an important component of the food security problem analysis is identifying those causes with the most significant influence—also known as key leverage points. After completing the problem tree, a country program might identify multiple key leverage points, depending upon the specific context and the depth of analysis. While addressing each key leverage point would have a positive impact upon the core food security problem, there are often financial, administrative, strategic, capacity or donor constraints that prevent a country program from doing so. In this case, country programs need to narrow down the list of key leverage points, and to determine which sectors or themes should be included in the MYAP.

Prioritizing among the key leverage points can be a complex and difficult task. In order to do so, the following steps are recommended:

- **Review the initial list of key leverage points from the food security problem tree.**
- **Combine, revise or eliminate key leverage points.** Eliminate those key leverage points that are outside of the country program’s control (such as colonial policies or inflation) or those that are clearly outside of the country program’s strategic plan. Combine the key leverage points that are similar or represent the same idea.
- **Link each leverage point to a relevant sector or theme.** For example, the key leverage point of “high illiteracy” can be linked to education, whereas the key leverage point of “low incomes” could be linked to agriculture, microfinance, or both.
- **Make final recommendations about priority sectors for the MYAP** based upon the key leverage points, gap analysis, capacity analysis, CRS’ strategic plan, host-country, and USAID/FFP’s priorities. Once the list has been modified, decide which key leverage points (and related sectors) will be prioritized for further analysis and for possible inclusion in the MYAP.

The last step is often the most difficult one for country programs, as it can be difficult to eliminate programming options when unmet needs exist in the country. At the same time, such decisions need to be made in the face of capacity and resource constraints.⁴⁷ In order to prioritize the final key leverage points, country programs should use the data from the gap analysis, capacity analysis, CRS’ strategic plan, and USAID/FFP’s priorities. These criteria can be included in a matrix, which can then be used to assign scores to each sector or theme. An example of the matrix is provided in Table 5.4.

⁴⁷ Even though a country program must prioritize geographic and sectoral areas, the information from this exercise can be used to identify potential complementarities with other actors—such as the government or other NGOs. For example, if a country program decides not to include water and sanitation as part of the MYAP due to a large-scale water/sanitation (watsan) program implemented by another NGO, the country program could collaborate with the NGO to ensure that watsan activities are included in the same villages where there are Title II health and nutrition activities. This inter-organizational collaboration should then be highlighted as a complementarity in the MYAP proposal.

Table 5.4 Matrix for Prioritizing Sectors in the MYAP

Sector/ Theme	Do we have capacity in this sector/theme? (0=no capacity, 1=some capacity, 2=high capacity)	Are other NGOs working in this sector in our targeted areas? (0=many NGOs, 1 some NGOs, 2=no NGOs)	Is this in CRS' strategic plan? (Y=1, N=0)	Is this a priority for USAID/FFP? (Y=1, N=0)	Score
Health					
Agriculture					



Prioritizing Sectors and Themes for the MYAP: CRS Congo's Example

This process for prioritizing sectors and themes to be included in the MYAP has been used in a variety of CRS Title II programs. For example, in preparation for its FY09 MYAP submission, CRS Congo carried out micro-level food security assessments, constructed a food security problem tree and conducted gap and capacity analyses. As part of its problem analysis, the country program and its partners identified over twenty key leverage points, including deforestation, high demand for charcoal/wood, high population density/Internally Displaced Persons (IDPs), low incomes, unequal land distribution, poor roads, limited technical knowledge, illiteracy, long distances, chronic illnesses (malaria, HIV and AIDS), sexual violence, stolen assets (seeds, livestock), ethnic and land-based conflicts, limited access to credit, high marketing costs, limited access to markets, the labor load of women, discrimination, climatic shocks and poor governance.

CRS Congo further consolidated these initial key leverage points to develop a final list. Using this list, the country program brainstormed possible sectors or themes that could be used to address the key leverage points. The list of final key leverage points and their corresponding sectors are available in Table 5.5.

CHAPTER 5

Table 5.5 Key Leverage Points and Corresponding Sectors/Themes for CRS Congo's MYAP

Leverage Points	Sectors/Theme
Poor Natural Resource Management (NRM), shocks, deforestation, high demand, charcoal	Agriculture/NRM, Advocacy, Agroenterprise
Limited access to services, marketing, roads, markets, water	Water/sanitation, Infrastructure/reconstruction, market roads, markets, bridges
Low incomes, limited credit	Agriculture, microfinance, agroenterprise,
Governance	Advocacy, education, capacity building, community development
Limited knowledge, literacy, information, exchange, and communication (IEC)/extensions	Formal education, informal education, technical education
Conflict (land, ethnic, sexual violence, rates)	Community development, advocacy, health, reconciliation
Gender (women overloaded, discrimination)	Education, behavioral change, literacy
High Population densities/IDP	Emergency, infrastructure, advocacy, food security mitigation, emergency prevention, preparedness, and response (EPPR)
Illnesses	Safety net, water/sanitation, health, HIV and AIDS

In addition to this table, CRS Congo consolidated the information from its gap and organizational capacity assessments, its strategic plan and USAID/FFP's programming priorities to make recommendations for priority sectors in the MYAP. Rather than have an open-ended discussion on this topic, the country program used the template provided in Table 5.4 to assess the relative merits of each sector.

The results of this exercise for CRS Congo are provided in Table 5.6. Based upon the scoring, **agriculture** was the highest priority (with a score of 5), followed by **infrastructure and health/HIV**, each with a score of 4.5. Agroenterprise, advocacy and community development were the next highest priority, all receiving a score of 4. Based upon these results, CRS Congo decided to prioritize three sectors for the MYAP: **agriculture**, including NRM and agroenterprise; **health**, including HIV and AIDS and water and sanitation; and **EPPR**. The cross-cutting themes of gender, knowledge and advocacy were highlighted as priorities within each sector.

Table 5.6 Results of Weighting Matrix for Democratic Republic of the Congo's MYAP

Sectors/Theme	Capacity	Gap	CRS Strategic Plan	FFP	Total
Safety Net	2	0	1	0.5	3.5
Agriculture/NRM	1.5	2	0.5	1	5
Advocacy	2	1	1	0	4
Water/Sanitation	1.5	0	0.5	1	3
Education/Literacy	1.5	1	0	0	2.5
Agroenterprise	1	1.5	0.5	1	4
Infrastructure	2	1	1	0.5	4.5
Emergency and EPPR	1.5	0	1	1	3.5
Health/HIV	2	0.5	1	1	4.5
Microfinance	0.5	2	0	0	2.5
Income Generating Activity (IGA)/ Small Business Development	1	1	0.5	1	3.5
Community Development	2	0	1	1	4



- Are sectoral and geographic priorities determined in a holistic fashion, taking into account leverage points that link them together?
- Are any priorities chosen which do not neatly fall into one sector but imply a coordinated, multi-sectoral response?

5.4 Additional Resources

A wide variety of tools are available for gap and capacity analyses. While specific examples have been presented in this manual, CRS country programs can also refer to CRS' *ProPack I*.

In addition, country programs can refer to the following resources:

Brassard, M. and D. Ritter. 1994. *Memory Jogger II: A Pocket Guide of Tools for Continuous Improvement and Effective Planning*. Salem, N.H.: GOAL/QPC.

Caldwell, R. 2002. *Project Design Handbook*. Atlanta: CARE International.

UNDP. January 1998. *Capacity Assessment and Development in a Systems and Strategic Management Context*. Technical Advisory Paper #3. Bureau for Development Policy. Available at www.pogar.org/publications/other/undp/governance/capsystech3-98e.pdf

Venture Philanthropy Partners. 2001. *Effective Capacity Building in Nonprofit Organizations*. Reston, Va.: Venture Philanthropy Partners. Available at <http://www.vpppartners.org/learning/reports/capacity/capacity.html>

Part III
Conducting the
Project Design
Process for
MYAPs

Chapter 6

Developing Sectoral Strategies and Interventions

This chapter will cover the following topics:

- 6.1** Step 2.1 Conduct Sectoral Assessments
- 6.2** Step 2.2 Conduct Sectoral Analyses
- 6.3** Step 2.3 Develop Sectoral Project Strategies and Align with FFP Food Security Framework
- 6.4** Integration: What Is It and Why Do It?
- 6.5** Stepping Back: Making the Connections between Sectoral Strategies, Points of Integration, and FFP's Results Framework

Following the food security assessments and analyses, CRS country programs are ready to make some decisions about the MYAP sectoral design. While **Phase 1** of the process involves identifying some initial geographic and sectoral priorities for the MYAP, **Phase 2** of the process entails developing sectoral strategies and interventions for the MYAP, including appropriate indicators for measuring progress and impact. The tools used to design the sectoral project strategies in Phase 2 are essentially the same as those used in the first phase of the MYAP design process — collecting data and conducting analyses — although on the sectoral level. In essence, this involves developing plans of action, conducting macro- and micro-level assessments, constructing sectoral problem trees and identifying the key leverage points, and conducting gap and capacity analyses, although all for a specific sector. However, given the specific nature of Title II programming, country programs must also address topics such as the use of food aid and exit strategies.

Chapter 6 outlines “Phase 2” of the MYAP design process — designing and finalizing the sectoral strategies and interventions. While this is an important and complex topic, detailed information on developing a sectoral program is outside of the scope of this manual. For this reason, this chapter will provide of an overview of the steps that country programs should follow. CRS country programs should consult sector-specific guidelines, manuals, and technical advisors for more detailed information.

Some country programs have noted that repeating these steps at the sectoral level seems redundant. Nevertheless, experience has shown that this process is necessary to develop high-quality sectoral interventions. And perhaps more importantly, these steps respond directly to the criteria that USAID/FFP use to evaluate Title II project proposals. In essence, USAID/FFP’s evaluation criteria focus on four main areas:

- Justification for the geographic targeting and the sectoral interventions
- Justification for and technical quality of the sectoral strategies (Table 6.1)
- The use of food aid for distribution
- The appropriate use of administrative and financial resources.

USAID/FFP’s use of these criteria is evident from a review of the Issues Letters for CRS MYAPs in FY07 and FY08. Some of the issues most commonly cited focused on the quality of situational analyses, the design of the sectoral strategies, and the identification and justification of sectoral interventions. In order to develop solid sectoral strategies for the MYAP, solid project design at the sectoral level is required, while keeping in mind the need to create an integrated programming that creates logical linkages among the sectors and back to the problem analysis.

Table 6.1 MYAP Criteria for Sector-Specific Strategies, Interventions, and Monitoring and Evaluation

		Agriculture/ Natural Resources Management					Non- agricultural Income Generation					Health & Nutrition				
1	The program interventions have a clear relationship to the program objectives and intermediate results and address the main causes of food insecurity targeted.	0	1	2	3	4	0	1	2	3	4	0	1	2	3	4
2	A convincing case is made that the interventions are likely to achieve the proposed impact targets and address the needs of each vulnerable/food insecure group targeted.	0	1	2	3	4	0	1	2	3	4	0	1	2	3	4
3	The level of resources requested is appropriate for the size of the targeted population and the magnitude of the projected reduction in food insecurity.	0	1	2	3	4	0	1	2	3	4	0	1	2	3	4
4	The proposal provides a convincing rationale for the proposed ration size and composition.	0	1	2	3	4	0	1	2	3	4	0	1	2	3	4
5	The proposal describes and quantifies the target population, including what proportion of the area's population will be covered.	0	1	2	3	4	0	1	2	3	4	0	1	2	3	4
6	The proposal describes beneficiary selection criteria that will successfully identify the most food insecure populations in the program areas, and the methods used to identify and apply these criteria to select program participants.	0	1	2	3	4	0	1	2	3	4	0	1	2	3	4
7	The program interventions are described in sufficient detail (how the activities will be implemented and by whom) and are technically and operationally feasible.	0	1	2	3	4	0	1	2	3	4	0	1	2	3	4
8	The proposal describes the principal gender issues relevant to food insecurity in the target population and how gender issues are addressed in the design, targeting, and management of the program components. Where applicable, the proposal describes the principal gender issues and HIV vulnerabilities relevant to food insecurity in the target population and how gender and HIV issues are addressed in the design, targeting and management of the program components.	0	1	2	3	4	0	1	2	3	4	0	1	2	3	4
9	The proposal identifies food security impact indicators that measure food security results relevant to the objectives and intermediate results. Impact indicators are measured at the population level. If appropriate, the proposal: <ul style="list-style-type: none"> • includes impact indicators of and targets for height-for-age and/or weight-for-age of children, if the proposal involves activities related to health and nutrition (utilization); • includes impact indicators of and targets for months of adequate food provisioning and/or household dietary diversity, if the proposal aims to improve the food access component of food security; • identifies indicators and targets to capture the impact of mitigation activities that lessen the negative impact of a shock on household food security of a particular target group. 	0	1	2	3	4	0	1	2	3	4	0	1	2	3	4
10	The proposal identifies annual monitoring indicators that will provide sufficient information to judge annual progress, and includes indicators of the percentage of the planned targeted population reached by the different interventions, the percentage of targeted population adopting improved practices/behaviors, and/or the percentage of communities with enhanced capacity.	0	1	2	3	4	0	1	2	3	4	0	1	2	3	4

6.1 Step 2.1 Conduct Sectoral Assessments

	Preplan	Action Plan	Conceptual Frameworks	Macro Assessments	Micro Assessments	Problem Tree	Gap and Capacity	Sectoral and Geographic	Sectoral Assessments	Sectoral Analyses	Project Strategies	Food Aid	Exit Strategy	Funding Decisions	Results Framework	Draft Proposal	Submit MYAP Proposal	Review, Revise, Resubmit
PRE	1.1	1.2	1.3	1.4	1.5	1.6	1.7	2.1	2.2	2.3	2.4	2.5	2.6	2.7	3.1	3.2	3.3	

Similar to the food security assessments, information-gathering on sectoral issues is a necessary prerequisite to developing the sectoral project strategies. In order to gather information, different assessment methodologies can be used. Assessments can be based upon primary or secondary data, and can use either qualitative or quantitative techniques. The key is to match the methodology with the kind of information that is needed. In many cases, the best approach will involve combining several different methods in order to put together the most complete picture of a given situation.

Before carrying out an assessment, country programs should develop an assessment plan, which outlines how the assessment will be completed. In order to develop an assessment plan, a country program should address the following questions:

- Why are we doing this assessment and what are the specific objectives?
- What information do we need in order to meet these objectives, and what conceptual framework(s) will be used?
- How will this information be collected? In other words, what methods will be used, who will be interviewed and where should this information be collected?
- Other points important for data quality or ethical questions

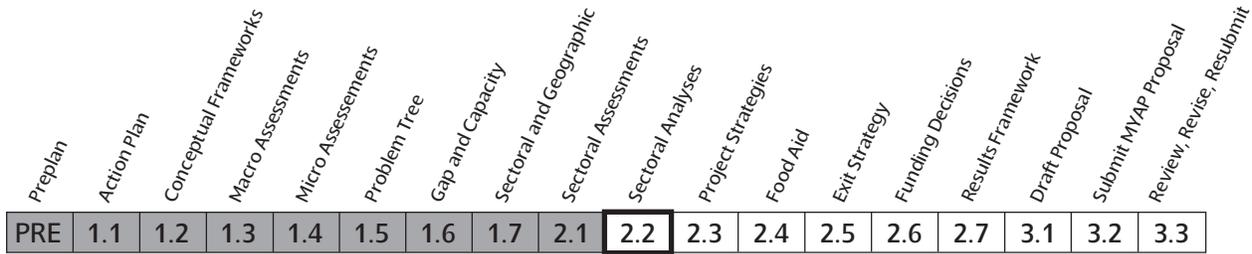
The answers to these questions should be used to develop SOWs for the sector-specific assessments. An example of a sectoral assessment SOW can be found in Annex J. The Regional Office and PQSD can also be consulted during SOW development.

Unlike the food security assessments, sectoral assessments for the MYAP should focus primarily on **the geographic regions targeted by the mapping exercise, and should be based primarily upon secondary data**, to the extent possible. It is important to note that some sectoral data might be available from the previous food security assessments. Primary data should be collected on specific sectoral issues, only if they are not available from secondary sources. Prior to finalizing the SOW, it can be helpful to conduct an “IHD Check” to make sure that the assessment is holistic in nature and provides an more in-depth understanding while looking for ways to create synergies with other sectors.



- Does the SOW allow for data on assets and who has access and influence over them to be collected?
- Does the SOW allow for a more in-depth understanding of systems and structures?
- Does the SOW encourage an examination of shocks, cycles and trends that might influence the selection of sectoral strategies and interventions?
- Does the SOW examine livelihood strategies that could be mitigated if certain sectoral strategies are selected?
- Are there opportunities for joint sectoral-assessments that maximize overlap and reduce missed opportunities for synergies and identify new common leverage points?

6.2 Step 2.2 Conduct Sectoral Analyses



Using the data collected from the sectoral assessments, the next step in the MYAP sectoral design process is to conduct analyses, including the following:

- A **problem tree** for each sector-specific problem, including a sectoral problem statement, immediate and underlying causes and effects. Examples of sector-specific problem statements are provided in Box 6.1, with an example of an agriculture problem tree provided in Figure 6.1.
- A **gap analysis** of the other actors intervening in each sector and in targeted MYAP regions
- A **capacity analysis** for CRS and its partners, evaluating capacities for each sector.

Identification of the **key leverage points** in each sectoral problem tree.

The sector-specific analyses are similar to those for the general food security situation, although with

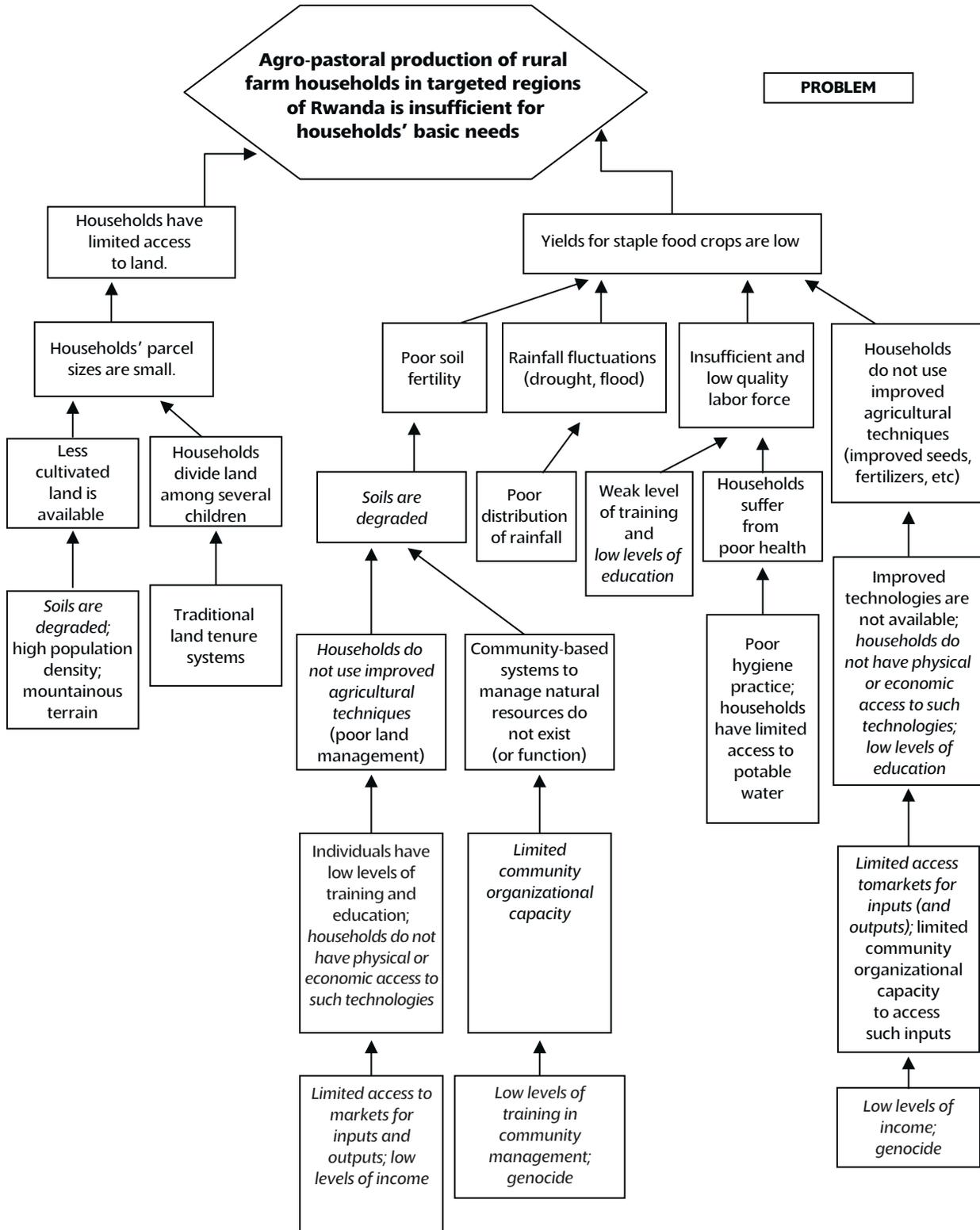
BOX 6.1 PROBLEM STATEMENTS FOR SECTORAL PROBLEM TREES

- **Agriculture:** Vulnerable households in rural regions of Rwanda are unable to meet their basic needs from agriculture.
- **Health:** Mothers and children under 5 in rural areas of Niger suffer from poor health (malnutrition, malaria, and diarrhea).
- **Education:** Children living in nomadic communities of Chad have high levels of illiteracy.
- **HIV and AIDS:** Poor households with chronically ill family members have decreased agricultural productivity.

a sectoral focus. Many of these tools—such as the organization capacity assessments—have been adapted for specific sectors, and are provided with the workshop materials. Nevertheless, unlike the key leverage points in the food security problem tree—which were used to identify priority *sectors* for the MYAP—the key leverage points from the sectoral problem trees will be used to develop sectoral project strategies, as well as identify potential integration with other sectors.

An example of an agriculture problem tree developed by CRS Rwanda for its MYAP is provided in Figure 6.1. This problem tree shows the core agriculture problem, as well as the immediate and underlying causes. Many of the underlying causes mention the quality of assets (land, human capital), structures (community-based organizations) and systems (land tenure). After completing the problem tree, CRS Rwanda identified key leverage points in the problem analysis, which are in italics. These included, among others, **households' limited use of improved agricultural technologies, soil degradation, low levels of education and training, poor marketing systems, limited capacity of community-based organizations, poverty and the 1994 genocide.**

Figure 6.1 Agriculture Problem Tree for Rwanda, with Leverage Points in Italics



6.3 Step 2.3 Develop Sectoral Project Strategies and Align with FFP Food Security Framework

Preplan	Action Plan	Conceptual Frameworks	Macro Assessments	Micro Assessments	Problem Tree	Gap and Capacity	Sectoral and Geographic	Sectoral Assessments	Sectoral Analyses	Project Strategies	Food Aid	Exit Strategy	Funding Decisions	Results Framework	Draft Proposal	Submit MYAP Proposal	Review, Revise, Resubmit
PRE	1.1	1.2	1.3	1.4	1.5	1.6	1.7	2.1	2.2	2.3	2.4	2.5	2.6	2.7	3.1	3.2	3.3

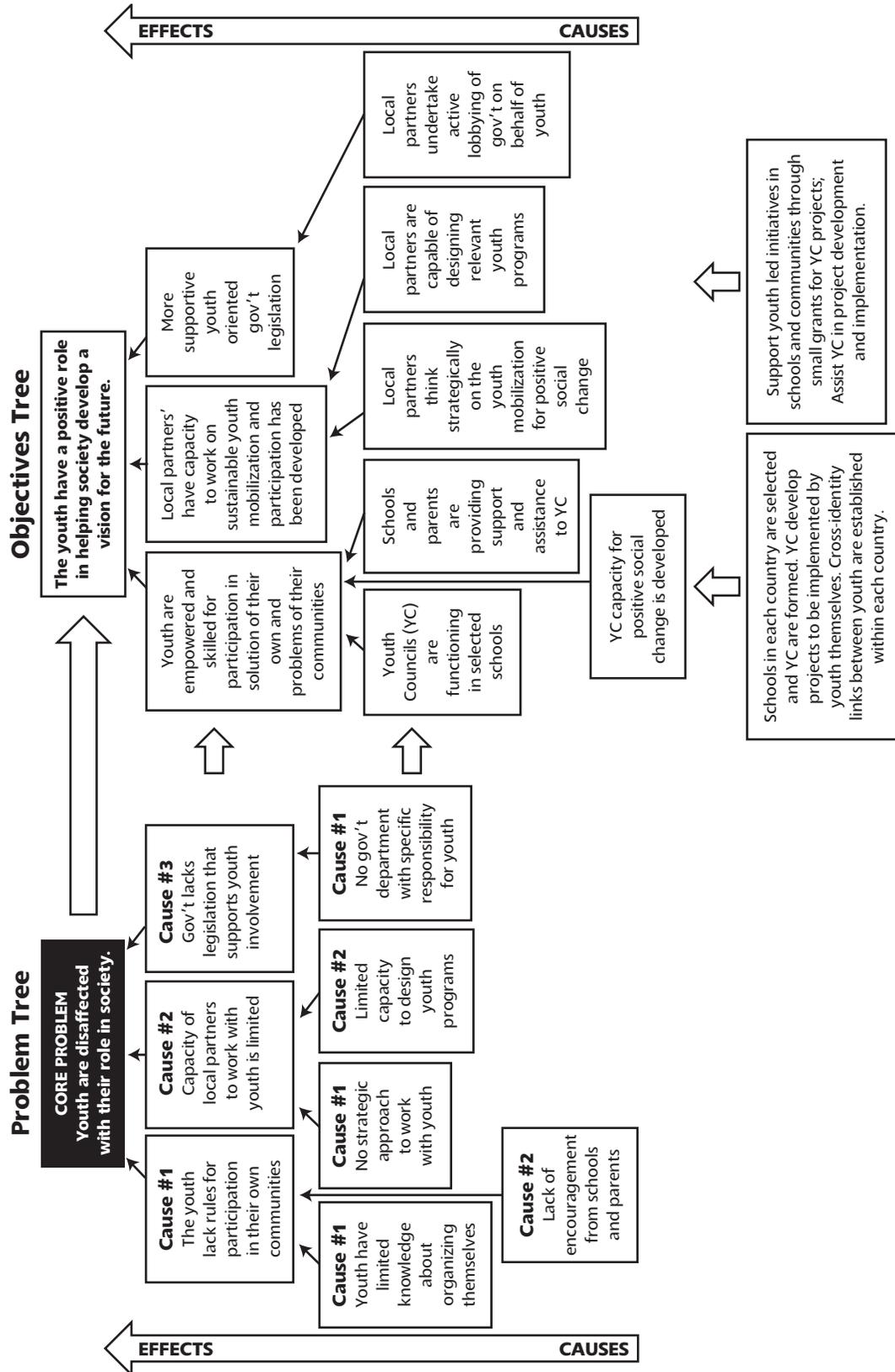
Based upon the information collected from the sectoral-specific assessments and analyses, country programs should have the necessary information to design the sectoral **strategies** and **interventions** for the MYAP. This involves determining what approaches will be used, identifying the appropriate partners and developing the right interventions. Whereas a project **strategy** describes the major deliverables that a project provides to address identified problems and achieve objectives, a project **intervention** is a “discrete package of actions and procedures that are developed and implemented.”⁴⁸ For example, in order to address high rates of malnutrition due to illness, a country program’s project strategy could, if warranted, improve access to health services, improve the quality of health services, or support behavior change around health seeking behaviors. If the project strategy seeks to improve access to health services, interventions might include establishing functional health centers, training doctors and nurses, and implementation of community-integrated management of childhood illnesses. Choosing which interventions to implement depends upon the causes of the health problem in the country, the capacities of CRS and its partners, and the interventions of other actors.

In order to develop a solid project strategy, the following steps are recommended:

- Transform the problem tree into an objectives tree
- Brainstorm possible strategies to attain these objectives
- Brainstorm possible interventions to achieve the strategies
- Choose the project’s strategy and interventions, based upon specific criteria

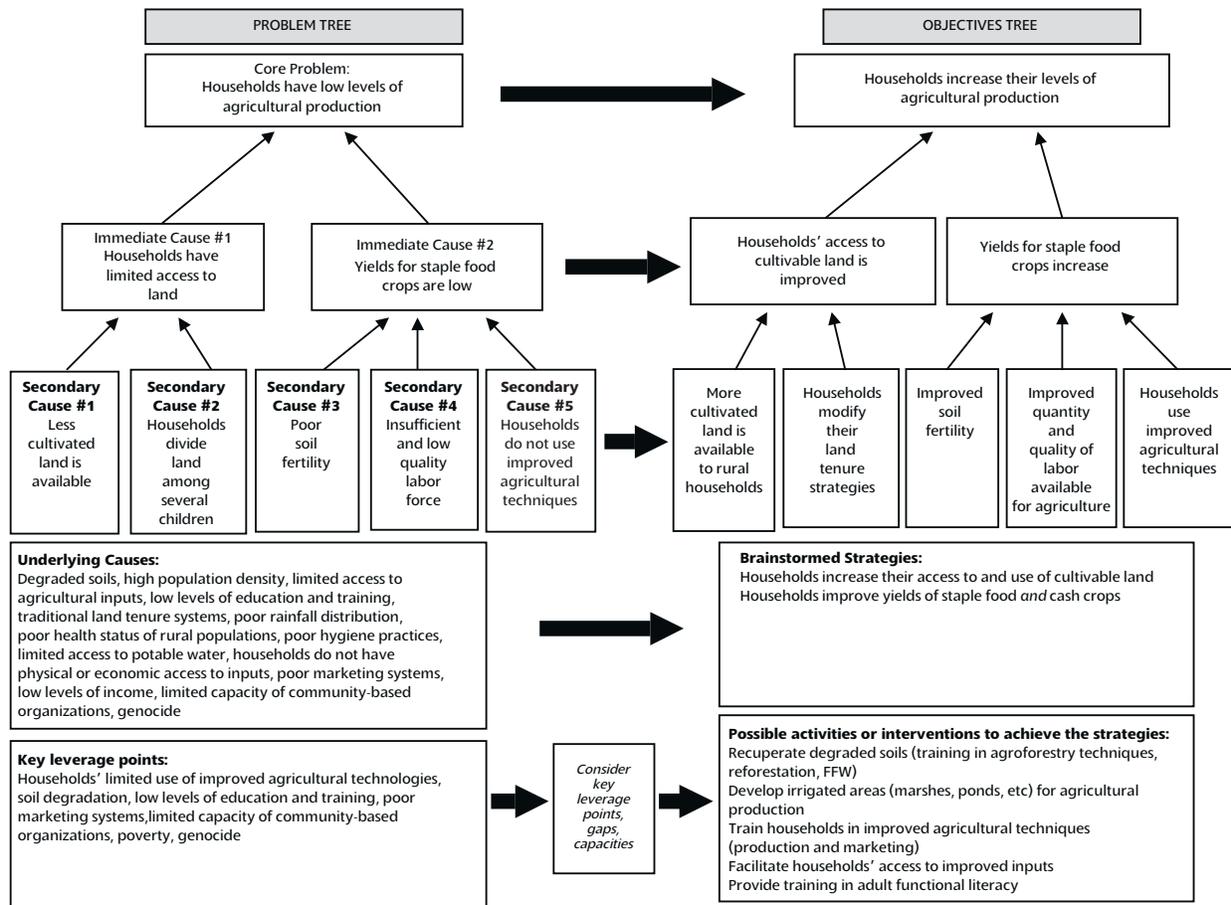
⁴⁸ Caldwell, R. 2002. *Project Design Handbook*. Atlanta: CARE International.

Figure 6.2 From Problem Tree to Objectives Tree



As a first step, the country program should transform its sector-specific problem trees into objectives trees. An **objectives tree** is the inverse image of the problem tree, whereby negative statements in the problem tree are transformed into positive statements in the objectives tree. In many cases, an objectives tree is usually only constructed from the top three levels of the problem tree—that is, the problem statement, immediate and secondary causes. An example of an objectives tree is provided in Figure 6.2, with the Rwanda agriculture example provided in Figure 6.3.⁴⁹

Figure 6.3 Rwanda objectives tree



CHAPTER 6

After having constructed the objectives tree, the country program should brainstorm possible project strategies to attain the objectives. While proposing these strategies, it is necessary to use the information from the sectoral problem analysis (including the key leverage points), gap analysis and capacity analysis. Once these strategies are identified, the country program should brainstorm concrete interventions (activities) to achieve the project strategy. Selecting evidence-based strategies and interventions is often viewed favorably by USAID/FFP.

It is possible that there might be several different project strategies for the same objectives tree. For example, in response to the problem of a high child mortality rate due to diarrheal diseases, non-potable water and poor hygiene practices, a country program could propose a number of possible sectoral strategies, including

⁴⁹ While constructing the objectives tree, the country program should not worry about identifying goals, SOs, IRs or activities. This is evident in Figures 6.2. and 6.3, where the objectives tree simply “flips” the problem tree, but no objectives levels are included. Identifying the levels of objectives statements -- such as the SOs, IRs and activities—will be carried out during the construction of the Proframe for each sector.

improving the community's access to potable water or improving hygiene behavior. Each one of these strategies, in turn, could be achieved via a variety of interventions, such as trucking in potable water, engaging a contractor to drill boreholes, or employing community members via FFW to construct a water system or dig wells. An example is provided in Table 6.2.

Table 6.2 Possible Project Strategies and Interventions for a Health Objectives Tree

Health Objective: The prevalence of diarrhea in children under 5 is reduced.	
Possible Sectoral Strategy	Possible Sectoral Interventions
Improved access to potable water	Truck drinking water to the village and install ready-made latrines
	Engage a contractor to drill boreholes
	Use FFW with community members to construct a water system or dig wells
Improved hygiene behavior of households	Facilitate access to and proper use of ArborLoos
	Train community health workers in hygiene behavior
	Train students and teachers in hygiene behavior

If the country program is faced with multiple sectoral strategies and interventions, the next step is to determine the most appropriate sectoral strategy to achieve the project's sectoral objectives. During this step it is important to reflect on the gap and capacity analysis. In order to do so, the country program should critically analyze each sectoral strategy, using the criteria (and suggested scoring system) provided in Table 6.3. In addition to these criteria, the choice should also consider CRS' program quality standards, guidelines and policies for the relevant sector (agriculture, HIV and AIDS, health, microfinance and education) or cross-cutting theme (gender, peacebuilding, partnership and others). For example, the water and sanitation team has developed specific guidance for incorporating water and sanitation into a MYAP.

Table 6.3 Scoring Card for Prioritizing Sectoral Strategies

Criteria	Access to potable water	Improved hygiene behavior
Does the proposed strategy respond to the core problem and key leverage points? (Y=1, N=0)		
Does the proposed strategy respond to an unmet need (i.e., are other NGOs working in this sector?) (0=many NGOs, 1 some NGOs, 2=no NGOs)		
Does the proposed strategy respond to CRS and partners' capacity in this area? (0=no capacity, 1=some capacity, 2=high capacity)		
Does the proposed strategy build upon households' and communities capacities and assets? (Y=1, N=0)		
Does the proposed strategy build upon best practices and lessons learned from previous projects? (Y=1, N=0)		
Is the proposed strategy a priority in CRS' strategic plan? (Y=1, N=0)		
Is the proposed strategy a priority for USAID/FFP? (Y=1, N=0)		
Is the proposed strategy sustainable? (Y=1, N=0)		
Is the proposed strategy efficient? (Y=1, N=0)		
Is the proposed strategy cost-effective? (Y=1, N=0)		
Total Score		

Based upon the results of the ranking exercise in Table 6.3., the country program should be able to determine those sectoral strategies that are the most appropriate for the MYAP. Before proceeding to develop a sectoral results framework and the project Proframe (which is discussed in Chapter 8), it is important to see how these various sectoral strategies fit together and form a comprehensive response to the food security problem identified in the country. Section 6.5 below will outline this process.



- Are there opportunities for different sectoral specialists to interact and engage in joint planning to develop the sector-specific strategies?
- Are there opportunities for integration among the different sectors?
- Are there synergies between the sectoral strategies?
- Will the strategies be implemented in a complementary, holistic fashion?



6.4 Integration: What Is It and Why Do It?

While developing MYAPs, CRS country programs have long grappled with the idea of sectoral or programmatic integration. Both the food security and IHD frameworks encourage CRS and its partners to take a holistic approach to development, better contributing to community's numerous economic and social development needs. Integration can be an effective strategy to improve the overall impact of programming interventions.

Part of the trepidation in tackling “program integration” in the MYAP comes from the lack of clarity about what exactly integration means. The term can be interpreted in a number of different ways, which can be summarized in the following, not necessarily exclusive, approaches: geographic integration and program integration (or project bundling).

Geographic Integration

Also known as “area development programs or projects,”⁵⁰ *geographic integration* is a type of programming where two (or more) sectors are implemented in the same village, district or province, to have a greater impact on overall food security and by extension integral human development. This approach uses a common geographic area as the point of departure for integrating program areas. A series of initiatives or services may be provided by one or various institutions to the same target population. Examples of this type of integrated programming involve health and education programs in the same communities, or agriculture and microfinance activities targeting different individuals in the same household. Individual participants or households in the different initiatives may or may not be the same. The MYAPs in Niger and Mali use a geographic integration approach, targeting the same communities for agriculture, health and disaster preparedness activities.

⁵⁰ Operations Evaluation Department/World Bank. 1993. *Area Development Projects, Lessons and Practices Number 3*. Washington, D.C.: World Bank.

Program Integration

Also known as project bundling, *program integration* is a type of programming where one sector is implemented as part of another sector (the “primary” sector) in order to improve the impact or outcomes of the primary sector. In the business sector, it refers to the packaging of two or more products together for a single price. Examples are credit with education programs that provide training on health, business development in conjunction with credit programs, or school health activities as part of a primary education program. Within this type of integration, the participants in one intervention are necessarily the same participants in the other intervention. The MYAP in Burkina Faso uses project bundling in its education program, providing school health activities as part of its education program.

Why Integrate?

An integrated approach to programming can have numerous advantages: it can improve the MYAP’s overall impact on a household’s food security status and increase the overall cost effectiveness of the MYAP by implementing in the same areas and working through the same village structures. Integrated approaches can also have numerous challenges. Integration requires greater coordination between sectors and among community structures, and in some cases can require one sector to modify its interventions. In some cases, integrated programming can be more costly, as it increases the number of interventions. And finally, integrated programming can put more of a burden on certain households or individuals if they are targeted for multiple activities.

Box 6.2 summarizes some simple “rules” for integrated programming in MYAPs. After each sector has developed its sector-specific interventions for the MYAP in Step 2.3, the different sectors should meet in order to determine whether opportunities for integrated program have been identified within each sector. If so, the country program should address the following questions:

- Which sectors have identified opportunities for integration?
- Why do we want to integrate? Is it to have a better impact on overall food security, or to improve the impact of a specific sectoral intervention?
- What type of integration do we want to pursue—geographic or program (project bundling) integration?
- How do we need to modify our sectoral programming to ensure an integrated approach?

BOX 6.2 SIMPLE “RULES” FOR INTEGRATED PROGRAMMING IN MYAPS

MYAP Sectoral Project Design Phase:

- The use of holistic and inter-sectoral frameworks (food security and IHD frameworks) during SPPs and MYAPs can assist in developing integrated programs.
- Each component should satisfy sector-specific program quality design criteria. Alternatively, detailed implementation plans for each sector (with clear linkages to other sectors when needed) should be developed upon project approval, as a first phase of project implementation.
- Clearly define sustainability strategies for each sector/program area in the initial design stage.
- Ensure review of integrated MYAPs by specialists in each of the sectors included in the project.
- Avoid duplication of services. Analyze the supply of services and projects in the communities before entering. Explore the possibility of linking to another organization providing a complementary service before supporting an existing partner institution to develop a new capacity.
- Analyze the capacity of partner organizations to meet program quality standards in multiple areas. This will depend on the institution’s mission, vision, leadership, human and technical resources.

MYAP Project Implementation Phase:

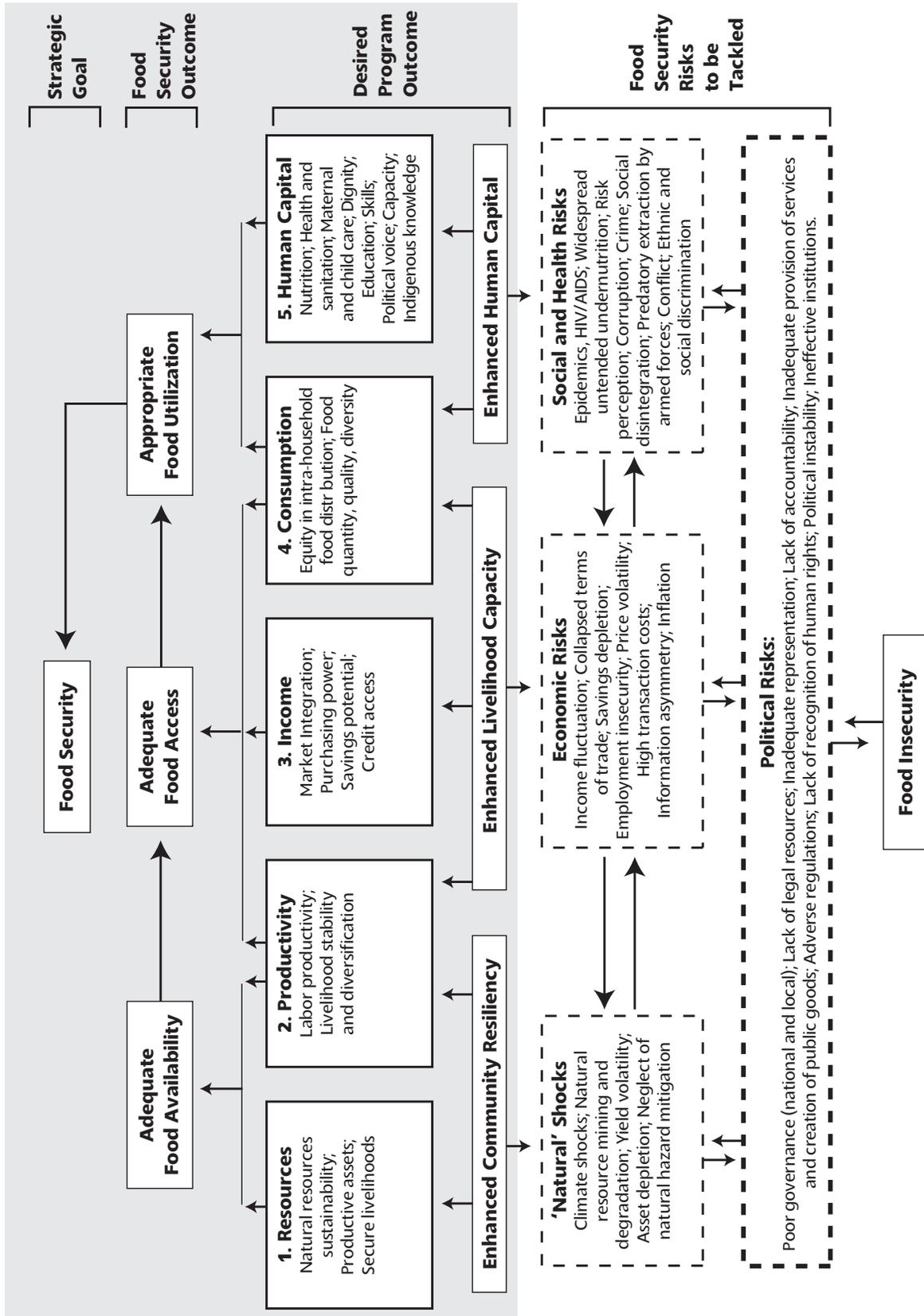
- Condition the entrance of new components (sectors or geographic areas) on a high level of integration with current components. Provide specialized technical assistance in each area to guarantee the technical quality of each sectoral intervention. In addition, evaluations should include specialists in each sectoral area, or alternatively, separate sector-specific evaluations should be carried out.
- Respect project participants’ time. Different community members may be encouraged to participate in different project components. Likewise, meetings should be kept short and should be scheduled according to participants’ time constraints.
- Begin project activities with components that communities most demand. Work from there to build consciousness regarding other important, but less obvious choices of activities.

6.5 Stepping Back: Making the Connections between Sectoral Strategies, Points of Integration, and FFP’s Results Framework

At this point in the MYAP development process, a country program has defined the food security problem in the country, has undertaken gap and capacity analyses, and has identified and consolidated key leverage points, linking them to particular sectors and/or cross-cutting themes (e.g., gender or water, etc.). Sectoral assessments and analyses have permitted the identification of sectoral problems along with a number of possible strategies (responses to those problems). Some of these strategies may require a level of integration, as discussed in the section above. **Before proceeding to finalize the choice of strategies** and construct a detailed Proframe (outlined in Section 8.2.3), the country program and its partners need to take a **step back** and ensure that the results of all of the work to date make sense and fit together to form a holistic response to the food insecurity problem identified. This ‘step back’ will also permit a **more integrated response**, as it will point the way for **different sectoral teams to work together** in finalizing strategies, choosing interventions, and drafting a **project Proframe**.

As discussed earlier, FFP’s Expanded Food Security Framework is at once a conceptual framework and a results framework. The part of this framework which concerns results is shaded in Figure 6.4.

Figure 6.4 FFP Framework



As can be seen from this framework, FFP’s “desired program outcomes” (results from the various strategies undertaken in order to improve food security) have been divided into three main categories: **protected and enhanced community resiliency**; **protected and enhanced livelihood capacities**; and **protected and enhanced human capabilities (capital)**. A fourth category, which appears as a cross-cutting outcome in the framework and which is prominent in the FFP Strategic Plan for 2006-2010, is **increased community capacity to influence factors (decisions)** that affect food security. As main “outcomes” in FFP’s results framework, these categories represent potential strategic objectives for food security programming in the context of a MYAP.

The FFP Strategic Plan for 2006-2010 states that “MYAP proposals should prioritize program objectives, keeping them focused and limited in number and in context with the FFP strategy.”⁵¹ Specifically, USAID/FFP has asked that strategic objectives for MYAPs are consistent (in content and in wording) with the four categories listed above.

These “desired program outcomes” (or potential MYAP objectives) are further divided into five main **sub-categories**:

1. Resources (managing, protecting, and enhancing resources);
2. Productivity (improving productivity both of labor and of livelihoods)
3. Income (including efforts at market integration, improving purchasing power, accessing credit, and increasing savings)
4. Consumption (strengthening equity within households, and improving quantity, quality, and diversity of consumed food)
5. Human capital (building skills/capacities, strengthening the health and nutritional status of people)

These sub-categories represent the types of interventions that might be used to affect availability, access, utilization, and risk via the four categories (FFP “program outcomes”) indicated above. Reducing risk—and strengthening resiliency (capacity to manage risk)—might fall under any one category, depending on the type of risk faced by the food insecure households. Thus, for example, if the risk is related to an epidemic (such as HIV), interventions aiming at strengthening resiliency might fall under the category of ‘enhancing human capital’; whereas if the risk was related to a climatic shock (such as flooding), then the interventions aimed at reducing the risk might fall under ‘enhancing community resiliency’ (and the sub-category related to managing resources).

Before proceeding to finalize the choice of sectoral strategies and constructing a Proframe, country programs should ensure that their thinking and problem analysis to this point is aligned with the FFP strategy and framework. To do this, the following steps are recommended:

1. Take the food security problem statement developed during Step 1.5 and use it to define the goal of the MYAP.
2. Compare the sectors and cross-cutting themes (identified from the key leverage points) to the FFP food security framework to identify where and how these fit in the framework. Identify which of the four main categories listed above will be retained as strategic objectives for the specific MYAP being developed, and list out the cross-cutting themes and/or sectors to be addressed under each strategic objective.

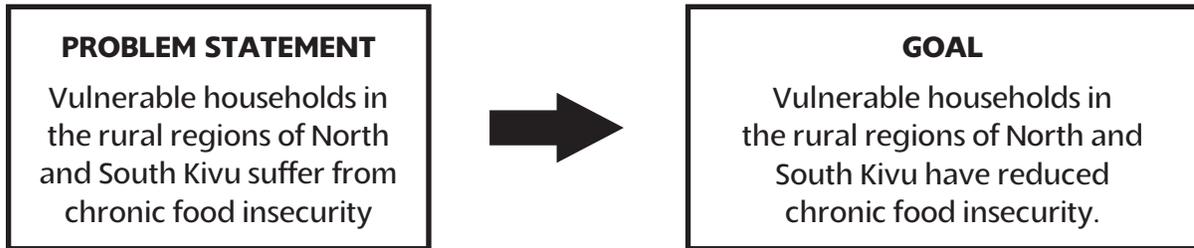
51 FY09 FFP Guidelines, lines 612-618, p. 14.

- For each strategic objective, proceed to finalize the choice of strategies and interventions, working in a multi-sectoral team whenever more than one sector is required to address that particular objective.

These steps are explained in more depth below.

1. Take the food security problem statement and use it to define the goal of the MYAP.

The country program should first define the food security goal. In order to do so, it is necessary to take the food security problem identified during Step 1.5 and turn this into a statement about reducing food insecurity. This will become the goal of the food security results framework for the MYAP. An example is provided below.



2. Compare the key leverage points and identified sectors to the USAID/FFP framework and align to USAID/FFP strategic objectives.

At this point, the country program should look at the sectors and/or themes that it has retained (after having completed the sectoral assessments and analyses, including sectoral-specific problem statements) and align them with the four main strategic objectives defined as ‘program outcomes’ in USAID/FFP’s framework. Table 6.4 below provides some suggestions for linking sectoral problem statements with the four categories / strategic objectives defined by USAID/FFP. These are—in many instances—similar to the sub-categories defined in FFP’s framework and discussed above.

Table 6.4 Suggestions for Linking Sectoral Problem Statements with the Four Categories/Strategic Objectives Defined by the FFP Framework.

USAID/FFP Category	Key Themes / Sectors
Protected and enhanced human capabilities	Health and nutrition, HIV, education, skills-building, water, sanitation and hygiene, gender
Protected and enhanced livelihood capacities	Agriculture, agroenterprise, microfinance, SILC, irrigation, gender
Protected and enhanced community resiliency	Emergency preparedness and response, capacity building, natural resource management, gender
Increased community capacity to influence factors that affect food security	Advocacy, capacity building, governance, disaster preparedness, gender

In some cases, as can be seen from the table above, more than one sector will be addressed under a given category. For example, suppose that a country program has identified four main sectors and defined problem statements for each of them as follows:

- Agriculture: Rural households in targeted regions are unable to meet their basic needs from agriculture
- Microfinance: Rural households in targeted regions suffer from extreme levels of poverty
- Health: Mothers and children under 24 months in targeted regions suffer from poor health and nutrition
- Emergency: Communities in targeted regions are unable to recover from flooding

These sectors would fall under the following USAID/FFP categories: protected and enhanced livelihood capacities (agriculture and microfinance); protected and enhanced human capabilities (health); and protected and enhanced community resiliency (emergency). These three categories would then be retained as the three strategic objectives for the MYAP. In this example, gender has been identified as a cross-cutting theme and would be integrated into each SO.

3. For each strategic objective, proceed to finalize the choice of strategies and interventions, working in a multi-sectoral team whenever more than one sector is required to address that particular objective.

Country programs should then proceed to turn the sectoral-specific problems into objectives statements (which would then become the intermediate results in the MYAP results framework), and developing the lower levels of the Proframe (outputs and activities). This is further described in Step 2.7.

If more than one sector was included in a given objective, the sectoral teams will need to work together to ensure an adequate level of integration and complementarity in achieving the objective. In the case presented above, for example, the agriculture and microfinance teams would need to work together while finalizing the choice of strategies and interventions, in order to ensure that the strategic objective is comprehensively addressed. Further information on developing a Proframe is included in Section 8.2.

In finalizing the choices of strategies and interventions, country programs will need to take a closer look at the use of food (when, how, ration sizes, etc.) and other resources, as discussed in the following chapter.

Part III
Conducting the
Project Design
Process for
MYAPs

Chapter 7

Determining Resource Needs and Uses

This chapter will cover the following topics:

7.1 Step 2.4 Determine When and How to Use Food Aid

7.1.1 How Should Food Aid Be Used as Part of the MYAP?

7.1.2 Determining Food Aid Rations

7.1.3 Should We Use Imported Food Aid or Purchase Locally?

7.1.4 Is Cash Appropriate as Part of the MYAP?

7.2 Step 2.5 Develop a Sustainability or Exit Strategy

7.2.1 What Is an Exit Strategy?

7.2.2 How Do We Develop a Sustainability or Exit Strategy for a MYAP?

7.3 Step 2.6 Determine What Will Be Funded through the MYAP

7.3.1 The MYAP and Monetization

7.4 Additional Resources

7.1 Step 2.4 Determine When and How to Use Food Aid

	Preplan	Action Plan	Conceptual Frameworks	Macro Assessments	Micro Assessments	Problem Tree	Gap and Capacity	Sectoral and Geographic	Sectoral Assessments	Sectoral Analyses	Project Strategies	Food Aid	Exit Strategy	Funding Decisions	Results Framework	Draft Proposal	Submit MYAP Proposal	Review, Revise, Resubmit
PRE	1.1	1.2	1.3	1.4	1.5	1.6	1.7	2.1	2.2	2.3	2.4	2.5	2.6	2.7	3.1	3.2	3.3	

7.1.1 How Should Food Aid Be Used as Part of the MYAP?

The PL 480 Title II program provides food and non-food resources to CSs. Food aid can be used for distribution and/or monetization purposes as part of the MYAP. While monetization is a necessary component of the MYAP to generate funds, deciding when and how to use food aid for distribution is an important issue for many country programs.⁵² Food aid can be used as a component of a variety of programs, including emergency response (general distribution, targeted food aid including supplementary on-site (wet) and take home (dry) rations), productive, conditional and unconditional safety nets, Food for Work or Food for Assets, maternal and child health and nutrition, HIV and AIDS, and Food for Education (FFE). A summary of these types of food distribution programs is provided in Box 7.1.

BOX 7.1 USES OF FOOD AID IN TITLE II PROGRAMS (MYAPS OR SYAPS)

General Food Distribution: Usually used in the context of a SYAP or an emergency program, food aid rations are provided during the acute stage of a humanitarian crisis to meet the critical food needs and may be phased out over time as more information becomes available. Rations are generally distributed to households in the affected areas. Targeted distributions may focus on providing food aid to nutritionally vulnerable groups such as all children under five years of age or all pregnant and lactating women.

Food for Work (FFW): Food aid rations are provided as wage transfers for workers in the short-term, in order to achieve public works projects. FFW can be used as a component of a variety of sectoral programs, including agriculture, health, and education.

Food for Training (FFT): Food aid rations are provided to beneficiaries being trained by the program. FFT can be used as a component of a variety of sectoral programs, including agriculture, health, and education.

Food for Assets (FFA): Food for Assets involves the exchange of food for labor, but emphasizes the creation of assets that are owned, managed and utilized by targeted households or communities. More specifically, it denotes a shift away from emphasis on employment creation and toward community-managed asset creation.

Maternal Child Health and Nutrition Programs (MCHN): The use of food aid as part of broader-ranging maternal child health and nutrition activities. The purpose is to prevent malnutrition among the nutritionally vulnerable—pregnant and lactating women and children under 5 years of age, with a focus on those between 6-24 months. Food aid is provided on-site in the form of a wet-ration or through a take-home dry ration.

continued on next page

⁵² In recent years, the Office of Management and Budget (OMB) of USAID has become increasingly concerned with the percentage of food aid being used for distribution. In the current political environment, there is more pressure for PVOs to have a distribution component to the MYAP.

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HIV: Food aid rations are available to food insecure people infected and affected by HIV and AIDS. Food aid has been used to improve the nutritional status of the targeted population, protect assets, and as a safety net for households with a high-dependency ratio. The use of food aid for HIV prevention and mitigation must be clearly explained in the proposal. Linkages with President’s Emergency Plan for AIDS Relief (PEPFAR) and other HIV programs are encouraged and a clear exit strategy must be presented.

Food for Education (also known as food-assisted education, or FAE): The use of food aid as part of broader-ranging education activities. Food aid is primarily used in school feeding (i.e., school-based feeding activities); take-home rations (i.e., targeted households receive a supplemental ration in exchange for enrollment and attendance of targeted groups); and FFW (food is provided in exchange for construction of educational infrastructure).

Safety net programs: A system of providing resource transfers to low-income and other vulnerable individuals and populations who are unable to meet basic needs for survival and human dignity. Individuals may be unable to meet these needs due to an external shock or due to socioeconomic circumstances, such as age, illness, disability or discrimination. There are three types of safety nets in Title II programming—unconditional, conditional and productive.

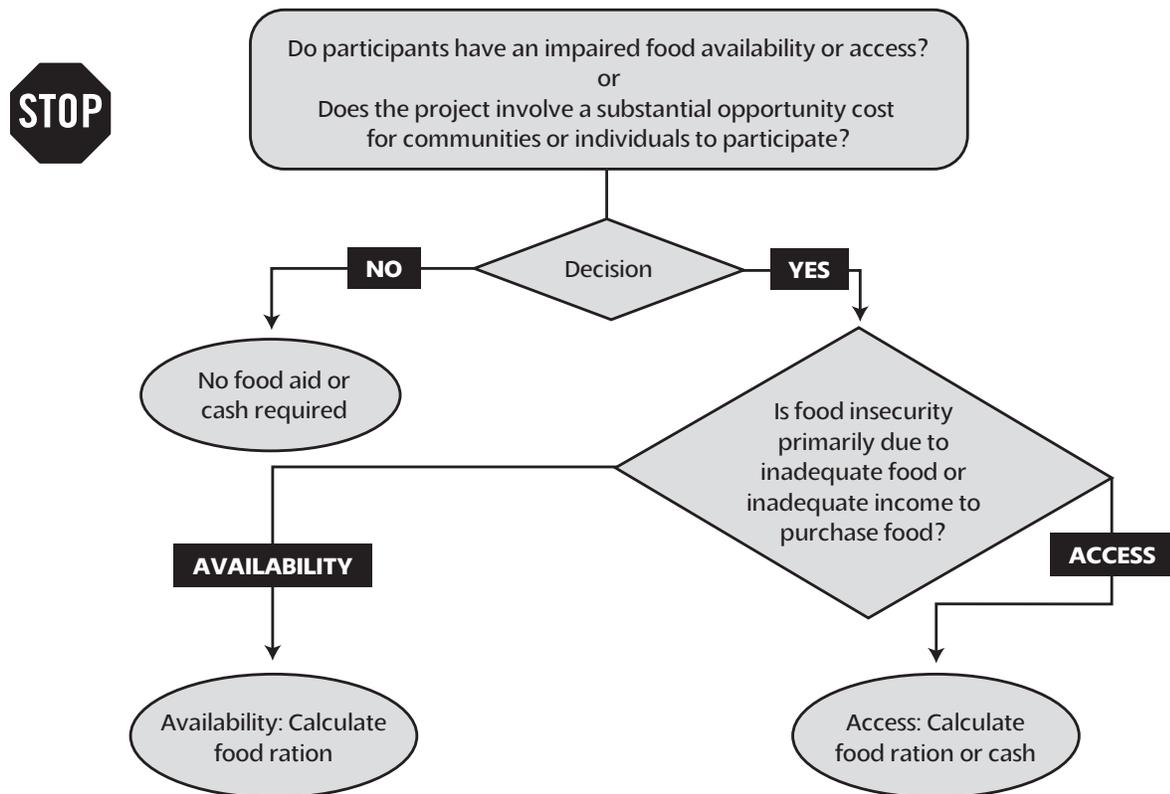
** For more detailed information see the USAID/FFP Commodity Reference Guide as well as the most recent USAID/FFP MYAP Guidelines.*

Food aid has been used in MYAP programs to achieve three primary objectives:

- To **improve the nutritional status** of targeted groups
- To provide an **income transfer**
- To provide an **incentive** for participation in a particular activity

In order to achieve these objectives, food aid is often not used as a stand-alone project or activity, but is integrated into a broader sectoral strategy. While food aid can be used to achieve multiple objectives, improving nutritional status is usually the focus of emergency response (e.g. general distribution), safety net, or food assisted health or HIV and AIDS programs; providing an income transfer to resource-poor households is the primary objective of FFW or FFA programs; and providing an incentive for participation is the primary focus of take-home rations in health and FFE programs, as well as school feeding in FFE programs.

In order to decide whether and how to food aid as part of its sectoral interventions, the country program should consider the nature of the food security problem by answering the questions outlined in Figure 7.1.

Figure 7.1 Flow Chart for Determining When to Use Food Aid in a MYAP**IHD CHECK**

CHAPTER 7

- Would food aid contribute to protecting or enhancing assets at the individual, household and community levels?
- Does it help communities to overcome structural injustices? For example, many rural areas have limited water and sanitation infrastructure. To address this issue, FFW might be used to provide labor to construct cement tanks and install pipes.
- Would the use of food aid perpetuate structural injustices within a community? For example, in an attempt to address gender imbalances, it might be suggested that women are targeted as FFW participants in order to ensure that they and their dependents benefit from the food distribution. However, an adequate review and analysis of women's workloads and other on-going responsibilities needs to be conducted to ensure that the FFW activities are not requiring additional strain to their work schedules or interfering with child- and home-care responsibilities.
- Would food aid reduce the need to practice negative coping strategies (e.g. need pull a child out from school or cutting down trees for charcoal) on the part of the most vulnerable?
- Would food aid help to mitigate the impact of shocks at the individual, household and community levels?



7.1.2 Determining Food Aid Rations

Once a country program has determined that food aid is appropriate, it is necessary to calculate the appropriate ration. In order to determine the ration size and composition, country programs should address the following questions:

- How will the ration be used? In other words, what is its objective (nutritional status, income transfer or incentive)?
- What are the characteristics of the target population (including dietary and other preferences)?
- How will the food be distributed? (on-site wet feeding or take-home rations)

The objective of the food aid program (nutritional status, income transfer, incentive) is directly linked to the ration size and composition. For example, if the primary objective of the food distribution is to improve nutritional status, then the ration should be calculated to provide the right balance of calories, fat, protein and micronutrients to ensure nutritional recuperation and maintenance. If the distribution program seeks to provide an income transfer (FFW, FFA), then the ration should be calculated in accordance with local wage standards. Finally, if the objective of the distribution program is to provide an incentive, then the ration should be calculated based upon its value in the local market and the cost to the target population for participation in the program.

Specific guidance for calculating rations for each program is available from USAID's *Commodities Reference Guide* (2006)⁵³ and WFP/UNHCR's *Guidelines for Estimating Food and Nutritional Needs in Emergencies* (1997).⁵⁴ Between 2000-2007, USAID's Food and Nutrition Technical Assistance Project (FANTA) also published several reports on rations in Title II food distribution programs, including *Improving the Use of Food Rations in Title II Maternal/Child Health and Nutrition Programs* and *Potential Uses of Food Aid to Support HIV/AIDS Mitigation Activities in Sub-Saharan Africa*. This section provides some additional information and guidance on calculating rations for different food aid programs.

Emergency Programs: General Food Distribution

Internationally accepted guidelines for calculating rations in emergency situations are available in WFP/UNHCR's *Guidelines for Estimating Food and Nutritional Needs in Emergencies* and the Sphere Project's *Humanitarian Charter and Minimum Standards in Disaster Response*. Although calculating food aid rations in emergency situations is outside of the scope of this manual, some of the basic principles for emergency food aid rations are the following:

- The average *minimum* energy requirements for a "typical" population is 2,100 Calories per person per day, with 40-60 grams of protein, and 40-50 grams of fat.⁵⁵ Based upon this finding, WFP and UNHCR recommend that 2,100 Calories be used for estimating food and nutritional needs in emergencies.

⁵³ The commodity reference guide (CRG) is divided into three parts and six main sections: Part I, which provides information on the food commodities that are in general use in the Title II program (commodity availability and characteristics, commodity fact sheets, storage specifications and controlling damage to food commodities); Part II, which provides information and modules on calculating food rations for different programs (Maternal and Child Health and Nutrition, Food for Work (FFW), Food for Education (FFE), Non-Emergency Humanitarian Assistance (NEHA or Safety Net) and Emergency; and Part III, which includes annexes on definitions, emergency and dietary allowance tables, and price information. The modules in Part II are an excellent resource for calculating food rations in different distribution programs (USAID/FFP, January 2006. *Commodities Reference Guide*. Washington, D.C.: USAID/FFP. Available at http://www.usaid.gov/our_work/humanitarian_assistance/ffp/crg/)

⁵⁴ The guidelines recommend that an average figure of 2,100 calories/day be used as the initial reference value for calculating energy requirements and designing food aid rations for affected populations in emergency situations. In addition, general food aid rations must contain 40-60 grams of protein and 40-50 grams. A more precise breakdown by sex, age and activity level can be found in the CRG.

⁵⁵ Institute of Medicine. 1995. *Estimated Mean per Capita Energy Requirements for Planning Emergency Food Aid Rations*. Washington, D.C.: National Academy Press. Available at www.nap.edu.

- An adequate ration is generally defined as meeting the population's minimum energy (2,100 Calories), protein, fat and micronutrient needs. Therefore, general standard rations in emergency situations must be comprised of a staple food (cereal), a food rich in energy and fat, such as vegetable oil; and a food rich in protein, such as pulses (beans).
- In some situations, therapeutic feeding programs may be necessary. These programs require medical services and specialized products. Depending on the severity of the malnutrition, individuals may be treated at a specialized center or at the community level. Therapeutic feeding is beyond the scope of this manual, please consult Regional and PQSD technical advisors before proceeding.⁵⁶
- After the onset of the emergency, the ration should be modified based upon the following criteria: demographic characteristics (e.g., age, sex), nutritional status of the population, dietary customs and habits, level of physical activity, and access to other food sources.

Food for Work or Food for Assets

The primary objective of Food for Work (FFW) or Food for Assets (FFA)⁵⁷ programs is to provide food rations as *wage or income transfers* for food insecure workers in order to achieve public works projects or a community or household asset. FFW/FFA rations have typically been used in non-emergency programs and in sectors such as agriculture, HIV, health, education and sanitation.⁵⁸ The main factors to keep in mind when calculating FFW/FFA rations are the following:⁵⁹

- Provide food rations at or below the local equivalent daily wage rate⁶⁰
- Treat rations primarily as an income transfer, rather than as a nutritional input⁶¹
- Set rations based upon country-specific characteristics: local daily minimum wage, community living standards, gender and age of the workers
- Consider advantages and disadvantages of FFW versus Cash-for-Work (CFW) (see Section 7.1.4)
- Consider local harvest and labor patterns in timing the distribution and ending the program

Maternal Child Health and Nutrition (MCHN) Programs

The primary objectives of food distribution in maternal child health and nutrition programs are: 1) to prevent malnutrition of at-risk populations e.g., children 6-24 months⁶² and pregnant and lactating women;⁶³ 2) to improve nutritional status (recuperative ration) of malnourished children or at-risk family members; and 3) to provide an incentive to utilize health and nutrition services.

Several papers issued by FANTA provide guidelines for calculating rations in health programs as does the USAID/FFP Commodity Reference Guide. The main factors to keep in mind when calculating rations for MCHN programs are the following:

⁵⁶ Additional information is available at www.fantaproject.org

⁵⁷ FFA is similar to FFW, but seeks to create high quality community assets that will benefit the community in the long term (e.g. structures that will help communities mitigate and reduce their vulnerability to drought), rather than focusing simply on a resource transfer in exchange for work.

⁵⁸ FFW and FFA have been used in non-emergency and emergency contexts (USAID/FFP. Updated January 2006. *CRG. Part II, Module 2: Food for Work*. Available at http://www.usaid.gov/our_work/humanitarian_assistance/ffp/crg/module2.html)

⁵⁹ USAID/BHR/FFP. 1991. *Food for Work: A Review of the 1980s with Recommendations for the 1990s*. Washington, D.C.: USAID.

⁶⁰ If rations are above the local daily minimum wage rate for a similar type of work, they risk disrupting local labor patterns and causing disincentives to production.

⁶¹ Although food needs and nutritional value should not be ignored in FFW projects, the nutritional value of FFW rations is usually a secondary consideration, depending on the situation, particularly if all (or some part) of the ration will be prepared on-site to serve as a hot meal for workers.

⁶² Menon, P. and M. T. Ruel with M. Arimond, J.P. Habicht, B. Hankebo, C. Loechl, J. Maluccio, M. N. Mbuya, and G. Pelto. 2007. *Prevention is Better than Cure. Final Report of the Evaluation: Prevention or Cure? Comparing Preventive and Recuperative Approaches to Targeting Maternal and Child Health and Nutrition Programs in Rural Haiti. Executive Summary of the Evaluation Report*. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED).

⁶³ FANTA. 1999. *Improving the Use of Food Rations in Title II Maternal/Child Health and Nutrition Programs*. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED).

- There is increasing interest in providing *preventative rations* for all children 6-24 months who live in at-risk communities. A preventative ration differs from a recuperative ration in that age rather than nutritional status serves as the primary targeting criteria. Preventative rations may also be provided to pregnant and lactating women.
- In some cases, preventative rations may not be feasible. In this case *recuperative rations* for children age 6 months to 5 years old are targeted once they have become undernourished. Assuming a wet-ration is provided at a recuperative feeding center, the ration needs to be calculated based upon the needs of the malnourished child. If, however a take-home dry ration is provided, it is important to remember that *the ration will not be given to the malnourished child alone*, therefore a household ration is commonly recommended.⁶⁴
- If the ration is being provided outside of the center, FANTA recommends that the food ration should be based upon the caloric deficit of the family in order to account for sharing among family members. In the absence of data on household calorie deficits, most programs use a calorie deficit estimate of 10-20%.
- Assuming that there are 5 members in a household, each with a caloric need of 2,000 calories, total caloric needs for the households would be 10,000 calories. If the family meets 80% of its caloric needs, then this is 8,000 Calories. There is a 2,000 Calorie deficit/day for the household, or 400 Cal/day per person.
- An *incentive ration* may be offered to encourage use of services. FANTA recommends that the size of the ration should be based upon the opportunity cost (time) for participation in the program, with the estimate based on local prices for donated foods. They also recommend that the ration should take into consideration the cost to the target population for participation in the program (i.e., transportation, lost daily wages), and that the value of the ration should be calculated.

A critical factor to keep in mind when calculating food aid rations for Title II MCHN programs is that the design of the program does not compromise the adoption of appropriate and recommended feeding and dietary practices, including exclusive breastfeeding for infants under six months of age.⁶⁵ Country programs should consult the World Health Organization's *Global Strategy for Infant and Young Child Feeding* and the Essential Nutrition Actions (ENA) for additional guidance, as well as existing maternal and child nutrition guidelines for the host-country guidelines developed by the Ministry of Health or relevant body.⁶⁶

HIV and AIDS

Food aid distribution for people infected and affected by HIV and AIDS is appropriate when a clear rationale can be provided about the links between HIV and food insecurity. Food aid programs should be combined with other activities to reduce food insecurity and improve the livelihoods of the targeted population. Vulnerable groups may include food insecure households caring for a PLHIV, HIV-positive pregnant and lactating women, households with high dependency ratios, or child headed households. Typically a ration is provided as a nutritional supplement, an income transfer or an incentive, the purpose of the ration will often help to determine its size and contents. Food aid may be distributed through institutional-based

64 A WFP study found that substitution with on-site feeding programs ranged from 37-53% of energy, compared to a leakage of 46-82% if the ration was taken home.

65 USAID/FFP. Updated January 2006. *CRG: Part II, Module I: Maternal Child Health and Nutrition*. Available at http://www.usaid.gov/our_work/humanitarian_assistance/ffp/crg/module1.html

66 Diene, S. ND. *The Essential Nutrition Actions*. Nutrition technical focus area team leader basic support for institutionalizing child survival (BASICS II) Project. Available at www.basics.org/documents/pdf/ENA.pdf

feeding programs, clinic-based programs (e.g. nutritional support programs, HIV counseling and testing sites or prevention of mother to child transmission sites), through community and home-based care and support programs including those addressing the needs of orphans and vulnerable children. Delivery of food aid to beneficiaries can be stigmatizing, so programs need to be aware of this identify ways to reduce or mitigate stigma which could include sensitization of the community or including PLHIV as part of a larger community-wide food aid program if appropriate.

The objectives of providing food aid in the context of HIV vary depending on the context and other ongoing programs. Food aid is most commonly used to mitigate the impact of HIV and AIDS. For example, food aid may be used to maintain or improve nutritional status of PLHIV or distributed as targeted food assistance to households with a high dependency ratio while they are trained in gardening or other livelihood options. The main factors to keep in mind when developing and calculating rations for HIV programs are the following:

- Ensure the purpose of the ration (e.g., nutritional supplement, income transfer or incentive) is clear. This will help to determine the content and quantity.
- PLHIV have additional nutritional needs depending on the stage of their illness. Keeping this in mind may influence the size of the ration, even if the ration is provided to a household.⁶⁷ Table 7.1 provides a summary of additional energy (caloric) needs of PLHIV.
- Palatability and ease of preparation are important. PLHIV may have difficulty preparing or eating certain foods. Therefore the ration should include commodities that are palatable, and easy to chew/swallow (e.g. can be prepared as a gruel). Foods selected should be easy to prepare and require minimal fuel for preparation. This is important for households with labor constraints.
- Fortified commodities should be considered while assuring that vitamin levels stays are inline with the recommended daily allowances.
- Take into consideration existing host-country guidelines developed by the Ministry of Health or relevant body.
- Identify ways in which Title II food aid can be leveraged with other HIV programs (e.g. PEPFAR, Global Fund, host-country government) to increase impact.
- Ensure clear entry and exit criteria are developed.

⁶⁷ See Chapter 6 of FANTA. 2004. *HIV/AIDS: A Guide for Nutritional Care and Support*. 2nd Edition. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED) for an example of how to calculate a household ration in a household affected by HIV.

Table 7.1 Additional Energy Requirement of PLHIV Depending on Population Group and HIV Phase

Population Group	HIV phase	Energy requirement
Adults	Asymptomatic	10% increase
	Symptomatic	20-30 % increase
Pregnant/lactating women*	Asymptomatic	10% increase
	Symptomatic	20-30% increase
Children	Asymptomatic	10% increase
	Symptomatic (with no weight loss)	20-30% increase
	Symptomatic (with weight loss)	50-100% increase

Source: WHO. 2003. *WHO Technical Consultation on Nutrient Requirements for People Living with HIV/AIDS*. Geneva: World Health Organization (WHO).

* In addition to the extra energy requirements due to HIV infection, it is important to keep in mind that pregnant and lactating women need to consume extra energy, protein and micronutrients required by pregnancy or lactation.

Food for Education (FFE) Programs

The primary objectives of food distribution in Food for Education (FFE) programs are twofold: 1) to serve as an incentive to participate in education programs; and 2) to provide food rations to school-going children, their families and communities to meet immediate consumption needs.⁶⁸ With these objectives in mind, different distribution approaches are used in FFE programs. The main considerations when calculating rations for FFE programs are the following:

- For **school feeding programs**, rations are not expected to fulfill nutritional deficits, but should meet short-term nutritional needs (i.e., contributing to a healthy diet and ensuring readiness to learn and attentiveness while in school) and serve as an incentive for enrollment and participation in education programs. Consequently, the ration sizes and the quality of the meal will vary considerably, depending upon the specific school feeding program (breakfast/morning snack or mid-morning meal/lunch).⁶⁹ When calculating rations, it is also important to remember that the energy needs of all children under 10 and girls under 14 are less than 2,100 calories per day. Finally, CRS and its partners should provide on-site meals to students in schools or in non-formal education sites.
- For **take home rations**, dry (uncooked) rations should be provided to students to take home to their families on a monthly basis, primarily targeting students from under-represented groups (for example, girls). The rations should serve both an incentive and as compensation for school-related costs and loss of labor in the household, but not to meet the nutritional needs of the entire household. Finally, the rations should be conditional upon attainment and/or success rates.

⁶⁸ Whereas FFE programs have traditionally used food primarily as an incentive to children and families, the role of FFE programs has been extended to additionally focus on improving learning, attention and retention of material. USAID/FFP. Updated January 2006. *CRG: Part II, Module 3: Food for Education*. Available at http://www.usaid.gov/our_work/humanitarian_assistance/ffp/crg/module3.html

⁶⁹ When sufficient food is unavailable or dietary habits are such that families do not eat until later in the day, morning meals should be considered in order to improve readiness to learn and attentiveness in morning classes. With school lunches, however, the main objective is to provide an incentive to children and their parents. Parents view this meal as an income transfer, and thus an incentive to send their children to school. Nonetheless, this meal can have a positive impact upon students' readiness to learn and attentiveness.

Safety Net Programs

USAID/FFP recognizes three types of safety net programs - unconditional, conditional and productive. Unconditional safety nets are based on need alone. Conditional safety-nets require some sort of behavior in order to receive a ration e.g. sending a child to school. Productive safety-nets provide a resource transfer in time of need (e.g. seasonal food insecurity) to protect productive assets. In order to calculate food aid rations for safety net programs, it is important to know the type of safety net program that is being implemented and the caloric deficit of the population being targeted. In many instances safety net participants may be dependent upon outside sources to meet their food needs much like emergency-affected populations. As is the case with most emergency food aid distributions, the primary objective of safety net program is to maintain or improve the nutritional status of the target population.⁷⁰

Within its Title II programs CRS has examples of all types of safety net programs, but often our work focuses on providing unconditional safety nets to the poorest of the poor, some of whom are housed in institutions. In this case the ration may help to off-set the cost of food so the institution can use its cash resources for other needs such as salaries, programs run by the center, etc. When calculating the ration, it is important to keep in mind there are different types of safety net institutions. Factors to consider when calculating safety net rations are the following:

- Type of safety net institution
- Category of beneficiaries within the institution (i.e., terminally ill, adults and vulnerable children temporarily in need of assistance, the handicapped or the elderly)
- Caloric and nutritional needs of the beneficiaries (e.g., children need fewer calories than adults)
- Current resources of the safety net institutions (i.e., whether the institution is receiving food aid or cash from another donor)

If for example, CRS is the only source of food aid and beneficiaries are completely dependent upon the institution to meet their food needs, then the daily ration might need to cover 100% of the beneficiaries' recommended energy allowance. However, if the institution is capable of providing cereals, then CRS' ration should provide pulses, oils and fortified products rich in micronutrients.⁷¹

In other cases, unconditional safety nets may be based at the community level. Unconditional safety nets may be provided to populations vulnerable to food insecurity such as woman or child headed households with a large number of dependents. In this case an unconditional safety net ration might be provided to meet consumption needs while either household or community-based strategies are developed to replace the food aid.

Finally, productive safety nets are often similar to FFW and a similar procedure can be used to calculate the most appropriate ration. Finally, additional guidance is available in Module 4 of the Commodity Reference Guidance.⁷²

⁷⁰ Cekan, J. 2000. Red Cross Humanitarian Mission to Assist the Most Vulnerable—Safety Nets Programs and the American Red Cross. *Food Forum*. Washington, D.C.: Food Aid Management. Available at www.foodaid.org/pdfdocs/foodforum/2000Q2/redcross.pdf

⁷¹ WFP/UNESCO/WHO's recommendations for institutional feeding are the following: 1) safety net programs that provide three (3) meals per day should cover 100 percent of daily recommended allowances for energy and protein; 2) programs that provide two meals should provide 60-75 percent of energy and 80-90 percent of protein; and 3) programs providing one meal should provide 30-45 percent of energy allowance and 60-70 percent of the protein allowance.

⁷² USAID/FFP. Updated January 2006. *CRG. Part II, Module 4: Non-Emergency Humanitarian Assistance*. Available at http://www.usaid.gov/our_work/humanitarian_assistance/ffp/crg/module4.html



7.1.3 Should We Use Imported Food Aid or Purchase Locally?

In FY07, USAID/FFP requested the authority to use up to 25 percent of appropriated Title II funds for the local or regional purchase and distribution of food. The rationale for this request was to enable the US and Title II CSs to move with greater speed and flexibility to prevent famine in cases where an emergency occurs with little notice (e.g., a natural disaster or an outbreak of fighting), food deliveries are unexpectedly interrupted (e.g., a pipeline break), or a cease fire allows rapid access to populations in need. USAID/FFP's FY07 request was denied, and U.S. commodities are still prioritized for MYAPs. The following are some considerations should local purchases be permitted under MYAPs in the future.

Despite growing support for local purchases, it is not clear that local purchases are always a “first-best” option as compared to imported food aid. Local procurement, like imported food aid, may also change the behavior of market participants, which could impact market prices, market structure and power, and the quality and quantity of food produced, offered on the market, stocked and traded.

The magnitude of these effects depends on the country-specific situation (production, marketing and food security) and the nature of the local purchase. Most of the attention of PVOs, WFP and the EU has traditionally focused on the first impact, and far less on the others, although their effects may be substantial. The quality and quantity impacts may have carry-on effects on local production and processing, and have a potential bearing on the medium and long term efficiency and effectiveness of the market system.

According to existing procurement policies of international organizations (WFP, EU and others), local procurement should avoid disrupting markets. In general, however, there are limited guidelines and standards on ‘how to prevent market disruption’. Guidelines that do exist are somewhat vague in nature, stating that: 1) food should be in excess of local requirement; 2) harmful imbalances between offer and demand need to be avoided; 3) purchases ought to take place at a competitive ‘commercial’ price; and 4) purchase prices should be near to international price levels.⁷³

Although these statements offer a helpful framework, they do not provide a comprehensive “how to” guide of the issues to consider and analyze in order to determine whether local purchases are appropriate, and, if so, how they can and should be conducted in order to minimize disruption. In addition, the characteristics of agricultural production in many MYAP countries results in volatile and thin market, which could exacerbate the effect of local purchases. Before deciding whether to use local or triangular purchases in a given year, the CRS country program should address the following questions:

- Has the country experienced a production shortfall in a particular year? If so, were surplus-producing markets affected or deficit markets?
- Are markets fairly integrated, such that prices in one market follow prices in another market?
- Based upon the above, are local purchases appropriate during a particular year?
- If so, in what quantities?
- In which markets or regions should the food be purchased?
- At what prices should food be purchased?
- During which period should the food be purchased?

⁷³ See Chapter 6 of FANTA. 2004. *HIV/AIDS: A Guide for Nutritional Care and Support*. 2nd Edition. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED) for an example of how to calculate a household ration in a household affected by HIV.

7.1.4 Is Cash Appropriate as Part of the MYAP?

In addition to food-based interventions, cash-based interventions are also a possibility as part of the MYAP. Cash-based interventions include conditional and unconditional cash transfers, cash vouchers, and cash for work (CFW). In recent years, cash-based interventions have been encouraged with increasing frequency by international and non-governmental organizations in emergency and development contexts. There are multiple reasons for this focus on cash-based interventions, including shifting donor priorities and food aid bans in certain countries.

While cash-based interventions can provide several advantages to food distribution in MYAPs, they are not necessarily appropriate in all contexts. In fact, injecting cash into an economy could put additional inflationary pressure on food and impact prices if overall supply is low. A concrete example is the case of Ethiopia. Between 2006-2008, the country experienced significant inflation for all commodities, and especially for *tef*, the primary staple.

If cash-based interventions are provided in Ethiopia in response to the food crisis, then this could increase households' incomes for staple foods and shift out demand (from D_1 to D_2) (Figure 7.2). If the total number of goods in the economy stays the same, then this could increase prices in the economy (from P_1 to P_2). This would not only lower the purchasing power for those who received the transfer, but could also make rural and urban consumers who did not receive the transfer worse-off. While the extent of this effect will depend on the geographic and household-level targeting of the intervention, as well as the magnitude of the cash transfer, this example shows how cash alone might not solve the food crisis. In such cases, a combination of food aid (either imported or from triangular purchases), or food aid with cash transfers, could increase the purchasing power of the poor while reducing inflationary pressure. A similar case could be made for Haiti and Zimbabwe, which have also been affected by inflationary pressure and relatively low harvests.

Figure 7.2 Impact of Cash-Based Interventions on Income, Demand, and Prices

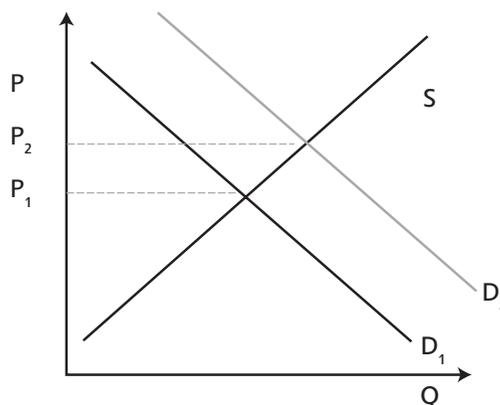


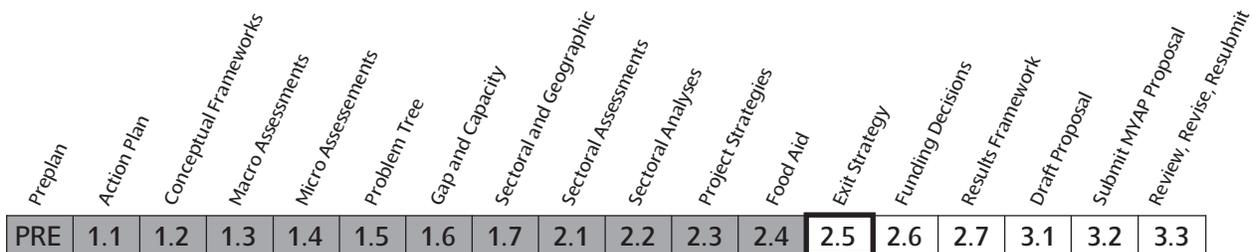
Table 7.2 provides a general framework for assessing whether cash or food-based interventions are appropriate in a given context. Once a CRS country program has determined that an income transfer is required as part of a sectoral program, it should review the criteria outlined in Table 7.2 to determine whether food or cash might be appropriate. Nevertheless, even if cash might be more appropriate in a given context, MYAP guidelines and Title II priorities strongly prioritize food.

Table 7.2 Cash or Food-Based Interventions

CONDITIONS UNDER WHICH CASH IS PREFERRED	CONDITIONS UNDER WHICH FOOD IS PREFERRED
The objective of the project is a general income transfer, not specifically food supplementation; or, where food supplementation is the objective, cash funds will be transferred to food expenditures	The objective of the project is an income transfer that will result in an increase in food intake which will not result from cash transfers
Targeting within households is possible	Targeting within households can only be successful with food
Social traditions are favorable to remuneration in cash, or direct distribution might cause taste changes	Social traditions favor remuneration in kind; and food aid will not cause undesirable changes
Food is available to buy	Food is unavailable (drought, civil disturbance, inadequate logistics, seasonal shortage)
Local food markets or distribution mechanisms function well (markets are functioning well)	Local food markets are performing poorly
CS or partner’s bureaucratic managerial capacity is adequate for the management of cash funds, and there is no particular risk of diversion of funds.	CS or partner’s bureaucratic managerial capacity is more suitable to handling food in-kind than cash funds, and the risk of diversion of food is less than funds
High inflation or inflationary pressure	Little to no inflationary pressure

Modified from Barrett and Maxwell (2005), Jaspers (2006) and Gentilini (2007).

7.2 Step 2.5 Develop a Sustainability or Exit Strategy



While all CRS projects and programs should strive for sustainability—implying that project impacts and/or key activities are continued after the end of the project—sustainability is also of increasing importance to USAID/FFP. In fact, the FFP Title II Guidelines, Annex A (“MYAP Proposal Format”), Section C.4 (“Sustainability Strategy”), specifically requests that CSs identify an exit strategy for Title II assistance programs. Therefore, country programs must address the issue of sustainability during the MYAP proposal design process.

7.2.1 What Is an Exit Strategy?

An **exit strategy** is defined as a “a specific plan describing how the program intends to withdraw from a region while assuring that the achievement of development goals is not jeopardized and that further progress toward these goals is made.”⁷⁴ The goal of an exit strategy is to ensure sustainability of program impacts after

⁷⁴ Rogers, B.L. and K.E. Macías. 2004. *Program Graduation and Exit Strategies: Title II Program Experiences and Related Research*. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED).

the program has ended.⁷⁵ Whereas “exit” refers to the withdrawal of externally provided program resources (technical assistance, financial and material resources), from the entire program area, “graduation” refers to the withdrawal of resources from selected communities, program sites or program activities. In the context of a Title II MYAP, country programs need to consider both graduation and exit in terms of: (1) graduating families from each specific MYAP component/activity; (2) graduating individual communities from the MYAP; and (3) exiting the MYAP from the geographic area.

There are several exit strategy approaches for Title II programs:

- **Phasing Down**, defined as a gradual reduction of activities⁷⁶
- **Phasing Over**, whereby program activities are transferred to a local institution or communities
- **Phasing Out**, defined as a withdrawal of involvement without turnover
- A combination of the above

The approach used depends largely on the nature of the Title II program activities and what the country program, partners and communities want to sustain. For example, interventions that require specific activities to continue and an entity to take responsibility for implementing the activities require a combined approach of phasing down CRS’ role and phasing over to the partner or local government. In other circumstance, a community may graduate from the receipt of food aid, but other programmatic activities continue in the area. On the other hand, interventions that create permanent changes in communities and do not require the ongoing provision of services or resources are suitable for phase out. Other factors that affect the decision whether to use a phase down, phase over or phase out approach include the time frame for exit, available funding, and available human, institutional, financial and physical resources at the national, CRS, partner and community levels.

7.2.2 How Do We Develop a Sustainability or Exit Strategy for a MYAP?

An exit strategy for MYAPs should include the following components:

- A determination of what should be sustained (i.e., should the country program sustain the project’s impact, project’s activities or both?)
- The exit strategy approach(es) to be used (phasing-down, phasing-out or phasing-over)
- Specific criteria for graduation and/or exit
- Specific and measurable benchmarks for assessing progress and eventual success⁷⁷
- Identification of action steps to reach the benchmarks and responsible parties
- A time line for the exit process
- Mechanisms for periodic assessment of progress
- A communication plan to ensure stakeholders are aware of the plan and their respective roles and responsibilities

⁷⁵ *Ibid.*

⁷⁶ In general, phasing down is a gradual reduction of program activities, utilizing local organizations to sustain program benefits while the original sponsor deploys fewer resources. Phasing down is often a preliminary stage to phasing over and/or phasing out.

⁷⁷ This may include cost recovery, financial commitment, technical/managerial capacity, community commitment, or the capacity of host country counterparts, government, or institution.

BOX 7.2 GUIDELINES FOR TITLE II EXIT STRATEGIES**For SYAPs (1-year program):**

- Country programs should develop the exit strategy within six weeks of the program’s inception.
- Implementation of exit strategy activities, including monitoring, should start as soon as the strategy is developed.
- Conduct quarterly reviews of exit strategy progress and the results.
- Develop a communication plan outlining how to communicate changes in programming and decisions regarding exit strategies.

For MYAPs (5-year program):

- Ideally develop an exit strategy during the project design phase, but in all cases at least within six months of the program’s inception.
- As part of the exit strategy, develop a communication plan outlining how to communicate changes in programming and decisions regarding exit strategies.
- In the first two years of the project, implement activities and identify steps for program exit and benchmarks; modify benchmarks and conduct ongoing monitoring.
- Conduct quarterly reviews of progress and results of monitoring activities shortly after program start up.
- During years three to five, undertake the graduation and exit process.

The strategy should focus on describing how the MYAP activities will lead to sustained results and over what period of time. While country programs should consider the exit strategy during the MYAP design process, not all elements of the strategy need to be decided by the time of the proposal’s submission to USAID/FFP. To date it has been sufficient that country programs identify “what” the program wants to sustain and the type of exit approach that it will use. Other elements of the exit strategy, such as criteria, benchmarks and actions, can be developed once the MYAP is in its very early in the implementation stage (i.e., within 6 months). However, the more that can be thought through and considered during the proposal stage the better, as the earlier the planning is done the more likely it is to be successful. Some general guidelines for developing exit strategies during the MYAP’s implementation are provided in Box 7.2. A couple of concrete examples of exit strategies in CRS’ Title II MYAPs is provided in Box 7.3.

BOX 7.3 EXIT STRATEGIES IN CRS' TITLE II MYAPS

- **CRS Burkina Faso** first undertook a phase-down with its School Feeding Program (SFP) in 1998, ending Title II food assistance to 11 of Burkina Faso's 45 provinces, while continuing to support the Government of Burkina/Ministry of Education in its efforts to serve these provinces. In 2004, CRS Burkina Faso began a gradual exit strategy targeting the provinces still receiving Title II assistance. The goal of this exit strategy is to increase the sustainability of school canteens by increasing the government's and community's resources. The strategy is a combination of a phase-out and phase-over approach, as some communities will be completely phased-out of external food assistance (after having received support to organize their own canteens), whereas those communities in provinces with high levels of food insecurity and poor educational participation will receive government support in lieu of Title II food. CRS Burkina Faso has learned that a gradual phase-out strategy, clear communication plan and community participation are crucial to the success of a phase-out strategy.
- In preparation for the end of Title II development assistance in Rwanda at the end of FY09, **CRS Rwanda** developed a three-year Comprehensive Close-out Strategy Amendment (COSA) to its DAP. One of the objectives focused on phasing-out of food aid while strengthening the capacity of local safety net centers (SNCs). SNCs received training in a variety of areas including strategic planning, donor diversification, human resource management, and proposal development. Qualifying SNCs applied for small grants from CRS and used the funds to develop small income generating activities (IGAs) that built on existing center assets. Profits from the IGAs were re-invested in the centers and are being used to support costs, such as the purchase of food upon the withdrawal of Title II food. Unfortunately, not all IGAs resulted in large enough profits to for many SNCs to cover all of their costs, so CRS worked with these SNCs to build their social and political assets to attract funds or in-kind contributions from other sources. In several cases the Government of Rwanda has offered to pay for water and electricity costs for the SNCs.

One important lesson learned is that like any change process, exiting from a Title II program requires good communication. Early, consistent, and clear messages regard the expected end of the project is appreciated by project participants, partners and staff. The communication plan should address the diverse number of stakeholders involved in a Title II program. This includes but is not limited to government officials at the national, regional, district and community levels, other international organizations, such as the World Food Programme or other PVO that may have a part to play in the exit strategy and contribute to increased sustainability. Within the project communities, traditional leaders need to be informed as well as project participants. CRS staff also need to be informed to ensure that they are aware of the exit process and are prepared to fulfill their individual roles. While this level of detail is not necessary within the project proposal, CRS management should keep it in mind and ensure that sufficient resources, including staff, are available for the exit strategy and project close-out activities.

IHD CHECK

- Does the exit strategy create opportunities and build capacity for the local community or partner organization to influence structures and systems that are critical to the food security of the community?
- Does the exit strategy help the community or partner organization to develop engagement strategies for advocacy to influence decision-making by relevant structures that affect the local community?
- Does the exit strategy increase the capacity of community or partner organizations to mitigate and respond to shocks, cycles and trends?
- Does the exit strategy help ensure that the work to be continued by the community or partner organization after the project's end will be useful and relevant to the community?



7.3 Step 2.6 Determine What Will Be Funded through the MYAP

	Preplan	Action Plan	Conceptual Frameworks	Macro Assessments	Micro Assessments	Problem Tree	Gap and Capacity	Sectoral and Geographic	Sectoral Assessments	Sectoral Analyses	Project Strategies	Food Aid	Exit Strategy	Funding Decisions	Results Framework	Draft Proposal	Submit MYAP Proposal	Review, Revise, Resubmit
PRE	1.1	1.2	1.3	1.4	1.5	1.6	1.7	2.1	2.2	2.3	2.4	2.5	2.6	2.7	3.1	3.2	3.3	

Once a country program has determined potential sectoral project strategies and interventions, it needs to verify whether all of the activities are appropriate for Title II funding. For example, a country program designing an education program might decide that educational quality and access to education facilities are necessary to improve educational achievement in the targeted regions. Since USAID/FFP will not fund all activities that address the quality of education in schools, the CRS country program must determine whether it can obtain outside funding for this component of the MYAP, or whether the education program should be implemented without the quality component.

Deciding what will be included in the MYAP for funding depends on USAID/FFP Washington’s priorities, monetization funding constraints (see Section 7.3.1 for more information about monetization) and other potential donors. Some of the most successful MYAPs have been those that have used Title II funds to leverage funding from other sources. For example, some CRS country programs have developed comprehensive health programs and submitted some activities for funding under the MYAP, with other activities funded by the World Bank and other donors. In addition, some of CRS’ FFE programs in West Africa have used Title II funds for the school feeding component of their education program, while obtaining funding for quality education initiatives and school health activities from other (public and private) donors. Although the activities were funded from different sources, the program was implemented as a whole, which improved overall impact.

CHAPTER 7

7.3.1 The MYAP and Monetization

Monetization is used by Title II CSs to generate proceeds for food security and development programs. Proceeds generated through monetization are used to cover both administrative and programmatic costs. It has been used to compensate, to some extent, for the decline in foreign assistance resources. In 2007, over 74% of the total value of Title II food aid was monetized.⁷⁸

The currency generated by a monetization may: “1) be used to transport, store, distribute, and otherwise enhance the effectiveness of the use of agricultural commodities . . . 2) be used to implement income generating, community development, health, nutrition, cooperative development, agricultural, and other developmental activities within the recipient country or within a country in the same region; or (3) be invested and any interest earned on such investment may be used for the purposes for which the assistance was provided to that organization”⁷⁹ In recent years, USAID has encouraged CSs implementing development programs that have a monetization component to include all administrative and programmatic expenses that

⁷⁸ USAID. 2008. U.S. International Food Assistance Report 2007. Washington, D.C.: USAID.

⁷⁹ Title II—Emergency and Private Assistance Programs; Sec. 201. [7 U.S.C. 1721] General Authority. Available at http://www.usaid.gov/our_work/humanitarian_assistance/ffp/title2.htm

can be paid with foreign currency in their monetization budgets. The impetus for this directive is a shortage of U.S. dollar resources available to support Title II programs.

The first step of monetization is to assess the local market to define if 1) selling U.S. agricultural commodities on the local market will not create a disincentive to local production; 2) monetization will not disrupt the normal trade patterns by displacing traditional commercial imports; and 3) U.S. commodities can be sold on the local market at a competitive price. This monetization assessment is most commonly found in the Bellmon analysis.

USAID/FFP encourages that monetization activities be conducted by only one CS in each country. This means that several CSs willing to monetize Title II commodities will enter into a consortium and determine a “lead agent” responsible for monetizing all commodities for all CSs.

Monetization can be used not only as a proceed-generating tool, but also as a development tool with a direct impact on food security. To do so, CSs market commodities in lots that are small enough to encourage participation by small traders. Participation by the smaller traders opens up markets and makes them more competitive. It also facilitates the movement of commodities to communities where they are most needed.

Recently, the USG has been trying to reduce monetization levels through strict rules and regulations. To increase the chances of obtaining monetization commodities, the design of the MYAP must meet the following criteria:

- The Bellmon determination is positive;
- The strategic objectives laid out in the proposal correspond to USAID’s strategic objectives;⁸⁰
- The monetization budget is used to support a strong distribution component as well.

Over the past few years, there have been significant policy changes related to monetization, which will continue in FY09 and beyond. As part of the FY2003 President’s Budget review process, OMB recommended that monetization across the non-emergency portfolio be reduced by 50% to a level of 30% over time as activities are completed.

USAID has provided a report to the Office of Management and Budget (OMB) based on an analysis of the development portfolio, with partner input. In this report, USAID has agreed to reduce monetization levels where it makes sense to do so, but has not set arbitrary targets. However, the FFP MYAP guidelines for 2009 specifically state that proposals for 100% monetization will not be accepted.

7.4 Additional Resources

There is a variety of resources available to assist country programs with the issues outlined in this chapter. A list of resources appears below.

Barrett, C. and D. Maxwell. 2005. *Food Aid after Fifty Years: Recasting Its Role*. London: Routledge.

Castleman, T., M. Deitchler and A. Tumilowicz. 2008. *A Guide to Monitoring and Evaluation of Nutrition Assessment, Education and Counseling of People Living with HIV*. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED).

⁸⁰ FFP remains concerned with rising rates of child malnutrition documented in numerous Demographic Health Surveys, and therefore, expects Title II programs to demonstrate the plausible linkage between approved and on-going activities and improved household nutrition.

- CRS. September 2001. *Policy on the Procurement, Distribution and Use of Milk Products and Infant Feeding Equipment in Field Programs*. Baltimore: Catholic Relief Services (CRS). Available at <https://global.crs.org>
- CRS. 2007. *Compassionate Action: A Guide to CRS HIV Programming*. Baltimore: Catholic Relief Services (CRS).
- FANTA. 1999. *Improving the Use of Food Rations in Title II Maternal/Child Health and Nutrition Programs*. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED). Available at www.fantaproject.org
- FANTA. 2004. *HIV/AIDS: A Guide for Nutritional Care and Support*. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED). Available at http://www.fantaproject.org/downloads/pdfs/HIVAIDS_Guide02.pdf
- FANTA. 2005. *HIV/AIDS: A Guide for Nutritional Care and Support*. 2nd Edition. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED).
- FANTA and WFP. 2007. *Food Assistance Programming in the Context of HIV*. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED). Available at http://www.fantaproject.org/downloads/pdfs/Food_Assistance_Context_of_HIV_Oct_2007.pdf
- Gardner, A., K. Greenblott and E. Joubert. 2005. *What we know about exit strategies: Practical guidance for developing exit strategies in the field*. Roodeport, SA: C-SAFE Regional Learning Spaces Initiative.
- Gentilini, U. 2007. *Cash and Food Transfers: A Primer*. Rome: World Food Programme (WFP). Available at <http://www.reliefweb.int/rw/lib.nsf/db900SID/JBRN-6YVHT5?OpenDocument>
- Harvey, P. 2005. "Cash and Vouchers in Emergencies". *Humanitarian Policy Group Discussion Paper*, London: Overseas Development Institute. Available at <http://www.reliefweb.int/rw/lib.nsf/db900SID/OCHA-69LM3N?OpenDocument>
- ICRC. 2007. *Guidelines for Cash Transfer Programming*. Geneva: ICRC.
- Janke, C. 2001. *Food and Education: Background Considerations for Policy and Programming*. Baltimore: Catholic Relief Services (CRS). Available at http://crs.org/education/pubs/Edu1201_e.pdf
- Jaspers, S. 2006. From Food Crisis to Fair Trade. *Emergency Nutrition Network Special Supplement Series No. 3*. Oxfam.
- Levinger, B. 2000. *CRS and Food Assisted Education: A Programmatic Approach in Support of Food Security*. Baltimore: Catholic Relief Services (CRS).
- Levinger, B. and J. McLeod. 2002. *Hello I Must Be Going: Ensuring Quality Services and Sustainable Benefits through Well-Designed Exit Strategies*. Newton, Mass.: Educational Development Center, Inc.
- Nutrisurvey nutritional calculator. Available at <http://www.nutrisurvey.de/lp/lp.htm>
- Rogers, B.L. and K.E. Macías. 2004. *Program Graduation and Exit Strategies: Title II Program Experiences and Related Research*. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED). Available at www.fantaproject.org/publications/exit_strategies.shtml
- Rogers, B.L. and K.E. Macías. 2004. *Program Graduation and Exit Strategies: A Focus on Title II Food Aid Development Programs. Technical Note 9*. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED). Available at http://www.fantaproject.org/downloads/pdfs/TN9_EXITS.pdf

USAID Bureau for Democracy, Conflict & Humanitarian Assistance, Office of Food for Peace and the U.S. President's Emergency Plan for AIDS Relief. 2007. *USAID PL 480 Title II Food Aid Programs and The President's Emergency Plan for AIDS Relief: HIV and Food Security Conceptual Framework*. Washington, D.C.: USAID/FFP/PEPFAR.

USAID/FFP. January 2006. *Commodities Reference Guide*. Washington, D.C.: USAID/FFP. Available at http://www.usaid.gov/our_work/humanitarian_assistance/ffp/crg.

Sarriot, E.G., P.J. Winch, L.J. Ryan, J. Bowe, M. Kouletio, E. Swedberg, K. LeBan, J. Edison, R. Welch, M.C. Pacqué. 2004. A methodological approach and framework for sustainability assessment in NGO-implemented primary health care programs. *Intl J Health Plann Manage*. Jan-Mar;19(1):23-41.

WFP/UNESCO/WHO. 1999. *School Feeding Handbook*. *Food Security Resource Network*. Rome: WFP. Available at <http://www.foodsecuritynetwork.org/resources>

Part III
Conducting the
Project Design
Process for
MYAPs

Chapter 8

Putting It all Together

This chapter will cover the following topics:

- 8.1** Step 2.7 Construct the Results Framework, Proframe, M&E Plan, Indicator Performance Tracking Table, and Trigger Indicators for the MYAP
 - 8.1.1** Develop a Results Framework for the MYAP
 - 8.1.2** Results Frameworks
 - 8.1.3** Develop a Proframe
 - 8.1.4** Measurement Methods and Data Sources for Indicators
 - 8.1.5** Develop the M&E Plan
 - 8.1.6** Construct an IPTT
 - 8.1.7** Identify Trigger Indicators
 - 8.1.8** A Supplementary Note on Measuring Risk and Vulnerability in the MYAP
- 8.2** Step 3.1 Draft the Proposal and Submit It for Technical Review
 - 8.2.1** Draft the Proposal
 - 8.2.2** Submit It for Technical Review
- 8.3** Step 3.2 Submit the MYAP Proposal to USAID/FFP
- 8.4** Step 3.3 Review FFP's Issues Letter, Revise the MYAP Proposal, and Resubmit
- 8.5** Additional Resources

By now, the country program has identified potential sectoral strategies and interventions, taken a step back to determine how these strategies relate to the USAID/FFP food security framework, determined how food aid might be used to support the programmatic interventions and finally considered what might be feasible given the available resource levels. This chapter focuses on putting all this information together by constructing a results framework, a Proframe, the M&E Plan, an Indicator Performance Tracking Table, (IPTT) and Trigger Indicators.

8.1 Step 2.7 Construct the Results Framework, Proframe, M&E Plan, Indicator Performance Tracking Table, and Trigger Indicators for the MYAP

	Preplan	Action Plan	Conceptual Frameworks	Macro Assessments	Micro Assessments	Problem Tree	Gap and Capacity	Sectoral and Geographic	Sectoral Assessments	Sectoral Analyses	Project Strategies	Food Aid	Exit Strategy	Funding Decisions	Results Framework	Draft Proposal	Submit MYAP Proposal	Review, Revise, Resubmit
PRE	1.1	1.2	1.3	1.4	1.5	1.6	1.7	2.1	2.2	2.3	2.4	2.5	2.6	2.7	3.1	3.2	3.3	

USAID/FFP requires three separate but related monitoring and evaluation (M&E) components for the MYAP proposal:

- A results framework, identifying the overall goal, strategic objectives, intermediate results and key activities
- A M&E Plan, identifying the indicators needed for measuring the progress made against the IRs and SO(s) and articulating a methodology for collecting data for these indicators
- An IPTT, including the annual, midterm and final year targets for each indicator

While these components are specific to USAID/FFP's FY09 proposal guidelines, they have been a consistent part of Title II MYAPs for the past five years. In addition, these components are similar to the M&E requirements for most donors.

8.1.1 Develop a Results Framework for the MYAP

Once a country program has decided upon the sectoral strategies and interventions for the MYAP, it is necessary to organize the information in a way that shows the causal links. Causal links make clear how the chosen interventions are expected to address identified problems and achieve stated objectives. There are two types of project design tools that can be used to organize project information: the results framework, which is a requirement for Title II MYAPs; and the logical framework ("logframe"), or its CRS equivalent, the Proframe. Each is described below.

Both the results framework and the logical framework (logframe) show the anticipated causal relationships, or **objectives hierarchy**, from the project's interventions. An objectives hierarchy shows the means-to-end logic of the project or program; in other words, it shows how project designers believe change will come about and the goal will be achieved. The most common objectives included in results frameworks and logframes are activities, intermediate results, strategic objectives and the goal. Each of these is described below.

- **Activities** describe *how the project/program goods and services will be delivered*. They explain the functions that will be carried out to achieve the higher-level objectives.
- **Intermediate results** indicate the *behavioral change anticipated as a result of the successful delivery of the outputs to end-users*. They consider the target group’s access to, use of and satisfaction with the goods and services delivered within the project, and address the critical concerns about the project’s reach, coverage or adoption. While intermediate results are outside the direct control of CRS or partner management, CRS and its partners are accountable for their attainment.⁸¹
- **Strategic objectives** are the realistic outcomes resulting from changes in the target group’s behavior, systems, policies or institutional performance. Achievement of an SO is the result of the target group’s access to, use of, and satisfaction with the intermediate results. Strategic objectives are outside the direct control of project management, as they require action by the target group. Most MYAPs include two to three strategic objectives.
- A **Goal** is the long-term, wider development change in people’s lives or livelihoods. Achieving the goal is beyond the responsibility of project management, but defining the goal helps to focus the project and clarify the broader aim of the lower-level objectives. The goal of the MYAP s usually related to food security, as this is the focus of USAID/FFP’s strategic plan.

Table 8.1 provides examples of each level of objectives statement for two of the most common MYAP sectors: agriculture and health/nutrition. The objectives statements included in this table are based upon several different MYAPs submitted by CRS in FY07 and FY08. As is evident in the table, each statement is related to sector-specific activities, IRs and SOs, yet leads to a common food security goal. Tips for writing strong objectives statements are included in Box 8.1.

Table 8.1 Examples of Objectives Statements for Health/Nutrition and Agriculture

Objective Statement	Health/Nutrition Sector	Agriculture Sector
Goal	Food insecurity among poor rural households in targeted regions is reduced.	
Strategic Objective	Vulnerable households have enhanced human capacities.	Vulnerable households have enhanced and sustainable livelihoods capacity.
Intermediate Result	Caregivers of children less than 59 months are using appropriate childcare techniques.	Farmers have adopted NRM practices in their staple food crops production.
Activity	CRS and partner staff conduct Information, Education and Communication (IEC) sessions related to health and nutrition practices.	CRS and partner staff train farmers in targeted rural areas in improved natural resource management techniques for staple food crops.

⁸¹ This is important for the MYAP, as CRS will be expected to report on its performance in achieving the IRs at the midpoint of the MYAP.

BOX 8.1 TIPS FOR WRITING STRONG OBJECTIVES STATEMENTS

- Include only a single purpose, aim, end-product, or result for each statement (one subject, one verb, one object).
- Avoid compound statements (“...and...”) and subordinate clauses (e.g., “by,” “through,” “via”).
- Write all objectives (except activities) in full sentences as if it has already been achieved.
- Use the active voice.
- Name the participants expected to implement or benefit from the objective.
- Use strong, action-oriented verbs, e.g.: “increase” rather than “enhance,” “produce” rather than “promote”

8.1.2 Results Frameworks

A results framework is simply a diagram that reflects the different levels of objective statements, most often the goal, strategic objectives and intermediate results. Figure 8.1 shows an example of a results framework. While the results framework appears to be simple, constructing a results framework requires significant effort. USAID/FFP requires that CSs develop a results framework for the MYAP incorporating four levels of objectives: activities, intermediate results, strategic objectives and goal.

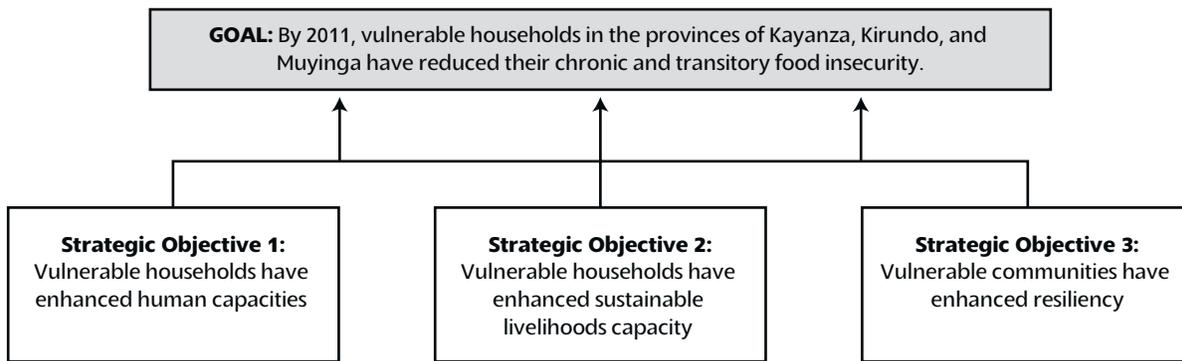
As most MYAPs include several sectors, country programs should first develop a results framework (and Proframe) for each of the selected categories or, ‘desired program outcomes’ as indicated in FFP’s expanded framework (Annex B). As a reminder, the four possible categories are: protected and enhanced community resiliency; protected and enhanced livelihood capacities; protected and enhanced human capabilities; and increased community capacity to influence factors (decisions) that affect food security. In some cases, these will be sector-specific. For example, perhaps a country program will only use health to enhance human capabilities. In other cases, there will be a combination of two or more sectors. For example, strategies for improved child nutrition, mitigating the impact of HIV and AIDS, and education might all work together to protect and enhance human capabilities. The general steps for developing results frameworks and Proframes are summarized in Step 2.7, whereas merging the frameworks is addressed in Step 3.1.

In order to develop a results framework for the MYAP project proposal, the country program should:

- Review the objectives trees and possible interventions identified for each sector (the results of Steps 2.3-2.6).
- Work in sectoral and/or cross-sectoral teams (if two sectors are involved in addressing a given strategic objective) and finalize the choice of strategy and package of interventions
- For each intervention, determine where it fits into the hierarchy of objectives statements: Is it a goal, a SO, an IR or an activity?
- Using the “Tips for Writing Strong Objectives Statements,” transform the intervention into a strong objectives statement.
- Organize the objectives statements into a results framework, including SOs, IRs and activities
- Check to make sure that the logic is sound: will the combination of activities proposed under each IR, if implemented according to plan, lead to that intermediate result? Will the combination of IRs proposed, if successfully achieved, lead to the relevant SO? Are the SOs—in combination—sufficient to attain the goal?

These strategic objective-specific results frameworks can then be merged into one results framework for the MYAP, as discussed in Step 3.1. Figure 8.1 provides an example of such a results framework, including SOs and IRs for agriculture, health and emergency preparedness and response. For a MYAP, a country program would also need to add illustrative activities under each IR to Figure 8.1. For example, under IR 1.1, the country could add several activities, such as “CRS and partner staff train farmers in targeted rural areas in improved natural resource management techniques for staple food crops” and “CRS and partners implement food-for-work for NRM activities”. Under IR 2.1, the country program could add key activities related to the health and nutrition program, such as “CRS and partner staff conduct IEC sessions related to health and nutrition practices” and “CRS and partners construct community-based health centers.”

Figure 8.1 A Results Framework



8.1.3 Develop a Proframe

The logical framework is closely related to the results framework. CRS uses a specific adaptation of the logframe, the Proframe.⁸² Although the Proframe complements and builds on the results framework, it includes an additional “Outputs” level of objective. Outputs represent what the project delivers—goods, services and knowledge—and hence show the causal links between activities and IRs.⁸³ Figure 8.2 shows the Proframe objectives hierarchy.

In addition to the objectives statements, CRS’ Proframe includes three additional components: the performance indicators statements, which describe the indicators used for measuring progress; the measurement methods, which explain how data will be collected for each indicator; and the critical assumptions. An example of a Proframe is available in Figure 8.3.

Although Proframes are not required for MYAPs, they can assist CRS country programs in the MYAP development process

Figure 8.2 Objectives Hierarchy of a Project

Proframe shows a logical and hierarchial relationship among five levels of objectives



82 For comprehensive information on the Proframe, CRS country programs should consult CRS’ ProPack I.

83 There may be more than one output for each intermediate result and strategic objective.

by testing the validity of its sectoral strategy and interventions, clarifying the linkages between activities and IRs, and identifying measurable indicators, which will be used to measure program performance and ultimately reported to USAID/FFP. An example MYAP Proframe can be found in Annex K.

In order to construct a Proframe for each strategic objective country programs should first take the objective statements developed earlier for the results framework,

including the Output statements, and place them in Column 1 (from top to bottom), before proceeding to Column 4 (Critical Assumptions). Once Columns 1 and 4 are completed, the country program should fill in Columns 2 and 3 for each level of the objectives hierarchy (Performance Indicators and Measurement Methods). Filling in the entire Proframe can assist country programs in meeting USAID/FFP's M&E requirements for the MYAP. This section provides a brief overview of columns 2-4.

Figure 8.3 CRS' Proframe

	Objective Statements	Performance Indicator Statements	Measurement Methods/Data Sources	Critical Assumptions
Goal	↓			
Strategic Objectives	↓			↑
Intermediate Results	↓			↑
Outputs	↓			↑
Activities	↓			↑

Critical Assumptions

An important component of the Proframe is identifying critical assumptions (Column 4). Critical assumptions are factors or conditions outside of program or project designers' direct control, yet their existence is critical to allowing the program or project to achieve its next higher-level objective or result. If critical assumptions have a very high risk of negatively impacting the MYAP's objectives, the project itself may need to be redesigned. Elaborating critical assumptions therefore helps country programs to improve their performance by considering constraints on planned project activities.

Examples of critical assumptions include government (local or US) plans, policies, and actions; the plans, policies and actions of other relief and development organizations operating in the project area; trends in national and international markets (supply, demand, prices, etc.), and human-made or natural difficulties and disasters, including war or civil strife. An example of a critical assumption for a health program is that the government will have an adequate supply of vaccines. If the Ministry of Health in a particular country is unable to deliver vaccines, the project component of immunization will either have to be eliminated or another strategy chosen that includes providing supplies of vaccine as well as community mobilization.

While critical assumptions are not required as part of MYAP results frameworks, they are required as part of the MYAP project proposal. Section C.3 of the MYAP project proposal requires that NGOs discuss the "key or critical assumptions of the planned activities and any risks that may negatively affect expected results", and "any contingency plans to mitigate the risks and the effect of changes in critical assumptions."⁸⁴ Therefore, once key assumptions have been identified for each level of objectives in the Proframe, they should be summarized in Section C.3 of the MYAP project proposal.

⁸⁴ Although USAID/FFP Title II Proposal Guidelines change on an annual basis, "Key Assumptions and Risks" are usually required as part of the project proposal.



- Do objective statements that seek to enhance household assets also take into account the enabling or constraining aspects of structures and systems?
- Do objective statements seek to enhance household and community resilience to the effects of shocks, cycles and trends?

Indicators

After finalizing Columns 1 and 4 of the Proframe, country programs should fill in Column 2: indicators. Indicators are units of measurement that define the performance level required by various objectives. Most organizations and donors, including USAID/FFP, often refer to different “levels” or “types” of indicators, namely impact, outcome, output and process indicators. USAID/FFP’s Title II Proposal Guidelines refer to three types of indicators: impact, annual monitoring and trigger.⁸⁵ USAID/FFP describes impact indicators as “those collected during baseline and final evaluations”, whereas annual monitoring indicators are those collected on an annual basis. CRS’ Proframe, however, does not make this distinction; rather, all indicators are “performance indicators”, and “performance” indicators are developed for each level of objectives. Table 8.2. shows how the different types of indicators for USAID/FFP MYAPs are related to different levels of objectives in the Proframe.

Table 8.2 Relating Proframe Objectives Statements with USAID/FFP Indicators

Objectives Statement	Performance Indicators	Measurement Method
Goal	Impact	Baseline, final
Strategic Objective	Impact	Baseline, final
Intermediate Result	Impact/Monitoring	Baseline, mid-term, final
Output	Monitoring	Annual
Activity	Monitoring	Annual

When developing the MYAP project proposal, CRS country programs should develop indicators for each level of objective statement—activity, output, IR and SO—with the exception of the goal level. Each indicator should include the following components.⁸⁶

- Nature: What is the core of the planned change or achievement?
- Quantity: What quantities or levels in the nature of the indicator are involved?
- Quality: To what national or international standards will this change be achieved?
- Beneficiary subgroup: Which subgroups will benefit from the change?

⁸⁵ Unlike impact and monitoring indicators, trigger indicators are not used to measure the MYAP’s progress towards meeting specific project objectives. Trigger indicators (TIs) are discussed in more detail in Section 8.2.7.

⁸⁶ *ProPack I* also includes three additional criteria for indicators: the target, the timeline and the baseline. However, each of these elements can be included in the IPTT.

In 2007, USAID/FFP issued two Information Bulletins (FFPIB 07-01 and FFPIB 07-02) on monitoring and reporting requirements for new Title II proposals (SYAPs and MYAPs).⁸⁷ One of the most important elements of these Information Bulletins was the mandatory use of standard impact and monitoring indicators for specific sectors in MYAP project proposals. The relevant sectors include health and nutrition, household access to food (agriculture, agroenterprise, microfinance), early warning and response systems, physical infrastructure, safety nets and capacity building.⁸⁸ Sample performance indicators for a variety of sectors are provided in CRS' *ProPack I* and Annex K. CRS country programs should refer to these sample indicator statements while writing indicators for the sectoral components of the MYAP.

Although USAID/FFP's Information Bulletins require the use of standardized indicators in various sectors, the required indicators for the health/nutrition and access to food sectors merit special attention for CRS country programs. These include the following indicators:

- **If the MYAP includes an objective related to improved child nutritional status**, the MYAP must include two indicators: 1) the height-for-age of children 6-59 months of age; and 2) the weight-for-age of children between 0-59 months⁸⁹
- **If the MYAP involves activities related to nutritional behavioral change**, the MYAP must include indicators related to the percentage of caregivers demonstrating appropriate hygiene behaviors
- **If the MYAP includes an objective related to improved households' access to food (e.g., agriculture, agroenterprise, microfinance)**, the MYAP must include two indicators: 1) the number of months of adequate food provisioning; and 2) household diet diversity score



In order to assist CSs in constructing and measuring the indicators related to increased household access to food—namely, the number of months of adequate food provisioning and the household diet diversity score—FANTA has produced two guides:

- *The Household Dietary Diversity Score (HDDS) for Measurement of Household Food Access*⁹⁰
- *The Months of Adequate Household Food Provisioning (MAHFP) for Measurement of Household Food Access: Indicator Guide*.⁹¹

Both guides provide information as to how to formulate the indicators, as well as how and when to collect the data during the baseline, midterm and final evaluations. The guides also provide questionnaires for constructing the indicators during the data collection phase.

87 Information Bulletin FFPIB 07-01 summarized the M&E reporting requirements for MYAPs. This includes FFP/Washington's Performance Management Plan (PMP) indicators, USAID Mission indicators, including indicators for the President's Initiative to End Hunger in Africa (IEHA), and the "F" indicators. Only the PMP indicators are required in the MYAP project proposal as part of the country program's IPTT. However, these indicators have already been incorporated into the required standardized indicators outlined in FFPIB 07-02. Country programs can ensure that they are meeting these reporting requirements by using the standardized indicators and by working with the local USAID missions while developing the MYAP proposal.

88 USAID/FFP. August 2007. Information Bulletin FFPIB 07-02. *Memo on New Reporting Requirements for FFP*. Washington, D.C.: USAID/FFP. Available at http://www.usaid.gov/our_work/humanitarian_assistance/ffp/fy08_ffpib_new_reporting.pdf

89 For guidance on measuring these indicators, country programs should refer to Cogill, B. 2003. *Anthropometric Indicators Measurement Guide*. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED). Available at http://www.fantaproject.org/downloads/pdfs/anthro_2003.pdf

90 Swindale, A. and P. Bilinsky. 2006. *Household Dietary Diversity Score (HDDS) for Measurement of Household Food Access: Indicator Guide (v.2)*. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED). Available at www.fantaproject.org/publications/hdds_mahfp.shtml

91 Bilinsky, P. and A. Swindale. 2007. *Months of Adequate Household Food Provisioning (MAHFP) for Measurement of Household Food Access: Indicator Guide*. Washington, D.C.: Food and Nutrition Technical Assistance Project, Academy for Educational Development (AED). Available at http://www.fantaproject.org/downloads/pdfs/MAHFP_Jun07.pdf

While the use of USAID/FFP’s standardized indicators is mandatory for specific sectors, this does not preclude CRS country programs from including additional indicators in the MYAP that it considers necessary and appropriate for the local context.

8.1.4 Measurement Methods and Data Sources for Indicators

Once the country program has identified the appropriate indicators for each level in Column 2, it should fill out Column 3: the measurement methods and data sources. While the indicators column describes what information will be collected, the measurement methods column describes how and when this information will be collected—in other words, the measurement method or source of the data. Experiences from many past MYAPs have shown that country programs often write indicator statements without first asking how they are to be measured and analyzed, what resources it will take to do so, and who will be responsible for coordinating and managing this work. This leads to situations where indicators are never used, or are unrealistic.

Consequently, Column 3 can help country programs to refine indicator statements, and ensure that such statements are feasible, relevant, measurable and analyzable. Column 3 therefore serves as a “reality check” for the proposed indicators outlined in Column 2. The measurement methods column should therefore include the data source(s) for each indicator (secondary or primary data collection) and/or the measurement methods to be used (e.g., baseline, midterm, final evaluations or annual reports).



CRS country programs should ensure that indicators that require quantitative data (such as percentages, averages or sums) will be collected with quantitative tools, and that qualitative data will be collected with qualitative tools. Relying on qualitative methods, such as focus groups, to provide quantitative data is a common mistake. In addition, country programs should carefully think about how data related to agricultural production (such as yields, or total production) and income (or assets) will be collected. Many MYAPs have included indicators on “percentage increase in yields” or “percentage increase in agricultural production” without thinking about whether these data are necessary, or how they will realistically be measured.

8.1.5 Develop the M&E Plan

Once the country program has completed its project Proframe, Columns 2 and 3 can be used to develop the M&E Plan and IPTT components of the MYAP project proposal. USAID/FFP’s Title II proposal guidelines do not provide a template for the M&E plan to be included in the proposal; rather, they state that the M&E plan should “simply describe the M&E system that will be implemented to measure performance indicators, improve program implementation, and report the degree to which results have

been achieved.”⁹² Nonetheless, thinking through the M&E Plan at this stage will be very useful if/when FFP approves the project and detailed implementation planning, including for M&E, commences.

In the absence of a template for the M&E Plan in the Title II proposal guidelines, CRS has developed several resources to assist country programs in creating an M&E plan. These include CRS’ *ProPack I*, *ProPack II* and *South Asia’s M&E Guidance Series*.⁹³ At a minimum, the M&E Plan for the MYAP proposal should include the following components:

- **The objective statements for each SO, IR and activity in the MYAP** (available from the results framework and/or Column 1 of the Proframe).
- **The indicator statement for each objective statement, including a definition** (available from Column 2 of the Proframe). Many concepts may be clear to CRS and partner staff but understood differently by others and in different contexts. It is important to define each term which may be understood differently.
- **The numeric targets for the change in each indicator, and corresponding time frame for the change in each target.** The change at different levels (SOs, IRs, and activities) is anticipated to occur at different rates. Generally, SOs should have end-of-MYAP targets, IRs should have midterm targets, and activities should have annual targets. The target levels should be based upon best practices for that particular sector, and given experiences in the local context. Additional targets should be listed in the indicator performance tracking table (IPTT), discussed in Section 8.2.6.⁹⁴
- **The person(s) responsible for collection and analysis.**
- **The methods used for collection of the data**, such as household surveys, focus groups, observation or partner records (available from Column 3 of the Proframe).
- **The frequency of data collection and analysis for each indicator**, such as baseline, mid-term or final evaluations or annual observation or reporting (available from Column 3 of the Proframe)
- **The data record**, that is, the documents where the information will be recorded (e.g., questionnaires, partner reports).

Although not required by USAID/FFP, an excellent M&E Plan template is provided in *South Asia’s M&E Guidance Series*. An example of the M&E Plan for one objective statement and sector is provided in Table 8.3.

⁹² For those activities that are classified by a Negative Determination with Conditions in the MYAP IEE (e.g., typically in the sectors of agriculture, natural resource management, water/sanitation/hygiene, small-scale construction/rehabilitation, roads, etc.), the M&E Plan should seek to include indicators that combine both the progress of the activity as well as its environmental impact or environmental sustainability (e.g., instead of “# of trees planted” use “# of trees planted under sustainable management”).

⁹³ Hagens, C., D. Morel, A. Causton and C. Way. June 2008. *The CRS South Asia M&E Guidance Series*. South Asia: Catholic Relief Services (CRS).

⁹⁴ In general, indicators at the SO level will be collected at the baseline and final evaluation only. Indicators at the IR level will be collected, at a minimum, during the baseline, midterm and final evaluations; in some cases, it might also be collected annually. Indicators at the activity level will be collected on an annual basis.

Table 8.3 Sample Components of the M&E Plan

Objective Statement (IR)	Targeted project participants adopt agricultural behaviors promoted by the project
Indicator (with definition)	60 percent of targeted households adopt one or more promoted agricultural behaviors by mid-term. Definition: "Adopting" refers to utilizing during the previous/current agricultural season. "Promoted agricultural behaviors" include improved seed varieties, inter-cropping, and using improved fertilizer.
Numeric targets and corresponding time frames	By mid-term, 60 percent of targeted households.
Person responsible for data collection	Agricultural field officer
Methods of data collection	HH survey, annual observation of planted fields
Frequency of data collection	For HH survey: at baseline, midterm, and end of project. For direct observation of agricultural practices: Monthly during agricultural season.
Data record	HH survey questionnaires, agriculture field officer monthly report

8.1.6 Construct an IPTT

An important part of the MYAP M&E requirements is the IPTT, an example of which is provided in Table 8.4.⁹⁵ The IPTT simply takes the information from the M&E plan and summarizes it in table form. The IPTT for the MYAP includes the annual, midterm and end-of-project targets for each indicator in the M&E Plan, as appropriate. In addition to these targets, the additional information required in the IPTT include:

- 1) The desired direction of change in the indicator (positive or negative); and
- 2) The current (or baseline) level of each performance indicator.

In many cases, the current or baseline level of the indicator is not available at the time of the MYAP proposal development. Therefore, country programs will need to estimate this level using secondary data that provide a reasonable estimate of the situation.⁹⁶

It is important to remember that the IPTT included in the MYAP proposal is only a draft. The IPTT can only be fully completed once the baseline survey has been undertaken. After the baseline survey, the initial target estimates in the IPTT will need to be aligned with the baseline survey data. If modifications need to be made to the IPTT targets, it is important that CRS country programs seek approval from USAID/FFP.

⁹⁵ Some CRS and FANTA documents also refer to the IPTT as the Performance Indicator Tracking Table, or PITT.

⁹⁶ As the MYAP project proposal must be submitted prior to the baseline, national norms can be a good starting point for current indicator levels until the baseline is done; more robust data from field-based needs assessments are even better. If the MYAP is a follow-on project, it may be best to start with the final values for indicators from the previous project.



CRS and the American Red Cross, with financial support from USAID, prepared a document on the *Guidelines and Tools for the Preparation and Use of Indicator Performance Tracking Tables*.⁹⁷

The guide provides useful tips and information for preparing IPTTs before submitting the project proposal, as well as revising the IPTTs after the baseline has been conducted. CRS country programs should consult this document while preparing the IPTTs. In addition, FANTA also prepared a document in 2006 that provides useful information on preparing IPTTs, entitled *Monitoring and Evaluation for Title II Development-oriented Projects*.⁹⁸

⁹⁷ USAID, CRS and the American Red Cross. 2008. "Guidelines and Tools for the Preparation and Use of Indicator Performance Tracking Tables." *M&E Shortcuts*. Available at www.foodsecuritynetwork.org/icbtools.html

⁹⁸ FANTA. 2006. *Monitoring and Evaluation for Title II Development-oriented Projects*. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED). Available at http://www.fantaproject.org/downloads/pdfs/TN10_MEFramework.pdf

Table 8.4 Indicator Performance Tracking Table (IPTT)

Indicator	Desired direction of change (+) or (-)	Baseline	Year 1 (FY XX)			Year 2 (FY XX)			Year 3 (FY XX)		
			Target	Achieved	% Target met	Target	Achieved	% Target met	Target	Achieved	% Target met
SO 1:											
Impact indicator 1											
Impact indicator 2											
IR 1.1:											
Monitoring indicator 1											
Monitoring indicator 2											

Indicator	Desired direction of change (+) or (-)	Baseline	Year 4 (FY XX)			Year 5 (FY XX)			LOA		
			Target	Achieved	% Target met	Target	Achieved	% Target met	Target	Achieved	% Target met
SO 1:											
Impact indicator 1											
Impact indicator 2											
IR 1.1:											
Monitoring indicator 1											
Monitoring indicator 2											

8.1.7 Identify Trigger Indicators

USAID/FFP's new strategic plan focuses on reducing the food insecurity of vulnerable populations. Consequently, in addition to performance indicators, USAID strongly encourages CSs to incorporate early warning and response mechanisms—called trigger indicators—into new MYAPs. A **trigger indicator** is defined as “an indicator used to determine the threshold at which a MYAP needs to shift activities, or require additional resources, for new activities in response to a slow-onset shock.”⁹⁹ A **trigger**

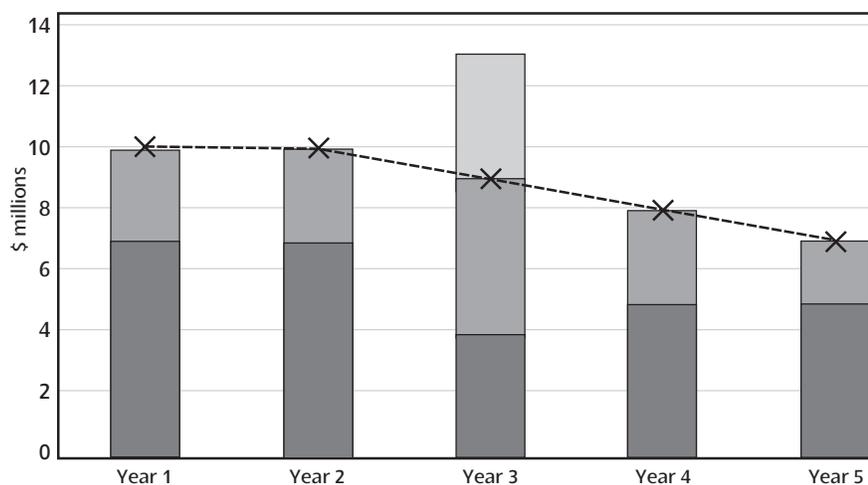
level is the level of a trigger indicator that signals the need for certain actions to be taken (such as needs assessment, contingency and response planning, request for emergency resources).

It is important to recognize that trigger indicators are not mandatory, and they are not performance indicators that will be used to measure the MYAP's progress. Rather, they function as mechanisms that enable country programs to access additional food aid or non-food aid resources in the event of a quick or slow onset emergency. More specifically, the purpose of these indicators is: 1) to help identify and respond to seasonal, slow and rapid-onset periods of food insecurity; and 2) help target populations develop their own disaster management and emergency preparedness capacities. Consequently, trigger indicators are not defined nor standardized by USAID/FFP, but rather up to the discretion of the CS submitting the MYAP.

Figure 8.4 shows how trigger indicators might be used by a CRS program to obtain additional resources over the life of the MYAP. Suppose a country program identified “drought” as a trigger indicator in its MYAP proposal, with a specific trigger level. For the first two years of the MYAP, the country program implements its regular activities. In the third year of the program, however, the country experiences a drought, the magnitude of which exceeds the threshold levels. The country program reports on this trigger indicator to the USAID Mission and USAID/FFP, and highlights the need for emergency interventions and emergency resources prior to the hungry season. The country program is then able to prepare an emergency Annual Estimate of Requirements (AER) and detailed and comprehensive budget. The “emergency” safety-net intervention is funded with emergency funds, whereas the longer-term MYAP interventions continue with non-emergency funding.

In response to the new USAID/FFP Title II guidelines, FANTA published a guide entitled *Trigger Indicators and Early Warning and Response Systems in MYAPs* (2007).¹⁰⁰ Box 8.2 provides some guidance on how to develop trigger indicators, whereas Table 8.5. provides an example of some trigger indicators and levels.¹⁰¹

Figure 8.4 Chronically Food Insecure Population Experiencing a Shock in Year 3



(Source: USAID/FFP 2008)

99 Mathys, E. 2007. *Trigger Indicators and Early Warning and Response Systems in Multi-Year Title II Assistance Programs*. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED). P. 6

100 Mathys, E. 2007. *Trigger Indicators and Early Warning and Response Systems in Multi-Year Title II Assistance Programs*. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED). Available at <http://www.fantaproject.org/downloads/pdfs/ffpOP5.pdf>

101 In 2006, CRS prepared a draft guidance document *Guidance for Developing Early Warning Indicators and Trigger Levels for USAID/FFP MYAP Proposals*.

BOX 8.2 SUGGESTED STEPS FOR DEVELOPING TRIGGER INDICATORS FOR A MYAP

- **Identify potential shocks or hazards that could affect communities or individuals in that country.** These should be the shocks of greatest local concern, and should include slow- and quick-onset shocks.
- **Note the negative impacts of these shocks on individual, household and community-level food security and how households cope with these shocks.** This can or should include a percent reduction in the production of staple food crops, or an increase in staple food crop prices (or a reduction in livestock prices). This should also note coping strategies that are used by households—i.e., increased charcoal sales, increased migration to urban areas or other countries, pulling children out of school, livestock distress sales.
- **Determine the characteristics of individuals, households, communities who are the most vulnerable to shocks** (i.e., they are the most affected by the negative impacts and unable to cope).
- **Determine whether vulnerable households are at risk for “unacceptable” levels of food insecurity as a result of the shocks.** For example, once the shock occurs, is it likely that vulnerable households will reduce the number of meals or dietary diversity? How likely is an increase in malnutrition for these populations? Is it possible that non-vulnerable populations would also be affected?
- **Using this information, construct a table and identify 1-2 key trigger indicators and trigger levels.** FANTA suggests that these levels can be set after the baseline is conducted, and should be set somewhat conservatively. These should ideally provide advance notice – i.e., 1-6 months – of a serious food security crisis. The indicators should also be linked to a series of actions that will be undertaken once the trigger level is reached.

Table 8.5 Sample Trigger Indicators and Levels for the MYAP

Trigger Indicator	Trigger Level
Reduction in staple food crop production	Over 25 percent of departments have a reduction in staple food crop production by more than 25 percent
Increase in the prices of staple food crops in key (forecasting) markets	Food prices reach x percent of household income in targeted areas Food prices in key markets are x percent over average price levels
Increase the sales of livestock during the hungry period	The terms-of-trade between livestock and food falls by x percent (or, livestock prices only represent x percent of staple food prices)
Increase in the prevalence of diarrheal diseases	Prevalence of diarrhea among children under-5 reaches x percent of the population in targeted communities
Number of communities affected by drought prior to the primary growing season	More than 25 percent of villages in the zone have a rainfall level below average between August and September, and/or have experienced 15 consecutive days without rainfall



8.1.8 A Supplementary Note on Measuring Risk and Vulnerability in the MYAP

In many of MYAP countries, natural and political shocks affect the level and rate of project impacts over the course of the MYAP. Although shocks are often included in the “critical assumptions” column of the Proframe, country programs often assume that no drought, flood or other shock will occur while setting targets for the performance indicators. Nevertheless, many low-income countries that receive Title II assistance experience shocks occur on a fairly regular basis. In Niger, for example, large-scale droughts occurred in 2000 (the first year of their MYAP) and again in 2004 (the last year of the MYAP). Drought therefore affected agricultural yields during the final evaluation year, which affected the improvement in yields in MYAP villages.

In order to avoid the situation described above, CRS country programs should take these shocks and risks into account while developing the M&E plan for the MYAP. This can be achieved by making small yet simple modifications to “typical” performance indicator statements. Table 8.6 provides a practical example of the way in which CRS country programs could reformulate their “typical” MYAP performance indicators to take risk and vulnerability into account.

Table 8.6 Reformulating Performance Indicators to Take Risk into Account

Objective Statements	Performance Indicator Statement (Typical MYAP)	Performance Indicator Statement with Risk Focus: Example #1	Performance Indicator Statement with Risk Focus: Example #2
SO1: Livelihood capacities of targeted households are protected and enhanced.	By the end of the MYAP, the average number of months of household adequate food provisioning increases to x months as compared to baseline	By the end of the MYAP, the inter-annual variation in the number of months of household adequate food provisioning has decreased as compared with baseline	By the end of the MYAP, the average number of months of household adequate food provisioning increases to x months as compared to the baseline and in comparison with a control group
IR1: Households have increased the production of their staple food crops.	By the end of the MYAP, 80 percent of farmers in the most vulnerable regions of the country have increased their staple food crop production as compared to baseline.	By the end of the MYAP, 80 percent of farmers in the most vulnerable regions have reduced the inter-annual variation in staple food crop production as compared to baseline.	By the end of the MYAP, 80 percent farmers participating in the program have increased their staple food crop production by x percent over baseline (as compared to a control group).
SO2: Human capabilities of targeted households are protected and enhanced.	By the end of the MYAP, stunting (height-for-age) in children under 24 months has decreased by x percent.		By the end of the MYAP, stunting (height-for-age) in children under 24 months has decreased by x percent as compared to the baseline and in comparison with a control group.

The typical performance indicator included for an agricultural IR in most MYAPs is provided in Column 2: agricultural production will increase over baseline. This means that, if a household’s agricultural production is 100kg in the baseline, the indicator says that there will be an improvement (say, to 150kg) by the end of the MYAP. However, as written, the indicator assumes that a drought or flood does not take place in the final year of the MYAP into account. What if this is not the case?

The indicator statements provided in the third and fourth columns of Table 8.6 takes this possibility into account, but in different ways. If households are subject to natural shocks, then their yields (and production) will fluctuate from one year to the other. CRS and its partners cannot always prevent or mitigate these shocks, nor their impact on yields. Therefore, rather than focusing on levels of production before and after the project, the indicator statement in Column 3 measures how much the household’s inter-annual variation in agricultural production is reduced by the project. For example, if household agricultural production fluctuates by 15 percent from one year to the next before the project, the indicator would measure a reduction in this variation between the baseline and final evaluations.

An alternative way of formulating the indicator to take shocks into account is provided in Column 4. In this case, the indicator is the same as the “typical” MYAP indicator, but is measured in both the MYAP participant and non-participant groups (treatment and control groups). This type of indicator would require that baseline and final evaluation data be collected for the same indicators in both the intervention area population and in the control group. The “program impact” due to the MYAP would be measured by calculating the difference in the indicator between the two groups at the two points in time. Additional information on measuring these types of indicators is provided in FANTA’s *Evaluating Title II Development-Oriented Multi-Year Assistance Projects*.¹⁰²

8.2 Step 3.1 Draft the Proposal and Submit It for Technical Review

	Preplan	Action Plan	Conceptual Frameworks	Macro Assessments	Micro Assessments	Problem Tree	Gap and Capacity	Sectoral and Geographic	Sectoral Assessments	Sectoral Analyses	Project Strategies	Food Aid	Exit Strategy	Funding Decisions	Results Framework	Draft Proposal	Submit MYAP Proposal	Review, Revise, Resubmit
PRE	1.1	1.2	1.3	1.4	1.5	1.6	1.7	2.1	2.2	2.3	2.4	2.5	2.6	2.7	3.1	3.2	3.3	

While **Phase 1** of the process involved identifying some initial geographic and sectoral priorities for the MYAP, **Phase 2** of the process entailed developing sectoral strategies and interventions for the MYAP, including appropriate indicators for measuring progress and impact. **Phase 3** of the process describes the writing, technical review, submission, and revision process of the MYAP proposal.

¹⁰² The FANTA document describes four types of evaluation designs: pre-post, pre-post with control groups, pre-post taking confounding factors into account, and pre-post with control groups taking confounding factors into account. Bergeron, G., A. Swindale, M. Deitchler and P. Bilinsky . 2006. *Evaluating Title II Development-Oriented Multi-Year Assistance Projects*. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED). Available at www.fantaproject.org/downloads/pdfs/TN11_MYAP.pdf

8.2.1 Draft the Proposal

The Title II Proposal Format

Guidelines for USAID/FFP Title II proposals are issued on an annual basis and are available from USAID/FFP's website. Although the guidelines may change from year to year, the proposal format has typically required the following information:

1. A problem statement (including the nature of the food security problem)
2. Identification of priority areas for intervention (geographic and sectoral)
3. Capacity (and value added of CRS, consortium members and implementing partners)
4. The project's goals, objectives and activities
5. Monitoring and evaluation plans, including performance indicators and the Indicator Performance Tracking Table (IPTT)
6. Descriptions of collaboration with other PVOs, host-country programs, etc. (complementarity), integration, and resource needs
7. Sustainability strategy (exit strategy)
8. Detailed implementation schedule
9. Bellmon analysis and monetization plan
10. Annual estimate of requirements (AER)
11. Initial environmental examination (IEE)
12. Detailed budgets

The information necessary for numbers 1-7 above, can be drawn directly from the Steps of the MYAP development process. For example, information necessary to write the geographic targeting section comes from the mapping exercise, problem analysis section of the proposal can be taken from the problem tree exercise. Similarly, information on the project's goals, objectives and activities can be taken directly from the results framework and Proframe steps. One section that merits special attention, however, is the complementarity section of the proposal, as the information required for this section is derived from multiple steps in the MYAP design process. In the complementarity section of the document, USAID/FFP asks country programs to describe how the proposed program interventions support or complement the activities of other actors in the country, such as the host government (national, regional, or local), other PVOs, the USAID/Mission. In order to draft this section of the proposal, the country program needs to refer to information from the stakeholder analysis, the gap analysis for each sector and elements of program integration.

Writing the Proposal

Before beginning the proposal writing process, country programs should review the MYAP action plan and checklist to ensure that each section of the proposal is covered, and determine who is responsible for completing each section. Country programs should also ensure that “non-programming” sections—such as the IEEs, budgets, monetization plans, MOUs and other supporting documents—are prepared.

As the MYAP is comprised of many different components, writing the MYAP is best completed by a small group of people or at least one person with strong English writing skills. The writer(s) should be familiar with

CRS' Proframe (or logframes) and the results framework. In addition to the primary writer, CRS program managers and other staff members should be prepared to provide details regarding proposed sectoral strategies and interventions, including implementation schedules, resource requirements, and indicators for monitoring and evaluation.



8.2.2 Submit It for Technical Review

CRS project proposals for internal and external funding are required to go through technical review processes at the country program, regional and HQ levels. Although the review processes differ across regions, CRS has recently developed a document entitled *Protocols for MYAP Proposal Development Standards and Support* available on the MYAP Working Group Site or by contacting the regional office, the Public Resource Specialist or PQSD. This document suggests that the country program:

- submit the MYAP concept paper and results framework for regional and HQ technical review for prior to preparing the full proposal, preferably five months' prior to the final submission date
- submit a first draft of the project proposal to for review a three months before the final due date.
- submit a "final draft" of the proposal to for review a minimum of two weeks before the final due date

While technical reviews can, at times, slow down the MYAP development process, external technical reviews can greatly improve the quality of MYAPs. In addition to improving the quality of the technical interventions, reviewers also determine if the proposal is in line with CRS guidelines and policies as well as USAID/FFP requirements. Comments from technical reviewers (and the subsequent revision of the proposal by the country program) can greatly improve the chances of a MYAP's approval, especially in light of increased competition for scarce resources. Another advantage of the review process is that it can reduce the number of issues cited in the USAID/FFP Issues Letter. The following recommendations were developed after a review of past Issues Letters:

- Ensure the MYAP proposal responds to and supports USAID/FFP strategies, USAID mission strategies, as well as those of the host-country government.
- Develop clear and logical linkages between the problem analysis and program description sections of the proposal.
- Highlight innovations in cross-sectoral and integrated programming approaches.
- Plan for more targeted results, even if this may require a narrower geographic focus or a reduced number of project participants.
- Increase the quality of gender analysis and subsequent programming responses.
- Clarify roles and responsibilities among NGOs working in one consortium.¹⁰³
- Incorporate lessons learned (and adapt approaches) from previous MYAPs into new or follow-on project proposals.

¹⁰³ For more information about consortium in the context of Title II please see CRS. 2008. *Consortium Alignment Framework for Excellence (CAFE)*. Baltimore: Catholic Relief Services (CRS).

8.3 Step 3.2 Submit the MYAP Proposal to USAID/FFP

	Preplan	Action Plan	Conceptual Frameworks	Macro Assessments	Micro Assessments	Problem Tree	Gap and Capacity	Sectoral and Geographic	Sectoral Assessments	Sectoral Analyses	Project Strategies	Food Aid	Exit Strategy	Funding Decisions	Results Framework	Draft Proposal	Submit MYAP Proposal	Review, Revise, Resubmit
PRE	1.1	1.2	1.3	1.4	1.5	1.6	1.7	2.1	2.2	2.3	2.4	2.5	2.6	2.7	3.1	3.2	3.3	

Once the MYAP proposal has been completed, CRS country programs (through CRS HQ) must submit the proposal and its supporting documents to USAID/FFP/Washington and the local USAID mission (or regional USAID office). In recent fiscal years, CSs have been required to submit MYAP project proposal documents to USAID/FFP/Washington and the appropriate USAID/Mission in January of the calendar year prior to the fiscal year (FY) in which the project activities are expected to begin.¹⁰⁴ USAID/Missions review MYAP proposals and submit comments to FFP/W within approximately 1-2 months of receipt of the proposal. FFP/Washington is then expected to reach a final decision on the project proposal (accept the proposal, deny the proposal or withhold a decision) within 120 days of submission of a complete document to FFP.¹⁰⁵

In the past, this timeline has not always been followed, and there have been substantial delays in approval and the allocation of resources. Consequently, if country programs and partners have planned to start certain project activities (such as school feeding) during the first quarter of the fiscal year, these activities should be reconsidered. In general, it is useful to plan fewer activities in the first two quarters of the MYAP, in case there are approval and funding delays.

8.4 Step 3.3 Review FFP’s Issues Letter, Revise the MYAP Proposal, and Resubmit

	Preplan	Action Plan	Conceptual Frameworks	Macro Assessments	Micro Assessments	Problem Tree	Gap and Capacity	Sectoral and Geographic	Sectoral Assessments	Sectoral Analyses	Project Strategies	Food Aid	Exit Strategy	Funding Decisions	Results Framework	Draft Proposal	Submit MYAP Proposal	Review, Revise, Resubmit
PRE	1.1	1.2	1.3	1.4	1.5	1.6	1.7	2.1	2.2	2.3	2.4	2.5	2.6	2.7	3.1	3.2	3.3	

It is rare that a MYAP is automatically approved by USAID/FFP without comments for revising the proposal. In many cases, country programs receive an Issues Letter from USAID/FFP/W approximately two months after the proposal has been submitted. The Issues Letter informs the country program of the proposal’s status (accepted, decision withheld, or denied), and also outlines the major “deficiencies” in the proposal, including threshold issues and detailed comments.

¹⁰⁴ For example, a MYAP that will begin in FY 2010, which starts October 1, 2009, should be submitted in January 2009. USAID/FFP. 2008. *PL 480 Title II FY2009 Program Policies and Guidelines Fiscal Year 2009*. Washington, D.C.: USAID.

¹⁰⁵ CRS country programs first need to submit the proposal to CRS HQ for submission to USAID/FFP/W, but can submit the document to the local USAID missions directly.

If USAID/FFP determines that a proposal generally meets program requirements, but has deficiencies (“decision withheld”), then the country program has 14-days (from receipt of the Issues Letter) to respond to the Issues Letter and submit a revised proposal. When a complete, revised proposal is received, FFP completes a final review and determines whether CRS has adequately addressed all of the issues previously cited, and funds are available. If USAID/FFP approves the proposal, then it will send a signed Award Letter with attachments. USAID/FFP may deny the revised proposal if the CS fails to adequately respond to the issues letter with sufficient detail and relevant information and within the required time frame.

8.5 Additional Resources

For more information on the Proframe, M&E and indicators, refer to the following resources:

Cogill, B. 2003. *Anthropometric Indicators Measurement Guide*. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED). Available at http://www.fantaproject.org/downloads/pdfs/anthro_2003.pdf

Coates, J., A. Swindale and P. Bilinsky. 2007. *Household Food Insecurity Access Scale (HFIAS) for Measurement of Household Food Access: Indicator Guide (v. 3)*. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED). Available at http://www.fantaproject.org/downloads/pdfs/HFIAS_v3_Aug07.pdf

McCorkle, C.M., G. O. Sharrock, and B. Tucker. May 2003. *The CRS Proframe Package: A SMART Tool for Logical Planning*. Baltimore: Catholic Relief Services (CRS).

Mathys, E. 2007. *Trigger Indicators and Early Warning and Response Systems in Multi-Year Title II Assistance Programs*. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED). Available at <http://www.fantaproject.org/downloads/pdfs/ffpOP5.pdf>

USAID, CRS and the American Red Cross. 2008. “Guidelines and Tools for the Preparation and Use of Indicator Performance Tracking Tables.” *M&E Shortcuts*. Available at www.foodsecuritynetwork.org/icbtools.html

USAID/FFP. August 2007. *New Reporting Requirements for FFP*. Washington, D.C.: USAID/FFP. Available at http://www.usaid.gov/our_work/humanitarian_assistance/ffp/fy08_ffpib_new_reporting.pdf

W.K. Kellogg Foundation. 2004. *Using Logic Models to Bring Together Planning, Evaluation, and Action: Logic Model Development Guide*. Battle Creek, Mich.: W.K. Kellogg Foundation. Available at <http://www.wkcf.org/Pubs/Tools/Evaluation/Pub3669.pdf>

ANNEXES

MYAP Resources

The Annexes to the MYAP Manual include a selection of useful resource documents for reference and examples when preparing a MYAP proposal. The Annexes are divided into the following two categories:

USAID Resource Documents and Materials

Annex A: CRS Overview of US Government Food Aid Programs

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Annex A: CRS Overview of U.S. Government Food Aid Programs

Definition of Terms:

Public Law 480: Originally the Agricultural Trade and Development Act. PL 480 is a US government law that provides food and cash resources to host governments, PVOs and international agencies for emergency and development activities.

Farm Bill: U.S. bill that restates and reorganizes PL 480. The most recent version was signed in 2002.

Title II: Provision of PL 480 that provides food aid and cash resources for programming to address emergencies, alleviate hunger, and promote economic development. 75 percent of Title II assistance must be reserved for non-emergency programs. Implemented by USAID/FFP.

416(b) Surplus Commodity Program: Provision of PL 480 that allows for the donation of surplus commodities to carry out assistance programs, either through distribution or monetization.

Food for Progress: Program to provide agricultural commodities on credit terms or on a grant basis to PVOs. Commodities may be provided under Title I or Section 416(b) of PL 480.

MYAP: Multi-Year Assistance Program. PL 480 Title II multi-year operational plans for development activities.

SYAP: Single-Year Assistance Program. PL 480 Title II single-year operational plans frequently in response to a food insecurity emergency.

USAID/FFP: Office of Food for Peace, part of the Bureau of Humanitarian Affairs of the US Agency for International Development (USAID).

USDA: United States Department of Agriculture, another branch of the U.S. government that provides food aid through Food for Progress and Food for Education programs.

Monetization: The sale of agricultural commodities to obtain foreign currency or USD for use in implementing emergency or development programs overseas.

History of US Food Aid: Public Law 480 (PL 480)

The Agricultural Trade and Development Assistance Act of 1954 (PL 480) required the U.S. to “use its abundant agricultural productivity to promote the foreign policy of the [US] by enhancing the food security of the developing world through... agricultural commodities and local currencies...”

The “Farm Bill” restates and reorganizes PL 480 every few years. The Farm Bill of 1990 reorganized PL 480 to combat world hunger and malnutrition, promote “equitable and sustainable development”, expand international trade, expand export markets for U.S. agricultural commodities and foster private enterprise. The Farm Bill covers Title II, 416(b) and Food for Progress programs. The most recent version of the Farm Bill was signed in 2002, and reauthorizes PL 480 programs through FY07.

Food Aid Programs under PL 480

US Department of Agriculture (USDA):
 Title I: Trade & Development Assistance
 Title IV: General Authorities & Requirements
 Title V: Farmer to Farmer
 416(b) Surplus Commodity Program;
 Food for Progress Program

US Agency for International Development

Title II : Emergency & Private Assistance
 Title III: Food For Development
 Commodity Reserve: Emergencies

Title II is a provision of PL 480 that provides food aid and cash resources for programming to address emergencies, alleviate hunger and promote economic development. 75 percent of Title II assistance must be reserved for non-emergency programs. Implemented by USAID/FFP, the Title II program allows for food aid to be used for distribution and monetization purposes. Resources can be used for development programs (MYAPs), transition programs (TAPs) and emergency programs.

Title II Programming Priorities: The 1995 Policy Paper

The programming priorities for the Title II program are outlined in USAID's *Food Aid and Food Security Policy Paper* (1995) The paper focuses on:

- Promoting sustained improvements in food security
- Integrating food with other USAID assistance resources
- Supporting complementary activities to improve household nutrition and increase agricultural productivity
- Targeting Low Income Food Deficit Countries (LIFDC)

Title II Programming Priorities: FFP's Strategic Plan

USAID/FFP's strategic plan for 2006-2010 highlights:

- Food security will remain the cornerstone of the Title II program
- FFP has expanded the food security conceptual framework to make explicit the risks that constrain progress toward food security
- There will be a focus on using Title II resources to reduce risk and vulnerability.

ANNEXES

Strategic Objective: Food insecurity in vulnerable populations reduced

Intermediate Results:

IR 1: Global leadership in reducing food insecurity enhanced

- FFP's role in U.S. and multilateral policy development increased.
- National and global partnerships enhanced.
- Evidence base for more effective policy and program approaches improved.

- Technical excellence and innovation supported.
- Strategic management and streamlining approaches implemented.

IR 2: Title II program impact in the field increased:

- Human capabilities protected and enhanced
- Livelihood capacities protected and enhanced
- Community resiliency protected and enhanced
- Community capacity to influence factors (decisions) that affect food security increased
- Strategic management and streamlining approaches implemented.

Annual PL 480 Title II Program Policies and Proposal Guidelines

USAID/FFP issues annual guidelines for CS use in preparation of Title II development proposals and amendments. The guidelines include information on:

- Resource Allocation Priorities
- Sectoral Guidance and Initiatives
- MYAP Proposal Submission and Review Process
- MYAP Submission Models
- CS Preparation and FFP Review of MYAP Proposals
- Procedures for the Final Year of a Program
- MYAP Proposal Application Format
- MYAP Proposal Evaluation Criteria and Scoring System
- Budget Formats
- Country Specific Guidance (as relevant)

Other Title II Rules and Regulations

- The Title II program is allocated approximately 2 million metric tons (MT) per fiscal year.
- Of this amount, 1.5 million MT is for non-emergency programs.
- Of this tonnage, 75% must be bagged, fortified or processed.
- 50% of bagged goods must be bagged in U.S.
- At least 15% of total non-emergency commodities must be monetized. However, more recently, USAID/FFP is looking to reduce the percentage of monetization in new MYAPs.
- In principle, a MYAP cannot be refused by USAID because it is in a country with no USAID mission or it does not fit USAID country strategy.

A Note on Food-Assisted Education and MYAPs

In March 2001, USAID/FFP issued a policy letter stating the following:

- FFP/W would only approve education programs where food supports larger efforts in improving education.

- FFP/W would proceed cautiously with supporting food-assisted education in light of USDA's Global Food for Education Initiative.
- FFP/W would focus programming with medium-term impacts upon food security (agriculture and health).
- FFP/W would not cover costs related to complementary (non-food-distribution related) education activities.

Annex B: USAID/FFP Expanded Conceptual Framework for Understanding Food Insecurity

The following description and framework diagram is taken from FFP’s PL 480 Title II Program Policies and Proposal Guidelines—Annex C.¹⁰⁶

An Expanded Conceptual Framework

FFP and its partners developed an expanded conceptual framework that adds the dimension of risk and vulnerability to the conceptual framework that was laid out in the 1995 “Food Aid and Food Security Policy.” The conceptual framework laid out in the 1995 Policy, with its focus on food availability, access and utilization, provided a good underpinning for the new directions that were given to the program at that time. It also was a useful place to start in the development of this Strategy. However, this basic framework does not provide a way to take into account the vulnerability of countries, communities and households to risk—a shortcoming that seems particularly serious in retrospect, in the aftermath of the many natural and manmade disasters that characterized the 1990s.

The dimension of risk is implicit in USAID’s definition of food security. That is, the inclusion of the phrase “at all times” in the definition suggests that food security can only be achieved when the risk of falling below adequate levels of availability, access and utilization is very low. Operationally, however, the focus has been on increasing the levels of food availability, access and utilization—with less emphasis given to the risk of losing the ability to obtain and use food. In contrast, this Strategy will require FFP and its partners to pay more attention to addressing food insecurity through a focus on reducing vulnerability and risk.

Vulnerability means that food security can be lost as well as gained. Vulnerability also can be thought of as the inability to manage risk. When countries, communities and households are unable to cope effectively with shocks or hazards, in fact or potentially, they are vulnerable and potential candidates for assistance. Reducing exposure to risks, such as shocks that affect the many (e.g., droughts or floods) or shocks that affect the individual (e.g., death of the head of a household) can help reduce vulnerability. Increasing the ability to manage risks also reduces vulnerability.

All states are subject to shocks—occasional and recurrent. What distinguishes a food secure state from fragile, failing or failed states is its ability to cope with these shocks. The level of economic development has a major influence on a country’s ability to cope. Wealthier countries normally cope better with shocks than poorer countries, for example, but wealth or income alone is a poor indicator of vulnerability. Other political, social, and economic factors also are important. States where large inequities in incomes and assets (access to resources) exist are likely to be more vulnerable, as are states with large ethnic populations (also religious groups) that are not well integrated economically, politically or socially. Weak institutions, or the absence of key institutions, also increase vulnerability, as does poor governance. Armed conflict can also be an indicator as well as a consequence of the failure of countries to deal effectively with shocks, and it also increases the vulnerability of countries, communities and households to future shocks. In a food security context, in other words, states can be fragile as a result of underlying political, social and economic factors, and not just weak institutions.

High levels of chronic under-nutrition can also be an indicator of the vulnerability of countries, communities and households to shocks. During emergencies the focus is on acute undernutrition—i.e., people who are wasted (too thin for their height). This form of undernutrition is a serious problem because individuals who

¹⁰⁶ USAID/FFP. 2008. *PL 480 Title II Program Policies and Proposal Guidelines - Fiscal Year 2009. Annex C—An Expanded Conceptual Framework*. Washington, D.C.: USAID. Available at http://www.usaid.gov/our_work/humanitarian_assistance/ffp/annexc_ecfufi.doc.

are severely wasted, particularly young children, can easily die. But chronic undernutrition, which is the term used to describe people who are stunted (i.e., too short for their age), can also be a serious problem. Chronic undernutrition reduces people's ability to cope because it reduces their productivity while increasing their vulnerability to illnesses. Children who are chronically undernourished are also more vulnerable to illness and death. In addition, when chronic undernutrition affects children early in life (between six and 24 months), it will also reduce their ability to cope as adults, make them more vulnerable to chronic illnesses throughout their lives, and impair their motor skills, cognitive abilities and productivity.

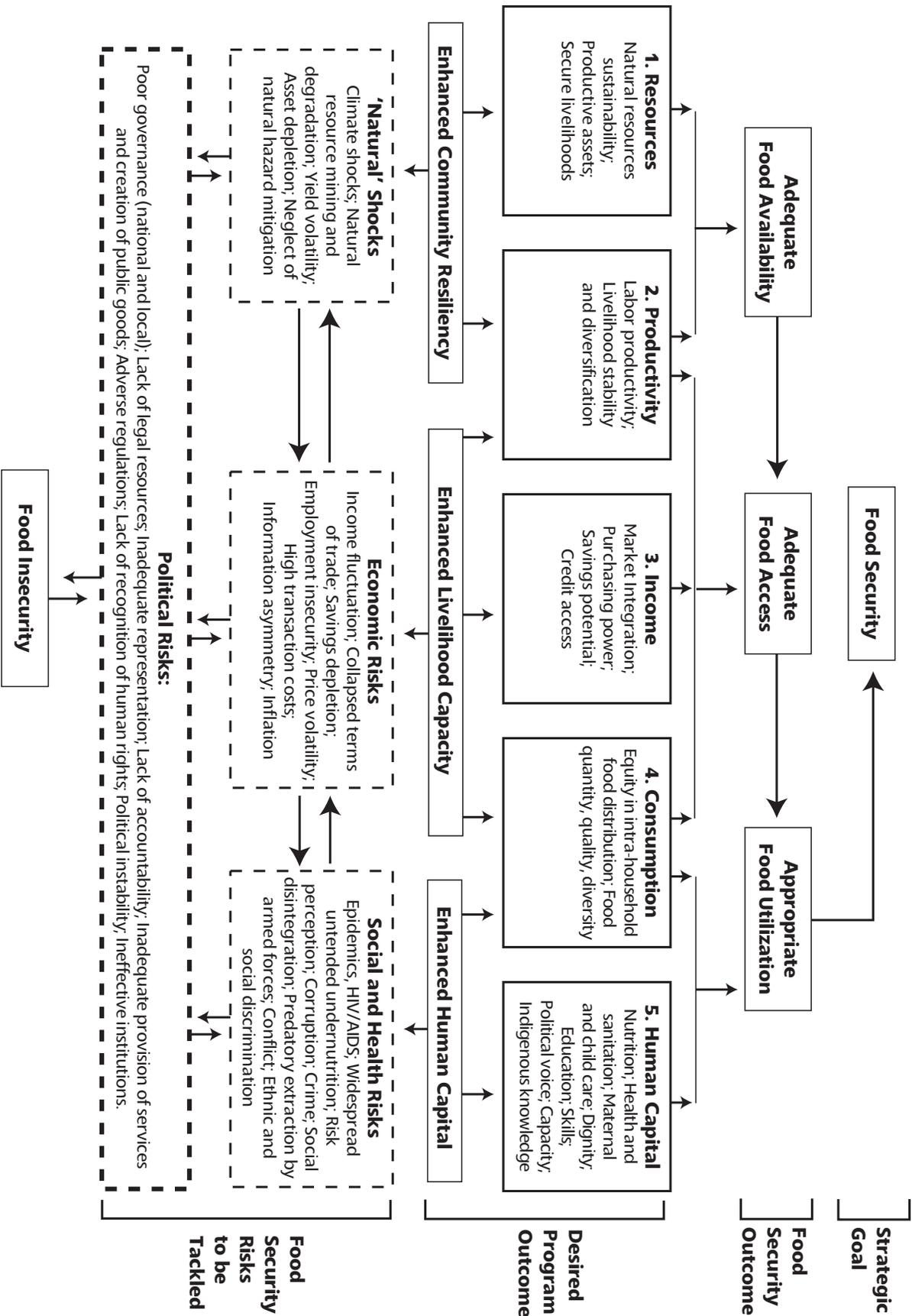
This focus on vulnerability helps clarify the rationale for assistance prior to, as well as during and immediately after, a shock. Countries, communities and households will need assistance when they are in the midst of an emergency, overwhelmed by a shock (e.g., a hurricane, drought, or financial or political crises). But for the more vulnerable, assistance prior to major shocks is also needed to help them take preventative actions to reduce risk, increase coping capacity and reduce the likelihood that they will be overwhelmed by the next shock and need emergency assistance.

To rectify this shortcoming, and after extensive technical analyses and stakeholder consultations, FFP is proposing to add the dimension of vulnerability to this Strategy. Conceptually, this will mean expanding the basic food security framework to include a new dimension—risk—that makes explicit the risks that constrain or threaten food availability, access and utilization. Operationally, this will mean reorienting programs so that the vulnerability of food insecure households and communities is addressed more directly, focusing more on prevention and helping countries, communities and households cope or manage risk better.

This expanded framework is laid out in Figure B-1. The basic food security framework is presented in the upper part of the diagram, with the desired food security outcomes leading to the goal of improved food security. And, the major risks that must be tackled to achieve food security and their links to the desired program and food security outcomes are identified in the bottom of the framework. As this expanded conceptual framework demonstrates, understanding risk is essential to understanding the concept of food security—it underlies everything. Unmanaged risk leads to food insecurity, while managing risks can protect and enhance food security.

Risks, as the expanded framework makes clear, come from many sources. Food supply can be affected by climatic fluctuations, for example, depletion of soil fertility, or the loss of a household's productive assets. Factors that can disrupt access to markets include changes in policies or global terms of trade, a disruption of markets during crises, or risks stemming from the insecurity of non-farm incomes. Food access can be negatively affected by physical insecurity stemming from conflict, for example, loss of livelihood or coping options (such as border closings that prevent seasonal job migration) or the collapse of safety-net institutions that once protected people with low incomes. Factors that can impair food utilization include epidemic diseases, lack of appropriate nutrition knowledge or socio-cultural practices that affect access to nutritious foods according to age or gender. Political risks, including the lack of good governance, can exacerbate natural, economic, social and health risks.

The expanded conceptual framework encourages a stronger emphasis on livelihoods and assets, and the need to support consumption indicators and invest in nutrition, education and skills development, roads and other public works, and social capital. It also encourages a greater focus on prevention, including prevention of damage to physical assets and livelihoods. The focus on prevention also has a generational dimension, encouraging early investment in infant nutrition to prevent undernutrition. The expanded framework also provides a logic for providing emergency assistance to food secure states, as well as emergency and non-emergency assistance to fragile, failing and failed states. In addition, it incorporates a rationale for responding to HIV/AIDS and for interventions targeted to food insecurity in urban areas, if analyses of risk and vulnerabilities indicate that these are the areas where the new priorities lie.



Annex C: USAID/FFP's Evaluation Criteria for FY 2008 MYAPs

This Evaluation Scoring System document is taken from FFP's PL 480 Title II Program Policies and Proposal Guidelines for FY 2008—Annex A1.¹⁰⁷

MYAP Proposal Evaluation Scoring System October 2007

Country/CS:

Reviewer:

Date:

Part 1. Overall Proposal review

There are eight categories of overall proposal review criteria. The weight given to each category in the total score is as follows:

	% Weight
Situational Analysis	15
Program Strategy and Intervention	15
Risks and Critical Assumptions	10
Sustainability	10
Partnerships and Resource Integration	10
Monitoring and Evaluation	10
PVO Qualification and Experience	15
Implementation/Management/Logistics Plans	15

Rate the overall proposal on the criteria below, using the follow scale. Part 2 contains sector-specific review criteria. If the proposal does not include or is not applicable to the criteria on which a score is given (for example, the question asks about ration use and the project is not ration-based), leave the scoring area blank.

0 = Poor

1 = Fair

2 = Good

3 = Very Good

4 = Excellent

¹⁰⁷ USAID/FFP. 2007. *PL 480 Title II Program Policies and Proposal Guidelines - Fiscal Year 2008*. Washington, D.C.: USAID.

Situational Analysis 15%						
1	The proposal provides a convincing rationale for the country, geographic area and target population chosen.	0	1	2	3	4
2	The proposal is targeting areas of the country with the highest levels of food insecurity and/or vulnerable populations.	0	1	2	3	4
3	The proposal presents a thorough description of the causes, prevalence and impact of food insecurity and the sources of risk (types and frequency of shocks), including that of HIV/AIDS, if relevant, in the target area and population.	0	1	2	3	4
4	The proposal describes what the CS and other actors are currently doing to address food insecurity in the area, what needs remain, and how the proposed program complements and does not duplicate those activities.	0	1	2	3	4
5	The proposal makes reference to and is aligned with the food security policy frameworks and priorities described in the Mission country strategy and Title II programming guidance and national poverty reduction strategies.	0	1	2	3	4
Program Strategy and Intervention 15%						
6	The proposal identifies objectives and intermediate results that are relevant in the context of the problem assessment and are consistent with FFP's strategy.	0	1	2	3	4
7	The level of resources requested is appropriate for the size of the targeted population and the magnitude of the projected reduction in food insecurity	0	1	2	3	4
8	The proposal discusses whether and how rations are harmonized among different components of the program, among different implementing partners, and with the government (if relevant).	0	1	2	3	4
9	The proposal includes plans to monitor and respond to increases in transitory and chronic food insecurity in response to shocks using the development-relief approach or provides a convincing rationale that this approach and these types of activities are not likely to be needed. The proposal identifies the early warning indicators and trigger levels that will be used by the CS to refine and adjust existing interventions to meet the increased needs, and/or initiate a request for emergency resources following an emergency or shock, or describes a process for identifying them.	0	1	2	3	4
10	The proposal clearly describes how different sectoral interventions will be integrated at the community-level, including the proportion of the population that will benefit from multiple interventions.	0	1	2	3	4
11	The proposal describes the principal gender issues relevant to food insecurity in the target population and how gender issues are addressed in the design, targeting, and management of the program components. For example, the proposal describes the principal gender issues and HIV vulnerabilities relevant to food insecurity in the target population and how gender and HIV issues are addressed in the design, targeting and management of the program components.	0	1	2	3	4
12	The proposal describes any barriers to the participation of the food insecure/vulnerable groups targeted, and actions to be taken to ensure their ability to participate and benefit from program interventions.	0	1	2	3	4
Risks and Critical Assumptions 10%						
13	The proposal discusses the critical assumptions of the planned activities and any risks that may negatively affect expected results. Such risks may include risks associated with the environment or conflict; weak implementation capacity; fragility of partnership arrangements; and technical risks associated with the design. In addition, the proposal describes risk mitigation measures and contingency plans for each of the major risks identified.	0	1	2	3	4

Sustainability 10%						
14	The proposal describes a plan, including time frame and graduation/exit criteria, for graduation of families from specific components, individual communities from the Multi-Year Assistance Program, and the Multi-Year Assistance Program from the geographic area.	0	1	2	3	4
15	The proposal describes how the activity will promote the financial and/or institutional sustainability of intended results and how sustainability will be measured.	0	1	2	3	4
Partnerships and Resource Integration 10%						
16	The proposal integrates activities and service providers funded by other sources. This is particularly critical for HIV-related objectives and HIV-affected populations where, if possible, direct co-programming of resources (CS, USAID/Mission, GDA, etc.) should be undertaken.	0	1	2	3	4
17	The proposal describes existing partnerships and alliances with community and local groups or provides a clear plan to create these partnerships during the MYAP period. If collaboration with government ministries, other CSs or other groups is anticipated and necessary for program results to be achieved, these groups have committed to provide the technical and/or financial resources described in the proposal.	0	1	2	3	4
Monitoring and Evaluation 10%						
18	The proposal includes a monitoring and evaluation (M&E) plan that provides the information required in Annex A Section F	0	1	2	3	4
19	The indicator performance tracking table (IPTT) is complete, including baseline estimates and LOA targets for impact indicators and annual targets for monitoring indicators. The magnitude and direction of change in the performance indicators, the size of the population affected, and the criteria for determining that targets have been achieved, are clear.	0	1	2	3	4
20	The proposal provides a clear indication on how the generation and transfer of knowledge emerging from project implementation will be managed and used to improve Title II program performance and to support the potential scaling up of promising practices.	0	1	2	3	4
PVO Qualification and Experience 15%						
21	The cooperating sponsor has demonstrated expertise in food aid programming and in each of the areas of food security programming proposed and/or has identified a process to obtain or strengthen that expertise within the organization, and/or has identified a technical partner with such experience (in which case the role of any technical partners in the planning and implementation of the proposed program is clearly described.)	0	1	2	3	4
22	The proposal incorporates lessons learned from previous activities and responds to the concerns raised in recent evaluations or audits, and/or lessons learned from other relevant country programs.	0	1	2	3	4

Implementation/Management/Logistics Plans (including Monetization where applicable) 15%						
23	The proposal includes a detailed, time-phased implementation plan for the first fiscal year of the Multi-Year Assistance Program that includes the information specified in Annex A Section E.	0	1	2	3	4
24	The proposal includes a general time-phased implementation schedule for each of the Multi-Year Assistance Program out years that includes the information specified in Annex A Section E.	0	1	2	3	4
25	Plan adequately details staff and their roles and responsibilities in carrying out the proposed program as well as systems in place to ensure successful program implementation (such as commodity tracking systems, etc.)	0	1	2	3	4
26	The management plan, including number, type and responsibilities of staff, is adequate and appropriate for the program interventions.	0	1	2	3	4
27	<p>Commodity Management/Logistics Plan is comprehensive and shows PVO strategy for carrying out the activities of the project whether they are using food as food or monetizing.</p> <ul style="list-style-type: none"> Where applicable, the proposal provides full justification for distribution and monetization. For example: Why is food aid an appropriate resource at this time? On the basis of the amount of funding to be made available for programming, as compared to the costs incurred in carrying out the monetization, is monetization a reasonable choice? Are the projected food security impacts of the distribution and monetization process described? The proposal discusses how previously encountered problems with distribution and monetization will be avoided or mitigated; provides details on any localized market factors that impact market prices, cost recovery, the value of a FFW ration, etc.; discusses sales proceeds management, including "maintenance of value" issues, and the vehicle procurement plan; and other pertinent operational considerations specific to the country, if applicable. The proposal describes the proposed mechanics of the distribution and monetization. The proposal provides a separate monetization sales budget and projected proceeds from sales. The proposal describes the potential risks and typical problems associated with distribution and monetization (e.g., defaults by buyers, commercial sector complaints, fluctuating market prices, and currency devaluation) in relation to the monetization component. 	0	1	2	3	4

Part 2. Sector Specific Strategies, Interventions and Monitoring and Evaluation

Agriculture/Natural Resources Management: Objectives include reducing risks during the agricultural production cycle, increasing agricultural productivity, and promoting natural resource management in a socially, economically and environmentally sustainable manner. Includes activities related to production, processing, marketing, distribution, use, and trade of food, feed and fiber produced by a sustainable agriculture system in a manner that is non-degrading to the environment, technically appropriate, economically viable, market-driven, locally replicable, equitable and socially acceptable. Activities promote agriculture technologies that offset losses of and/or regenerate soil fertility; prevent erosion of topsoil; protect water point quality and quantity; employ a judicious use of affordable purchased inputs; reduce post-harvest storage losses; diversify and/or integrate crop; livestock, agro-forestry, fisheries production systems to enhance resiliency to climatic fluctuations; and, rely on market-driven demand to maximize return and predictability of income generation. Food rations are used to build agriculture-related physical and human assets.

Non-agricultural Income Generation: Objectives include increasing and diversifying non-agricultural sources of income. Activities include micro-finance and business development services, including provision of information on markets and technical assistance and training to increase capacity to identify and access markets; and vocational and business practices training and apprenticeship programs for youth and adults, including orphans and vulnerable children (OVC). Food rations are used to offset the opportunity costs of program participation and build human assets.

Health & Nutrition: Objectives include reducing the prevalence of chronic undernutrition among young children; identifying, treating and preventing recurrence of cases of acute undernutrition; preventing, treating and mitigating the impact of chronic diseases such as HIV/AIDS and TB; and enhancing the nutritional status of women. Activities include interventions to improve maternal and child survival, health, nutrition, productivity, growth, and development - - promotion of improved feeding behaviors, such as exclusive breastfeeding and appropriate complementary feeding of infants and young children; and optimal dietary intake before, during and after pregnancy for women; prevention and treatment of preventable diseases, including diarrhea, malaria, and intestinal parasites; increased micronutrient consumption of women and children; and improvements in ante, intra and postpartum care, including newborn care. Activities also include interventions to improve treatment, care and support of people living with HIV/AIDS. Food rations are used to prevent and treat malnutrition while supporting participation in activities that improve overall survival, health and nutrition.

Water and Sanitation: Objectives include improving water and sanitation infrastructure and practices. Activities include organizational, technical and financial support for water and sanitation services; promotion of practices that protect water supplies from contamination by improper handling of domestic water supplies, household waste and inadequate sanitation; promotion of improved hygiene practices and behavior change; and provision of technical assistance and training to enable communities to properly operate and maintain the new/rebuilt facilities. Food rations are used to build water and sanitation-related infrastructure.

Education: Objectives include increasing enrollment, attendance, retention and educational achievement of children, often with an explicit focus on girls. Includes programs aimed at improving early childhood development, primary education, secondary education, and training in literacy, numeracy, and other basic skills for adults and out-of-school youth. Activities include provision of school meals and take-home rations, increasing parent and community involvement in schools, and coordination with government and other donors to ensure that activities to improve the quality of education (e.g. teacher training, curriculum improvement) and the health and nutrition of the children also are taking place

in the schools that the food aid recipients are attending. On-site and take home food rations are used to encourage enrollment and attendance.

Vulnerable Group Feeding/Social Safety Net: Objectives include saving lives and providing food to low-income and other vulnerable individuals and populations who are unable to meet basic needs for survival and human dignity. Individuals may be unable to meet these needs due to an external shock, such as a natural disaster or war, or due to socioeconomic circumstances, such as age, illness, disability or discrimination. Such individuals are often dependent to some extent upon outside resources to meet their basic food and livelihood needs. Activities include provision of general or supplementary on-site or take home rations through unconditional safety nets, and food support to institutions assisting the destitute, terminally ill or highly vulnerable children and youth.

Emergency Preparedness/Disaster Mitigation: Objectives include improving the ability of communities and other partners to prepare for and mitigate the effects of disasters, including both natural disasters and complex emergencies. Activities include efforts to enhance the capacities of national host-country authorities, humanitarian assistance providers, and local communities to engage in disaster reduction and response activities, including early warning information systems and disaster response plans.

Civil Society Strengthening: Objectives include increasing the communities' capacity to influence the factors that affect their food security and strengthening the financial, management and administrative capacity of community and implementing partner organizations. Activities include training and technical assistance to strengthen community based groups\ and implementing partner organizations' ability to conduct food security assessments; plan, organize and implement food security related activities; advocate for and manage resources; be accountable and responsive to population's concerns; and become active and influential participants in the decision making process beginning at the local level

Score relevant sectors, as applicable:

Sector Specific Strategies, Interventions and Monitoring and Evaluation		AG/NRM					IG					HN				
		0	1	2	3	4	0	1	2	3	4	0	1	2	3	4
1	The program interventions have a clear relationship to the program objectives and intermediate results and address the main causes of food insecurity targeted.	0	1	2	3	4	0	1	2	3	4	0	1	2	3	4
2	A convincing case is made that the interventions are likely to achieve the proposed impact targets and address the needs of each vulnerable/food insecure group targeted.	0	1	2	3	4	0	1	2	3	4	0	1	2	3	4
3	The level of resources requested is appropriate for the size of the targeted population and the magnitude of the projected reduction in food insecurity.	0	1	2	3	4	0	1	2	3	4	0	1	2	3	4
4	The proposal provides a convincing rationale for the proposed ration size and composition.	0	1	2	3	4	0	1	2	3	4	0	1	2	3	4
5	The proposal describes and quantifies the target population, including what proportion of the area's population will be covered.	0	1	2	3	4	0	1	2	3	4	0	1	2	3	4
6	The proposal describes beneficiary selection criteria that will successfully identify the most food insecure populations in the program areas, and the methods used to identify and apply these criteria to select program participants.	0	1	2	3	4	0	1	2	3	4	0	1	2	3	4
7	The program interventions are described in sufficient detail (how the activities will be implemented and by whom) and are technically and operationally feasible.	0	1	2	3	4	0	1	2	3	4	0	1	2	3	4
8	The proposal describes the principal gender issues relevant to food insecurity in the target population and how gender issues are addressed in the design, targeting, and management of the program components. Where applicable, the proposal describes the principal gender issues and HIV vulnerabilities relevant to food insecurity in the target population and how gender and HIV issues are addressed in the design, targeting and management of the program components.	0	1	2	3	4	0	1	2	3	4	0	1	2	3	4
9	The proposal identifies food security impact indicators that measure food security results relevant to the objectives and intermediate results. Impact indicators are measured at the population level. If appropriate, the proposal: <ul style="list-style-type: none"> includes impact indicators of and targets for height-for-age and/or weight-for-age of children, if the proposal involves activities related to health and nutrition (utilization); includes impact indicators of and targets for months of adequate food provisioning and/or household dietary diversity, if the proposal aims to improve the food access component of food security; identifies indicators and targets to capture the impact of mitigation activities that lessen the negative impact of a shock on household food security of a particular target group. 	0	1	2	3	4	0	1	2	3	4	0	1	2	3	4
10	The proposal identifies annual monitoring indicators that will provide sufficient information to judge annual progress, and includes indicators of the percentage of the planned targeted population reached by the different interventions, the percentage of targeted population adopting improved practices/behaviors, and/or the percentage of communities with enhanced capacity.	0	1	2	3	4	0	1	2	3	4	0	1	2	3	4

Part 3. Checklist for inclusion in the first tier of funding—must receive a yes on all applicable criteria below

1	The proposal is for a priority country for FY08 MYAP proposals.	Yes	No	
2	The proposal scored a 2 or more on Part 1 review criteria 2, 3, 13, 21 and 27.	Yes	No	
3	The proposal scored an average of 2 or more for the Part 2 sector-specific review criteria for each technical sector proposed.	Yes	No	
4	If the proposal is a follow-on multi-year proposal, final evaluation findings for the prior cycle DAP/MYAP that demonstrate positive results and effective implementation were presented. Evaluation recommendations have been used in the design of the follow-on proposal.	Yes	No	N/A
5	The proposal uses direct distribution of Title II food resources to support program objectives.	Yes	No	
6	The proposal discusses how any outstanding audit recommendations will be closed and, as required, incorporated into the activity.	Yes	No	N/A

Annex D: USAID/FFP's Evaluation Criteria for FY 2009 MYAPs

This Proposal Evaluation Criteria document is taken from FFP's PL 480 Title II Program Policies and Proposal Guidelines for FY 2009—Annex A1.¹⁰⁸

MYAP Proposal Evaluation Criteria

Proposal Review

There are five categories of overall proposal review criteria, described below against which proposals will be evaluated. The maximum number of points given to each category in the total score is as follows. Each Technical Evaluation Committee (TEC) members scores the proposal independently. During the TEC review meeting, members discuss their scores and revise their scores as appropriate to reach a consensus and/or average score for each criterion. The TEC memo will contain the final score for each proposal plus a brief narrative description of the strengths and weaknesses of each of the four criteria for every proposal.

Evaluation Criteria	Maximum Possible Points
Technical Merit	55
Implementation, Management, and Logistics	20
Past Performance	15
Cost Effectiveness and Cost Realism	10
Total Possible Points	100

Descriptions of the Evaluation Criteria

Technical Merit

The technical merits of the proposal will be evaluated based the following:

- program's design (i.e., objectives and intermediate results) and critical assumptions
- technical soundness of sectoral interventions
- program's monitoring and evaluation plan, including required and other needed indicators (annual and impact), targets, plans for annual, baseline and final evaluation data collection, and a description of how M&E data will be used to improve program activities.
- discussion of the causes and prevalence of food insecurity in the target areas and rationale for the target location and selection of beneficiaries
- treatment of gender issues that maximizes gender equity in the access to and control over resources and benefits
- environmental management expertise and experience
- program plan to ensure the sustainability of its activities and its plan for graduating beneficiaries and exiting at the end of the grant period

¹⁰⁸ Source: USAID/FFP, 2008. *PL 480 Title II Program Policies and Proposal Guidelines - Fiscal Year 2009. Annex A1- MYAP Proposal Evaluation Criteria*. Washington, D.C.: USAID. Available at http://www.usaid.gov/our_work/humanitarian_assistance/ffp/annexa1_final.doc.

- harmonization of ration size and content among program components and with plan for monitoring and responding to the onset of shocks in the program area
- identification of existing programs, alignment with Mission and FFP strategies, and description of how the program will partner with other funding sources (i.e. PEPFAR) or organizations.

Implementation, management and logistics

Aspects to be considered under this criterion include:

- detailed implementation plan (by month) for the first year and more general schedule for subsequent years
- staffing plan with descriptions of the number and type of staff and their roles and responsibilities and the CV for the chief of party (COP)
- comprehensive logistics plan for monetization including a justification of monetization, discussion of the local market factors and potential risks that may affect monetization, a description of the mechanics of the monetization and projected proceeds from sales

Past Performance

The applicant's past performance will be evaluated based on existing evaluations and by contacting references both those listed in the application and others that might not be listed. Aspects to be considered under this criterion include:

- how well an applicant performed
- instances of good performance
- instances of poor performance
- significant achievements
- significant problems
- demonstrated expertise in food aid programming and in the technical sectors in which the applicant proposes to work

Cost effectiveness and cost realism

The evaluation seeks to determine if the level of resources is appropriate for the number of beneficiaries and degree of change being proposed. Aspects to be considered under this criterion include the justification for program costs: the necessity, reasonableness, and allocability of the costs reflected in the budget and their allowability under the applicable cost principles. Reviewers may also evaluate whether the applicant's proposal is consistent with its cost accounting practices, policies, and procedures including ensuring that the indirect cost rates are consistent with any Negotiated Indirect Cost Rate Agreements (NICRA).

Annex E: Sample SOW for MYAP Coordinator

The following document is a sample SOW for a MYAP Coordinator. As indicated in Annex A, one of the ‘best practices’ is to ensure that a full-time MYAP Coordinator is identified and brought in to manage the MYAP design process, from planning through writing and submission. This SOW outlines responsibilities, milestones, and relationships for a MYAP Coordinator.

SCOPE OF WORK (SOW) FOR COORDINATOR OF THE MULTI-YEAR ASSISTANCE PROGRAM (MYAP) PROPOSAL

Purpose:

The purpose of this Scope of Work is to describe the conditions and responsibilities of the MYAP coordinator to assist in the development and monitoring of progress of the development of the MYAP.

Background:

Catholic Relief Services/X is developing a MYAP for FY xx- FY xx.

Note: Provide background information on the current MYAP if this is to be a follow-on proposal, or other work that CRS is doing or country conditions that have led to the decision to develop a MYAP proposal.

Work to be Accomplished:

The work to be accomplished by the MYAP coordinator shall consist of the following:

- Planning and development of timeframes for the activities included in the MYAP.
- Ensure that proper communication is maintained among all key people involved in the development of the MYAP.
- Ensure staff understanding of compliance with MYAP guidelines.
- Provide strategic, technical, and logistical support to CRS X staff participating in the designated working groups based on the key leverage points.
- Edit and compile concept papers produced from these working groups and put into format suitable for sectoral decision making.
- Work with regional staff to ensure an effective process is being followed in the development of the MYAP and act as liaison to deliver key messages and technical information to CRS X staff.
- Coordinate the organization of programming strategy workshop to be attended by regional technical advisors and key CRS X staff and partners.
- Participate in strategy meetings with Country Representative, Head of Programming and other key staff.
- Coordinate the sector analysis working groups and aid in the production of results frameworks including strategic objectives and intermediate results.
- Coordinate the writing and editing of final MYAP document.
- Aid in the determination of which strategies and interventions will be funded through the MYAP.
- Coordinate the submission of the concept paper and proposal for review through the regional technical review process.
- Ensure the submission of the final MYAP proposal to the local USAID Mission and to CRS HQ.

Milestones:

- ✓ Finalization of timeframe/calendar for MYAP activities
- ✓ Organization of assessments for food security.
- ✓ Organization of data collection for gaps and capacities.
- ✓ Organization of five-day food security analysis workshop.
- ✓ Key leverage point working groups organized and concept papers produced
- ✓ Problem tree workshop conducted
- ✓ Sectoral decisions made for creation of sector/theme working groups
- ✓ Results frameworks developed and compiled into final MYAP document
- ✓ Decisions made concerning interventions to be funded by MYAP
- ✓ Drafting of the MYAP document
- ✓ Submission of the document for technical reviews
- ✓ Final MYAP document submitted

Key Working Relationships:

Internal: Programming Coordinator, Programming Department Heads, Project Managers, Resource Management Coordinator and Staff, Country Representative, Regional Technical Advisors.

External: Local partners and program beneficiaries, other NGOs, donors.

Place of Performance:

The place of performance shall be...

Period of Performance:

The total period of performance for the work to be accomplished of this SOW performance will be approximately 12 months.

Annex F: Summary of MYAP Proposal Development Tips

This is a summary compilation of recommended tips for preparing a MYAP proposal. This summary was created in 2008 by the MYAP Working Group in HQ and is based on a review and analysis of lessons learned from the development of DAPs and MYAPs by CRS in Burkina Faso, Ghana, Kenya, Niger, Rwanda, Zambia, Uganda, Ethiopia, and headquarters.

Country programs should be sure to review and incorporate these practices into their MYAP planning process.

Get Started:

- ✓ Read the FFP MYAP Guidelines, application format, FFP Strategy, related FFP Information Bulletins, FANTA Occasional Papers, and other related reference documents. If new MYAP guidelines are not yet finalized and available, read and follow the guidelines from the previous year until the new guidelines are released.
- ✓ Read, understand, and implement the steps outlined in the MYAP manual.
- ✓ Read and understand the MYAP processes and support/roles described in the CRS document titled *“Protocols for MYAP Proposal Development Standards and Support”*.
- ✓ Ask for clarification or help as needed, within your Country Program staff, Regional staff, and HQ Public Resource Specialist.
- ✓ Identify and communicate with potential consortium members and implementing partners early in the process.

Time:

- ✓ Do not underestimate the amount of time and effort that it takes to develop and prepare a quality MYAP proposal. A minimum of one year is needed for the MYAP development process.
- ✓ High quality consultants need to be identified / committed / hired early (5-6 months prior to the time they will be needed).
- ✓ Ensure sufficient time to prepare for the consultant recruitment.
- ✓ Final evaluations (KPC, etc.) and preparatory assessments should be completed in advance of the initiation of the MYAP design process.
- ✓ Schedule sufficient time to adequately analyze and address the problem analysis, gap analysis, and the development of interventions.
- ✓ Target to have final version of the proposal completed two weeks prior to submission deadline.

Clear Roles and Responsibilities:

- ✓ The in-country MYAP team members and contributing regional and HQ staff should be identified as early as possible with roles and involvement clearly defined with Scopes of Work.
- ✓ The in-county MYAP team should consist of at least the following positions and responsibilities (some

of which can be covered by the same person): MYAP Coordinator, Lead Technical Writer, Technical Working Groups, Budget Point Person, Commodities / Monetization Point Person, Management and Staffing Point Person, Organizational Capacity Point Person, an Editor, and a Proposal Packager.

- ✓ Additional support from consultants should be identified as early as possible with clear Scopes of Work and timeframes.
- ✓ MYAP team members' time should be freed-up by their supervisors to focus on the various stages of the MYAP development process.
- ✓ Have clearly defined internal organization and action plan(s) that address the different tasks to be completed, and the responsibilities of everyone involved in the MYAP development process.

Leadership:

- ✓ Leadership and teamwork will make or break the process.
- ✓ The RD and CR should be involved and committed from the beginning.

Proposal Process:

- ✓ Establish a detailed proposal activity timeline and identify point people early on.
- ✓ Reference CRS' DAP Manual (which is in the process of being updated and will be re-released as the MYAP Manual), or contact your Public Resource Specialist for a sample MYAP activity timeline/schedule.
- ✓ Establish review schedule and confirm reviewers.
- ✓ Identify lead writer, editor, and packager.
- ✓ Identify point people for the budget and cost share compliance, executive summary tables, commodity information, monetization, and management.
- ✓ DRD/PQ, DRD/MQ, and RFOs should be actively involved and support the proposal process, ensuring guidelines, policies, review processes, etc. are known and followed.
- ✓ Be sure to involve relevant and experienced Country Program staff and Regional technical advisors and business development staff, before looking for assistance from HQ or external consultants.
- ✓ Keep the Public Resource Specialists and Business Development Team in the loop.

Proposal Management:

- ✓ The CP should identify an in-house MYAP Coordinator with the responsibility of ensuring that all of the MYAP development processes are undertaken.
- ✓ The MYAP Coordinator must ensure the guidelines are read and followed throughout the process.
- ✓ The MYAP Coordinator should also serve as the point person for all MYAP communication with/or between the CR, HQs, region, and local Mission, and with Technical Working Groups in the CP.
- ✓ Maintain permanent person responsible for coordinating process.

- ✓ Change of this leadership during MYAP development may inhibit the smooth flow of the process.
- ✓ Choosing a point person who is responsible throughout proposal development facilitates the process of writing the document, especially in terms of pulling ideas together, respecting deadlines, organization, etc.
- ✓ No staff person involved in the proposal (HQ, region, CP) should make plans to be out of the office within the last month of the proposal process and until the proposal is submitted.
- ✓ Staff availability should be flexible given potential adjustments in the proposal submission timeline.
- ✓ Be careful that meetings don't take away from time needed to put together the MYAP.
- ✓ Utilize in-country and regional staff who have experience in developing MYAPs.

MYAP Coordinator:

- ✓ It is highly recommended that an individual with MYAP design and/or programming experience assume this responsibility.
- ✓ Once identified, the MYAP Coordinator should keep his/her role throughout the process.
- ✓ The CR should ensure that the MYAP Coordinator's workload is adjusted to allow full attention to the MYAP proposal process.
- ✓ The MYAP Coordinator needs strong support from CR, and the clear authority to implement the process.
- ✓ The MYAP Coordinator should not be the writer, although he/she should work very closely with the lead technical writer and all of the MYAP team members.
- ✓ The MYAP Coordinator must have strong English writing skills.
- ✓ Reference the sample Scope of Work for the MYAP Coordinator in the DAP Manual (which is in the process of being updated and will be re-released as the MYAP Manual).

Lead Technical Writer:

- ✓ The Lead Technical Writer is usually responsible for sections B (Problem Analysis), C (Program Objectives and Design), and D (Complementarity) of the proposal.
- ✓ The CP should identify a MYAP technical writer early on in the MYAP process in consultation with the region and HQ (OSD and PQSD).
- ✓ The lead writer should have a track record of prior MYAP development.
- ✓ The lead writer must write to the guidelines and FFP's "MYAP Proposal Evaluation Scoring System".
- ✓ The lead writer may be an external consultant, HQ TDYer, CP technical writer, or a Regional Technical Advisor.
- ✓ Commitment by this individual (and his/her supervisor as appropriate) to assume this role should be determined early in the process.
- ✓ The CP should develop a clear SOW and timeline for the lead technical writer.

Sectoral Technical Assistance:

- ✓ Include adequate preparation time for the consultant prior to his/her arrival in country. This should include document review perhaps several conference call. This is important because it allows the country program to maximize the consultant's time on the ground.
- ✓ In country programs where English is not the primary working language, any consultant hired needs to be bilingual in order to assure maximum input from local staff during the different stages of proposal development.
- ✓ Ensure very detailed, clear SOWs for consultants, MYAP team members, and for the sectoral and thematic analyses.
- ✓ Need RTA support earlier in the process rather than later (in place of reliance on consultants).
- ✓ All involved, including RTAs, need to be familiar with the unique nature of FFP and understand the purpose and parameters of FFP resources.
- ✓ All involved, including RTAs, need to have a shared project vision.
- ✓ Identify technical staff to provide assistance in the areas of disaster risk reduction (DRR), community resiliency, environmental concerns, and gender.
- ✓ Seek technical assistance when addressing safety net programming, particularly for HIV and TB. Safety net program components must be technically sound and consist of more than just providing food to vulnerable populations.
- ✓ The technical reviewers should be identified early in the process (technical experts covering all of the proposals' sectors, as well as M&E, monetization, budgets, and those knowledgeable in FFP strategy/guidelines, etc.). The reviewers should include representatives from the region, HQ, and in some cases experts from other Country programs.
- ✓ The formation and participation of Technical Working Groups (TWGs) for each sector considered in the MYAP is critical.
- ✓ Review and adapt the sample Scopes of Work available in the MYAP Manual and associated workshop materials
- ✓ Analyzing the environmental impact of proposed MYAP activities (the Initial Environmental Examination—IEE) requires technical assistance from both the regional and headquarters levels.
- ✓ Use local expertise and recruit a local consultant who can comment and make suggestions throughout the MYAP development process.
- ✓ There needs to be at least one strong English speaker and writer on each technical team.

Partnerships/Consortiums:

- ✓ Ensure that HQ is aware of consortium arrangements early in the process and contacts have been made at the HQ level for international organizations as needed. Note that partnerships with some international organization require approval from HQ.

- ✓ Sign Teaming Agreements with consortium members to clarify proposal roles and responsibilities.
- ✓ Clear scopes of work, roles and responsibilities should be developed for each consortium member.
- ✓ Document implementing partnership agreements and ensure that all parties understand roles throughout the MYAP development process and implementation.
- ✓ Stakeholders need to participate and provide input early in process.
- ✓ Participation is a key element to producing a sound document and ensuring ownership of the project by implementing partners, consortium members, and CRS staff. However, the level of participation should gradually narrow down to a few people as the submission date approaches.
- ✓ Have regular exchange meetings/brainstorming sessions.
- ✓ Working in consortium with other organizations allows for a reflection process that is larger in scope and yields a more thorough document, but it also requires that a much longer period of time be allotted for the proposal development process.
- ✓ When working in consortium, it is useful to organize a workshop where the different PVOs can pull together their ideas and come to a common understanding of the proposal and its design.
- ✓ Assign proposal sections, information gathering, drafting, etc. to consortium members and implementing partners as appropriate.

Results Framework and Target First:

- ✓ Begin with a strategic mapping for the entire Country Program. The starting point is usually the CP's SPP and IHD assessment results. As such, the CP's SPP should be in place prior to writing the MYAP, or the MYAP proposal process can be the impetus for a CP to conduct their SPP.
- ✓ MYAP team members need to have a clear understanding of analysis and planning tools—their purpose, design, implementation, and analysis.
- ✓ The Results Framework (Goal, Strategic Objectives, and Intermediate Results) should be developed early in the process.
- ✓ The development of the Results Framework and geographic targeting should be done with partner, CP, and regional staff very early to better focus proposal preparation tasks and project design. It is often useful to do this in a workshop setting where staff are dedicated and focused on these topics.

Budget:

- ✓ One person from the CP should be identified as the point person for leading this process.
- ✓ The RFO should be involved and committed to supporting the budget development process.
- ✓ Use the budget format provided in the FFP Guidelines.
- ✓ Ensure correct country-specific calculations and rates (i.e., cost allocation, national staff benefits, per diem, annual inflation, etc.) are used in the budget.

- ✓ A clear plan on the process required to carry out the budget development of the MYAP is critical.
- ✓ Be knowledgeable on the definition of cost share, USAID's regulations, and CRS' OSD and Finance policy/guidance on including cost share in proposals:
 - ✓ USAID's regulation in 22 CFR Part 226.23.
 - ✓ USAID Acquisition and Assistance Policy Directive (AAPD) 02-10: Cost Sharing in Grants and Cooperative Agreements to Non-Governmental Organizations. Issued 07/11/2002.
 - ✓ OSD Policy: Cost Share For Public Donor Awards (# POL-OSD-PRG-002) updated 03/10/2005 by the Management Policy & Information (MPI) Unit.
- ✓ Finance procedure: Accounting for Cost Share—Procedure (# PRO-FIN-GRT-017.04)
- ✓ Be knowledgeable and correctly apply CRS' new cost allocation policy. Reference the Cost Allocation Policy (# POL-FIN-ALL-020).
- ✓ Level of funding available for the program (maximum) should be determined early on in the process as possible through discussions with FFP/W and the Mission, and looking at the Congressional Budget Justification (CBJ).
- ✓ The CP should have clear strategies (options) for possible reduction in budgets, i.e., cutting sectoral programming areas, reducing the beneficiary target numbers, reducing the number of geographic areas for the program etc. By determining budget cut options early on, random downsizing will be avoided towards the end of the MYAP budgeting process and reduction can be made in a more easy and consistent manner.
- ✓ Discuss the budget with consortium members early on in the process to avoid misunderstandings.
- ✓ Be sure to budget for consortium management costs. Sometimes a separate Consortium Management Unit needs to be established.
- ✓ Review and ensure that numbers match and are consistent throughout the proposal document and annexes.

Commodities and Monetization:

- ✓ Conduct the Bellmon Analysis early on, this will allow you to determine the commodities you can use.
- ✓ If FFP is conducting the Bellmon Analysis, proactively try to participate in the process.
- ✓ Seek and follow guidance from Monetization/Commodity Advisors on commodity prices, availability, logistics, and freight.
- ✓ Verify with HQ that Executive Summary, commodity tables, prices, etc. sent out by FFP are correct and current.
- ✓ Be aware of and address any country specific tax issues regarding monetization proceeds.
- ✓ Review and ensure that numbers match and are consistent throughout the proposal document and annexes.

Review Process:

- ✓ At the start of the MYAP proposal process, create a technical and compliance review process document that identifies the purpose and timeframes for reviews and identifies specific reviewers.
- ✓ Be sure to get the commitment of each reviewer.
- ✓ When sending draft and final documents for review, provide guidance to the technical reviewers on what sections they should be reviewing, the purpose of their review, and what criteria they should be using for their review. FFP's MYAP Evaluation Scoring System document should be sent and used by the reviewers.
- ✓ CP should provide guidance on how they want the reviewers to provide their comments/suggestions, i.e., using Track Changes, inserting Comment notes, in a separate document, etc.
- ✓ Technical comments on the proposal should be oriented toward proposing alternative solutions rather than critiquing the document.
- ✓ The comments/suggestions provided by the reviewers should be addressed and incorporated into the proposal by someone with the specific technical knowledge, such as the Lead Technical Writer working with the Technical Working Groups (TWGs).
- ✓ IEE—be sure to make adjustments as changes are made and ensure figures/information correspond to proposal narrative.
- ✓ Provide fuller, more complete drafts for review so reviewers can look at all of the related sections for consistency, which is difficult to do when the draft is provided in a piecemeal manner.
- ✓ A final review should be conducted to ensure that numbers match and are consistent throughout the proposal document and annexes.

Care and Feeding of Staff:

- ✓ Have “stress-relief” days or activities.
- ✓ Ensure balance between health and work—allow for comp time or rest days.
- ✓ Ensure sufficient logistics capacity, equipment, and personnel.
- ✓ Make sure TDYers have safe, comfortable, and secure accommodations that include options for exercise and privacy.
- ✓ At the end, have a gathering / reception for key process participants and reward them.

Annex G: Thresholds for Food Security Mapping Indicators

Following is a selection of food security indicators and suggested threshold points and ranges that can be used for conducting the food security mapping exercise in Step 1.3.

- Stunting prevalence range (% of children below -2 Z-scores): 30-39% (moderate), ≥40% (severe) (WHO 1995)
- Underweight prevalence range (% of children below -2 Z-scores): 20-29% (moderate), ≥30% (severe) (WHO 1995)
- Wasted prevalence range (% of children below -2 Z-scores): 10-14% (moderate), ≥30% (severe) (WHO 1995)
- Prevalence of Vitamin A deficiency (VAD): 10-20% (moderate), ≥20% (severe) (WHO 2000)
- Prevalence of iodine deficiency disorders (IDD): 20-29% (moderate), ≥30% (severe) (WHO 2000)
- Prevalence of iron deficiency anemia (IDA): 20-39% (moderate), ≥40% (severe) (WHO 2000)
- Diarrhea: >25% (FANTA 1999, WHO 2000)
- HIV prevalence: ≥5%
- Crude Mortality Rate: 1 deaths/10,000/day (emergency); 2 deaths/10,000/day (major crisis)
- Access to drinking water: Minimum drinking water requirements for survival in a temperate climate with normal activities have been estimated by different experts at 2.5 to 5 liters per capita per day (lcd) (FANTA 1999)
- Access to water for basic uses (basic uses include drinking, bathing, food preparation and hygiene and sanitation): <50 lcd (<40 lcd set by USAID, the World Bank, and WHO, which excludes water for cooking and cleaning) (FANTA 1999)
- Coverage and use of hygienic toilet or latrines: <75% (Bateman and Smith 1991 in FANTA 1999)
- Percent of population living below the poverty line (head count index): >50% of the population in the region (World Bank 2000)
- Per capita GDP: Whether per capita GDP for the region is less than or equal to the poverty threshold defined for the country (World Bank 2000)
- Percent of consumption needs met by local production: ≤75%

Sources:

- Billig, P., D. Bendahmane and A. Swindale. 1999. *Water and Sanitation Indicator Measurement Guide*. Washington, D.C.: Food and Nutrition Technical Assistance (FANTA) Project, Academy for Educational Development (AED). Available at <http://www.fantaproject.org/downloads/pdfs/watsan.pdf>
- World Bank. 2000. *World Development Report 2000/2001: Attacking Poverty*. Washington, D.C.: World Bank.
- WHO. 1995. *Physical Status: The Use and Interpretation of Anthropometry. Report of a WHO Expert Committee*. WHO Technical Report Series 845. Geneva: World Health Organization (WHO).
- WHO. 2000. *The Management of Nutrition in Major Emergencies*. Geneva: World Health Organization (WHO).

Annex H: Sample SOW for a MYAP Livelihood / Micro-Level Food Security Assessment

The following document is an example SOW for a livelihoods / micro-level food security assessment for a MYAP. This SOW includes a goal, objectives, proposed methodology, deliverables, and timeframe for the assessment. The assessment should be conducted by CRS staff and partners with training in rapid rural appraisal and other participatory methods. At times, an experienced consultant may be engaged to work with the team. The team should be made up of men and women with expertise in relevant areas, including agriculture, agro-enterprise, environment, microfinance, education, water and sanitation, gender, maternal and child health, nutrition, and HIV.

Country programs should ensure adequate time is available to prepare communities for the arrival of the assessment team (e.g., it should be clear what the purpose of the study is, request permission for data collection, and ensure it is clear that at this point CRS cannot guarantee funding for any projects), data collection, data analysis and reporting. Community selection should be representative of the area where CRS hopes to implement the MYAP. Communities selected should represent the livelihood strategies common in the area. Livelihood strategies may be based on ethnicity, agro-ecological zone and/or access to infrastructure (e.g., all communities should not be located just along the main road). Communities selected for the assessments should mirror the diversity of communities in which CRS and its partner anticipate working.

This SOW is an example and will have to be adapted depending on the local context and at the amount of data already collected by the country program for other purposes (see Figure 3.3.).

Assessing Livelihood and Food Security: A Micro-Level Food Security Assessment Sample Scope of Work

I. Purpose:

The purpose of this Scope of Work (SOW) is to describe the overall objectives of an assessment of livelihoods and food security in targeted geographic areas of X. This assessment will be used by Catholic Relief Services X and its partners to analyze the livelihood and food security situation in X. This information will be used to develop an integrated and comprehensive food and livelihood security program funded by USAID/FFP (Multi-Year Assistance Program, or MYAP) in FYXX.

II. Background:

Since XX, CRS has been implementing education, health and emergency response programs in X. In preparation for its Multi-Year Assistance Program (MYAP), CRS X collected a variety of secondary data on the food security situation in the country, using this data to conduct a food security mapping exercise and to determine the areas of geographic and sectoral priority.

While a substantial amount of data was collected from a variety of sources, there is still a need for a micro-level food security assessments in targeted geographic regions in order to conduct geographic targeting within regions, identifying other key stakeholders in the area, identify programmatic gaps and to determine which sectors and themes might be appropriate for a future MYAP.

III. Goal and Objectives of the Livelihood & Micro-Level Food Security Assessment:

The overall purpose of this assessment is to address the following questions:

- **What is the food and livelihood security situation in targeted areas of the country?** In other words, are households able to meet their minimum levels of basic needs sustainably (food security, shelter and education) while living in dignity? Or are certain villages and households suffering from livelihood insecurity?
- If livelihood insecurity exists in targeted regions, **what type of livelihood insecurity exists?** In other words, do households suffer from inadequate access to basic needs such as food, water, hygiene, health, limited educational opportunities or all of the above?
- **Who** are the households or individuals most affected by food and livelihood insecurity i.e., who is most vulnerable? **Why** are they vulnerable? **Where** are they located?
- What are the local, regional and national **shocks that affect households in these areas? Which communities and households are at risk (i.e., likely to be affected) for these shocks? Of those at risk, which households are the most vulnerable** (in other words, being affected by the shock will result in an unacceptable level of food or livelihood insecurity)?
- **What are the strategies that households use to achieve food and livelihood security in these targeted areas? Are these strategies sustainable?**
- What **assets** do households use to implement these livelihood strategies?
- **Who has access to assets?**
- What **systems and structures** exist at the local, regional and national level to support or undermine households' livelihood strategies?
- **How can assets be used to influence systems and structures?**
- Based upon the above, **what might be the potential recommendations for non-governmental and governmental organizations to support villages and households in improving their livelihood security on a sustainable basis?**

Specific objectives related to these questions include the following:

Objective 1: Using primary and secondary data collected with communities, **determine whether there is a livelihood security “problem” in the targeted regions, the type of livelihood insecurity problem, who is affected and the most vulnerable areas within each region.** Livelihood security is defined as when “people are able to lead full and productive lives, meeting their basic needs sustainably while living with dignity”, livelihood security should be assessed by collecting data on the livelihood security outcomes at the village and household level. This includes information on whether households have sustainable access to basic needs (food security, including food, water and health; education; and shelter) and human dignity (including personal empowerment and personal security). As livelihood security has several outcomes, it is possible that livelihood insecurity could be related primarily to food insecurity (when an individual or household does not have either physical and economic access to sufficient food and water to meet their needs for a productive and healthy life today or the good health to use it properly) or limited participation in associational life.

Objective 2: Using primary and secondary data collected with communities, **identify the primary risks and vulnerabilities that affect households' current and future food and livelihood security.** Recall that shocks are events that can have a negative impact on food or livelihood security, **risks** are the likelihood of being affected by the shock, and **vulnerability** is the uninsured risk of these households that will result in an

unacceptable level of food or livelihood insecurity. The assessment should therefore collect data on historical and potential natural and human-made shocks.

Objective 3: Using primary and secondary data collected, *determine the types of food and livelihood security strategies the most commonly used by individuals and households to assure their livelihood security in the country.* In the food security framework, households' strategies to achieve food security include increasing their availability of and access to food, improving the utilization of food, and increasing their resilience to man-made and natural shocks. In the livelihood security framework, households use a variety of strategies to ensure their livelihood security, including maximizing and/or diversifying their available assets, minimizing their risks, participating in associational life and, where shocks are probable, planning for shocks to decrease losses and improve asset recovery.

Objective 4: Using the primary and secondary data collected, *identify the primary resources that households use to achieve food or livelihood security.* These resources include households' assets (assets are something **tangible** or **intangible** that you own, have a claim to, or have access to); they include human/spiritual, physical, social, political, natural and financial assets. Additional resources include the **systems and structures** in place at the local, regional and national level, including institutions (e.g., agricultural extension service or health center), policies (e.g., HIV and AIDS policy) as well as cultural norms and socio-economic/political/religious systems.

Objective 5: **Based upon whether a livelihood security threat exists, the strategies that households use to meet their livelihood security, the assets, systems and structures and risks in place, develop potential recommendations for interventions, with a focus on the targeted geographic areas (i.e., targeted areas within each region), the target groups (i.e., villages, households within villages or individuals within households) and potential sectoral interventions for a future MYAP.** It should be noted that while these recommendations could be developed with the communities, since it is not certain that CRS will intervene in the selected villages, this must be carefully explained to participating communities so as to not raise undue expectations. In addition, programmatic recommendations will not be final in determining future strategic directions for the MYAP; rather, the data collected during the assessment will be used to conduct a problem tree exercise by CRS and its partners of the livelihood security situation in the country. This analysis will then be used to determine key leverage points and sectoral priorities for a future MYAP. However, the assessment should offer recommendations for such sectoral priorities based upon the primary data collection process.

In order to meet the above objectives, the following data are required:

Objective	Some Suggested Data Needs
1. Existence and nature of a food security problem	<ul style="list-style-type: none"> • % of the population in a particular village or area living in extreme poverty (i.e., a wealth ranking exercise) • Food consumption patterns of different groups in the community across communities (food consumed, # of meals per day during a good and bad year) • Number of meals per day and/or number of months of reduced consumption (in terms of quality or quantity) in the area (consumption calendar) in each village • Indicators of health and/or nutritional status in the village (e.g. prevalence of wasting, stunting, micronutrient deficiencies, exclusive breast feeding, other infant and young child feeding practices) • % of the population that is literate and/or enrolled in school
2. Risks and vulnerabilities	<ul style="list-style-type: none"> • Type and frequency of shocks, cycles and trends in the community (e.g., fluctuation in the price of inputs or food, deaths from HIV, HIV prevalence, number of droughts/floods/locust invasions over the past 5 years, conflicts, other hazards the community may mention)
3. Primary food/livelihood security strategies	<ul style="list-style-type: none"> • Main income-generating activities used by different groups in the village: agriculture, herding, petty trade, commerce, etc. (access) • If an agricultural area, the main crops produced by households in the village and the uses of those crops (own consumption, sale, etc) (availability) • # of months that production covers food consumption needs • # of months that other income-generating activities cover consumption needs • Households' coping strategies used in response to a shock • Main health practices used by households to identify and manage health crises • Major disease in the community by wealth group, age, and gender (utilization) • % of children attending school in the village (utilization) • Households' participation in local or regional structures, such as village associations, cereal banks, etc.
4. Primary resources available (assets and systems/structures)	<ul style="list-style-type: none"> • Type, use and quality of assets used by households for all asset categories: natural (land, water), social (organizations, community), physical, financial (access to credit, savings), political (participation in local/national political structure) • Type of systems and structures in place at the local, regional and national level (e.g., agricultural extension systems, existence of a school/health center in the village, quality of the road leading to the village, etc.)
5. Potential recommendations	<ul style="list-style-type: none"> • The existence of other NGO or governmental operations in the village or area, the type of interventions, the duration of the interventions and their impact/quality

A key consideration for this study will be the geographic coverage. While covering all villages in each geographic area will be impossible, collecting data from different types of villages and for different groups within the village would be optimal. This could entail two approaches: a smaller sample size in each region (i.e., smaller number of villages but detailed data collection in each village); or a larger number of villages but with more limited data collection in each village.

ANNEXES

V. Proposed Methodology:

The assessment should use a participatory process whereby project participants at all levels—community, market participants, partners, CRS and other potential Title II consortium members, and other governmental and non-governmental organizations — are involved in the information gathering, analysis, conclusions and recommendations.

The first phase of the assessment will consist of **reviewing existing data**. Since a substantial amount of quantitative information on food security in X was collected during the macro-level food security assessment including reports by CRS, other NGOs, international organizations, academic research, etc. the micro-

level food security assessment will use secondary data already collected, and focus this assessment on data collection from primary sources. The methodological design of the study should complement existing information sources on the food and livelihood security situation in X.

The second phase of the assessment will consist of **planning**—clarifying the assessment’s goal and objectives, assembling and refining the assessment tools and planning logistical arrangements. The team leader will work with the team members to establish a detailed action plan for the study, including identifying data collection sites, selecting key informant interviewees and developing proposed questionnaires and/or RRA checklists. Before developing the tools, the team should develop a detailed list of information required to meet each objective. Once this list is developed, the team should determine the best way to collect such information. In many food and livelihood security assessments, the primary data collection methods used is RRA techniques; a copy of the types of RRA tools is an appendix to this document. The team will begin its work in the capital city, where the team will meet with key CRS and other staff to review the proposed work plan, finalize logistical arrangements for fieldwork, review the Scope of Work, review available documentation, and finalize checklists and open-ended questionnaires.

In order to decide the best way to collect the necessary data, it is suggested that the team review the objectives, and then determine which RRA technique(s) should be used to meet each objective of the RRA. Several tools can be used for each objective, and the same technique can be used for different objectives. Possible data collection methods include:

- In-Depth Interviews of Key Informants, such as governmental, NGO staff, and market participants
- Focus group discussions, with village elders, women, men, male youth, and female youth around topics related to food security
- Additional tools might include: wealth ranking, Venn diagrams, agricultural calendars, mobility mapping, etc.

Once the targeted communities have been identified, an essential component of the logistical arrangements is visiting the communities ahead of time to provide information about the purpose of the assessment and ensure that it will be feasible to conduct the data at the proposed time.

The third phase of the study will consist of **fieldwork**, whereby the team members will visit targeted communities and collect data using the tools developed in the planning phase over the course of X-days. Out of respect for the communities, Team members will engage in analysis in the evenings and adjust the following day’s activities based on remaining informational needs. The team will also ensure that adequate will be available to provide feedback to the communities and get their perspective. The assessment will focus on both quantitative and qualitative methodologies where appropriate, and will use an iterative process for information analysis.

The forth phase will consist of the **analysis and interpretation of the results and conclusions drawn**. The team leader with assistance from team members will formulate preliminary lessons learned, summarize findings, present results to key stakeholders for their validation and interpretation, and write the report. The time frame for the key deliverables appears at the end of this document.

VI. Deliverables:

The following items constitute the primary deliverables associated with the assessment:

- Preliminary work plan, logistics plan, and detailed schedule
- Draft and final interview guides and/or checklists of information required in English and in French (or other languages) for different target groups

- Report Outline, highlighting major sections and themes to be covered
- Presentation of key findings to CRS staff and partners (in French and English)
- Consolidated Draft Report
- Final Report

All deliverables should be submitted in both electronic and hard copies.

VII. Composition of the Team:

The team will include men and women with various backgrounds and skills in order to address the various components of food security. The proposed team leader is XX. Additional team members include CRS staff, and relevant partner and governmental staff (e.g., FEWS, Diocese of X, district health officer).

VIII. Deliverables and Schedule:

The livelihood assessment will commence in XXX and shall be completed within three weeks (3) weeks. The proposed deliverables and schedule required for the successful completion of this SOW are as follows:

Proposed Time	Activity	Person Responsible and Location	Approximate Time
	Identification of team leader(s) and team members from CRS and partners (and others if appropriate)		
	Collection of secondary data and documents on the food/livelihood security situation in X and summary of data collected sent to team members (much of this should be collected as part of the marco-level food security assessment)		
	Review of background documents		
	Discussion of identification of site visits and logistical planning		
	Initial action plan developed		
	Detailed list of data required for each objective developed		
	Determination of best data collection techniques for each objective developed		
	Identification of key groups to meet within each village (i.e., women/men/youths; village chiefs; local authorities; etc)		
	Draft checklists of data required developed and tools used to collect the data (e.g. wealth ranking, agricultural calendar, transect walk, etc.)		
	Draft open-ended interview guides developed for each group		

	Visit to proposed communities to provide information about the assessment and request permission to implement the assessment		
	Data collection in select regions	Team members, various sites in X	3 weeks
	Share & validate findings with the community	Team members, various sites in X	
	Participatory analysis of results and consultations with key stakeholders	Study Teams The capital city	5 days
	Presentation of draft results		
	Draft Report Submitted		1 day
	Debriefing of CRS and PVO staff		
	Final Report Preparation and submission by Team Leader		10 days

IX. Place of Performance:

The assessment activities will take place in-country between the capital city and selected villages.

The place of performance for pre-study preparation activities and report finalization will be the team members’ place of residence and in X.

X. Key Working Relationships:

Internal: CRS X Country Representative and the Management Teams, CRS X Program Managers (Agriculture, Health, HIV, Microfinance, Water, Education, Peacebuilding, Governance, Emergency/Disaster Risk Reduction, Gender, M&E), DAP Coordinator, and CRS X Administration and Finance Staff.

External: Key Partner Staff, non-governmental organizations (Title II PVOs, WFP, FEWS) governmental authorities, international organizations (WFP, UNICEF), communities, USAID/FFP staff.

XI. Contractual Relationship:

The consultant selected to perform the services described herein, or others as may be required, will enter into a contract with CRS.

Note: The basic terms of that contract should be outlined here, notably the number of days or work hours being contracted, including any travel days, special accommodation information (i.e. staying in a CRS guesthouse versus a hotel), etc.

ANNEXES

XII. Contact Persons:

Note: Insert the name and contact information for the person who will be managing this activity, most likely the MYAP Coordinator.

Annex I: Food Security Data Fact Sheet Example

This annex includes the Food Security Data Fact Sheet compiled by the Democratic Republic of the Congo at the start of their MYAP process. The type of information included in this fact sheet is used to feed into the initial macro food security assessment and mapping exercise, Step 1.3., and food security problem analysis, Step 1.5.

FOOD SECURITY DATA FACT SHEET

Democratic Republic of Congo

June 2007

I. General Demographic Statistics	
Total Population:	55,853 (WHO, 2004), 57,549 (UNICEF, 2005) 65,751,512 (Central Intelligence Agency (CIA) July 2007 est), 57.5 (World Bank (WB), 2005), 57,549 (WHO, 2005), 59.3 (UNFPA, 2006)
Median Age:	16.1 years (15.8 males, 16.4 females) (WHR, 2004). 54% of population under 18 years old (UNICEF, 2005).
Breakdown by age	47.6% 0-14 years (CIA, 2007 est)
	49.9% 15-64 years (CIA, 2007 est)
	2.6% 65 + years (CIA, 2007 est)
	<5 = 11,209,000 (WHO, 2005), <15 = 27,205,000 (WHO, 2005), Female 15-49 years = 12,716,000 (WHO, 2005)
Breakdown by sex	51% Female, 49% male (Multi-Indicator Cluster Survey (MICS), 2001)
Growth Rate	2.5% (WHO, 1994-2004), 3.39% (CIA July 2007 est), 3.0% (WB, 2005), 2.8% (UNESCO, 2005), 3.1% (UNFPA, 2006)
Urban population	33% of population in urban areas with growth rate of 3.9% seen from 1990-2005. (UNICEF, 2005). 32% (UNFPA, 2005)
Life Expectancy at birth – Male	42 (WHO, 2004), 54.97 (CIA 2007 est), 42.1 (UN Pop Stat, 2004)
Life Expectancy at birth – Female	47 (WHO, 2004), 59.5 (CIA 2007 est), 44.1 (UN Pop Stat, 2004)
Life Expectancy – All	43.1 years (UN Pop Stat., 2004)
Fertility Rate	6.7 per woman (UNICEF, 2005), 6.37 children born per woman (CIA July 2007 est)
II. Health Statistics	
Under five mortality rate	<ul style="list-style-type: none"> • 205/1000 (WHO, 2004). There is a remarkable difference between the male mortality rate of 217/1000 and females at 165/1000. • 205/1000 (UNICEF, 2005) • 205/1000 (WB, 2005)
Approximately 1200 people die per day in the DRC due mainly to preventable diseases including malnutrition and infectious disease (IRC Mortality study 2006)	
Malaria accounts for 45% of childhood death (WHO nutrition proposal, 2005)	
Maternal Mortality	1,289/100,000 births all DRC, ~ 3,000/100,000 in Eastern DRC (WHO nutrition proposal, 2005)
Those in the “plus pauvres” category exclusively breastfeed more at 38% compared to the “plus riches” with 29.4% for children under 4 months old (MICS, 2001)	

93% of households use iodized salt with the lowest rate found in Katanga (86.0%) and Kasai Occidentale (87.9%) and the most in Kinshasa (98.8%) and Maniema (97.8%) (MICS, 2001)	
Percent of 1 year old children who received the following vaccinations: (UNICEF, 2005)	
BCG:	84%
DPT1:	82%
DPT3:	73%
Polio:	73%
Measles:	70%
Tetanus (newborns):	66%
Vitamin A Supplementation (6-59 months):	81% (UNICEF, 2004)
Percentage of children <5 chronically malnourished (stunting):	38% (UNICEF, 2005), 70% Nord-Kivu (WHO nutrition proposal, 2005)
Urban population has 28.9% (moderate) and 13.4% (severe) while rural areas have 42.6% (moderate) and 23.7% (severe) – (MICS, 2001)	
Percentage of children <5 with acute malnutrition (wasting):	13% (UNICEF, 2005)
Urban population has 12.1% (moderate) and 2.5% (severe) while rural areas have 14.1% (moderate) and 3.4% (severe) – (MICS 2001)	
Households with more wealth and higher educational level of the mother have lower malnutrition rates (MICS, 2001)	
Percentage of children <5 underweight (moderate or severe):	31% (UNICEF, 2005)
HIV prevalence:	3.2% for ≥15 years (UNICEF, 2005), 4.2% (CIA, 2003), 3.2% (WB, 2005), 5%
III. Agriculture Environment	
71% of population suffer food insecurity (FAO, UNDP, 2005 Human Development Report)	
Main agro-ecological zones	Equatorial River basin—dense tropical rainforest, south—highlands, east—highlands
Rainfall	<ul style="list-style-type: none"> • Equatorial River basin—hot, humid • South of Equator—cooler and drier—wet season from November to March • North of Equator—wet season from April to October, dry season from December to February • Overall cooler and wetter in Eastern Highlands • Periodic droughts in south and periodic floods along Congo River
Farming Systems	<ul style="list-style-type: none"> • Agriculture is central to the lives of the 68% of Congolese living in rural areas. (FAO stat November, 2006) • Major agricultural products include cassava (14951000T), plantains (1199000T), groundnuts (364000T) (FAOSTAT November, 2006) • Food production per person equal 8700 (8T) in 2004 • Less than 10% of land is developed for agriculture of that 13500 ha is irrigated. (WARDA Annual Report 2004-2005) • 44% of land is used for pasture and 23 arable, 11000 ha of irrigated land (FAOSTAT March 06) • Land use: Agriculture 3%; pasture 7%; forest/woodland 77%; other 13% (Department of State)

Production	<ul style="list-style-type: none"> • Agriculture is central to the lives of the 68% of Congolese living in rural areas. with 8 people/arable land, using no tractor (0.4 tractors/arable land), (FAO stat November, 2006) • Major agricultural production are cassava (14951000T), plantains (1199000T), groundnuts shell (364000T) (FAOSTAT November, 2006)— • Cash crops: coffee, rubber, palm oil, cotton, cocoa, sugar, tea. Food crops: manioc, corn, legumes, plantains, peanuts. (DOS, 2006) • Food production per person equal 8700 (8T) and 7800000 ha of permanent crops in 2004(foastat nov 2006) • Index number for food production per person 2001-2003 equal 93 (FAOSTAT, March 2006)
Conflict leave a legacy of declining agriculture production with Cereals alone showing a 20% fall in pre-conflict production and weakened infrastructure (WARDA annual report 2004-2005)	
IV. Food Consumption	
Average daily calories available per capita (SYAP – check resource):	1,535 calories per day compared to recommended 2100
<ul style="list-style-type: none"> • DRC is listed on the Low Income Food Deficit Country (LIFDC) (FFP, March 01, 2005) • Food consumption (Major items) share of total dietary energy supply from 2001-2003 are : 55% cassava and products, 12% maize and products, 6% palm oil (FAOSTAT, November, 2006) 	
V. Economy and Poverty	
<ul style="list-style-type: none"> • GDP (2005): \$7.1 up from 6.5 in 2004 (CIA, 2007) • GNP per capita estimated to \$120 (WB, 2005) • Annual GDP growth rate (2005): 6%. • An estimated 80% of the population lives on less than .20\$ a day (WB, 2007) • Trade: Exports (2002)—\$1.040 billion. Products—diamonds, cobalt, copper, coffee, petroleum. Partners--E.U., Japan, South Africa, U.S., China. Imports (2002)—\$1.216 billion. Products—consumer goods (food, textiles), capital equipment, refined petroleum products. Partners—E.U., China, South Africa, U.S. • Total external debt (2002): \$8.211 billion (Currently under revision due to HIPC decision point in 2003). • Agriculture is the mainstay of the Congolese economy, accounting for 56.3% of GDP in 2002. • The main cash crops include coffee, palm oil, rubber, cotton, sugar, tea, and cocoa. • Food crops include cassava, plantains, maize, groundnuts, and rice. • Diamonds continue to dominate exports, accounting for over half of exports (\$642 million) in 2003. • Growth is at approximately 6 percent a year, driven mainly by the resumption of economic activities (a pattern typical of post-conflict countries), agriculture, and selected manufacturing and services (WB Brief, 2006). 	
GDP by sector: (CIA, 2007)	55% Agriculture
	11% Industry
	34% Services
VI. Education	
Literacy Rate (≥15 years):	67.2% (WB, 2006)
Male	81% (UNESCO, 2004)
Female	54% (UNESCO, 2004)
There are no formal policies on financing non-formal education (WB, 2006)	
Primary School enrollment ratio:	64% (WB, 2002)
Male	51% (UNICEF, 2005)
Female	46% (UNICEF, 2005)
Secondary School enrollment ratio:	23% (WB, 2002)

Male	24% (UNICEF, 2005)
Female	12% (UNICEF, 2005)
Tertiary School Enrollment:	6% (WB, 2002)
<ul style="list-style-type: none"> • Approximately 70% of primary schools run by churches (WB, 2006) • Estimated 1/3 of schools in poor condition and cannot protect from weather and have no latrines (WB, 2006) • An estimated 180,000 teachers are older than the average life expectancy in the DRC (WB, 2006) • 1/3 of children in urban areas and 1/5 of children in rural areas reach the 5th grade (WB, 2006) • Less than 10% of national budget is allocated to education. From 6% in 2002 to 8.8% in 2005) (WB, 2006) • Though primary education is mandatory, households most often finance schools and teachers salaries (WB, 2006) • 4.4 million school aged children not in school (Humanitarian Action Report (HAR), 2007) 	
VII. Water and Sanitation	
Pop with access to drinking water	46% (WHO, UNICEF, 2004)
Urban:	82% (WHO, UNICEF, 2004)
Rural:	29% (WHO, UNICEF, 2004)
Pop with access to improved sanitation:	30% (WHO, UNICEF, 2004)
Urban:	42% (WHO, 2004)
Rural:	25% (WHO, 2004)
<ul style="list-style-type: none"> • 22% of population have access to safe drinking water (HAR, 2007) • 9 percent of population of have access to improved water and sanitation (HAR, 2007) 	
VIII. Infrastructure	
Roads	2,794 km of paved roads, 150,703 km of unpaved road (CIA, 2007)
<ul style="list-style-type: none"> • 90% of roads are impassable due to their poor state (WFP 2006) 	
Waterways	1500 km (CIA, 2005)
Railways	5138 km (CIA, 2005)

Annex J: Sample SOW for Sectoral Assessments—Agriculture Example

In support of steps 2.1 and 2.2, this annex includes a sample SOW for a sectoral specific assessment in the agriculture sector. This type of sectoral specific assessment builds on the livelihood / food security assessment conducted earlier in the process and collects more detailed and focused information that will then feed into the project design.

SCOPE OF WORK FOR THE DESIGN OF A SECTORAL INTERVENTION IN AGRICULTURE AND NATURAL RESOURCE MANAGEMENT FOR A MYAP

PURPOSE

The purpose of the Scope of Work (SOW) is to describe the conditions and responsibilities of a consultant to be contracted by Catholic Relief Services (CRS) to undertake an assessment of the agricultural and natural resource management sectors in North Kivu, South Kivu and Eastern Kasai provinces of the Democratic Republic of the Congo. He/she will be expected to analyze the agricultural and natural resource management situation in these targeted areas, with a specific focus on the strengths, weaknesses, obstacles and potential for farmers and farmer associations. This analysis will be used to assist CRS and IMA in developing interventions for a new Title II assistance proposal from FY09-FY13.

BACKGROUND

Catholic Relief Services has a large program in the DRC focused primarily in Southern and Eastern Congo. In Eastern Congo, CRS has supported programming to assist returning war-displaced families, rehabilitate transportation infrastructure, support agricultural recovery, and strengthen local capacity for emergency preparedness and response, as well as for advocacy, nonviolent conflict resolution and trauma counseling for victims of sexual violence. Currently, CRS provides support to people living with HIV as well as AIDS orphans and vulnerable children, strengthens health care management and service delivery in 21 health zones in South Kivu province, assists farmers to maintain agricultural production despite the cassava mosaic and banana xanthomonas wilt epidemics ravaging these two staple crops in Central Africa, and helps improve community water and sanitation infrastructure in areas where there are IDPs and returning refugees. All programming is done through local partners.

IMA has a varied program in the Eastern Kasai that includes Water and Sanitation, Health and agriculture, and agricultural programming.

Catholic Relief Services, along with Interchurch Medical Assistance, Caritas, and other local partners, are developing a proposal for a Title II Multi-Year Assistance Plan. At the end of July 2007, CRS organized preliminary field assessments in two villages in North Kivu and four villages in South Kivu. Six multidisciplinary teams were formed from CRS and local partner staff, all were trained in Rapid Rural Appraisal and were dispatched to the respective villages where they spent four days gathering information. The host communities formed representative interdisciplinary teams to work with the field assessment teams and facilitate contacts and other support for the teams. The field assessments had the following information-gathering objectives:

1. Obtain descriptive information about the community (history, social structure, economy)
2. Determine the health status of the community (nutrition, water, diseases)
3. Describe the characteristics of food security in the community (food availability, income, eating habits)

4. Assess the level of peace/conflict/violence within the community
5. Describe the resources owned by a typical family (financial, physical, natural, training/knowledge, political influence, social network)
6. Describe the trends, cycles and shocks (possible dangers) that affect livelihoods and food security in the community
7. Describe the strategies families have developed to respond to these shocks

All teams produced written reports and were debriefed by the CRS Head of Programs. An overall report, including information from the debriefing, was also written. These documents were analyzed by working groups of CRS and partner program managers who developed cause-effect problem trees to help identify the key strategic sectors that would most bolster the food security of the concerned communities. Those sectors are: 1) Agriculture and Natural Resource Management (deforestation); 2) Health and Water and Sanitation; 3) Advocacy and Good Governance; and 4) Emergency Preparedness.

III. WORK TO BE ACCOMPLISHED

Tasks to be accomplished by the consultant shall include the following:

- **Assessment of the agriculture sector**, including the specific objectives outlined in Section 3
- Recommendations of appropriate agricultural and natural resource management strategies and interventions for CRS and IMA Title II programs.

These tasks should be included in a final comprehensive report submitted to CRS.

IV. GOAL AND OBJECTIVES OF THE SECTORAL ASSESSMENT

The purpose of this assessment is to collect primary and secondary data on the agricultural and environmental situation in the targeted regions in order to allow CRS to design an appropriate sectoral intervention to include in the MYAP proposal. The overarching objectives of the assessment:

1. **Collect quantitative and qualitative primary and secondary data on the agricultural situation in targeted areas, with a specific focus on farmers and farmers associations, opportunities for agribusiness/supply chain marketing, and conservation initiatives**, in order to inform CRS and IMA's geographic targeting of agricultural and natural resource management programs and problem analysis of the agriculture sector.
2. **Identify non-governmental and governmental partners implementing agricultural and natural resource management programs in the targeted regions**, and make recommendations for potential partners (gap analysis).
3. **Collect data on the capacities** of CRS, IMA, current and potential partners in agriculture and natural resource management, and provide recommendations for future partnering.
4. **Provide recommendations for future agriculture and natural-resource-management programming, based upon needs, gaps, capacities, CRS' principles and USAID/FFP priorities.**

The specific objectives related to the four main objectives outlined above include the following:

1. *Collect quantitative and qualitative primary and secondary data on the agricultural situation in targeted areas, with a specific focus on the strengths, weaknesses, opportunities and potential of farmer’s associations and reforestation initiatives, in order to inform CRS and IMA’s geographic targeting of agricultural and natural resource management programs and problem analysis of the agriculture sector.*

The proposed study should collect primary and secondary data on the agricultural sector in the targeted regions, including, but not limited to, the following areas:

- ***A description of the food and/or livelihood security situation in the zone***, noting whether households are able to meet their basic needs (food, water, health, shelter) or have food security throughout the year. This should specify the gravity of the situation, the times of year populations are most affected and the types of populations that are most affected.¹⁰⁹
- ***A description of the agriculture and related livelihood strategies used by households in the region.*** This includes primarily an overview of the ***production, use and sale*** of staple food crops, cash crops, seeds, livestock, game, timber and other forest products, amounts produced and yields, periods of year and primary uses (consumption, processing and/or sale) of crops, livestock and forest products. Other non-agriculture related livelihood strategies should be described as well.
- ***Key characteristics or “capitals” of the area, with a focus on agricultural systems.***¹¹⁰ This should include information on soil quality, land size, access to land (by gender) and land ownership patterns, use of inputs, access to water for agriculture and consumption, key agricultural/natural resource management practices and knowledge, deforestation and climate change, storage practices and facilities, access to credit and savings, and other capitals (human, physical, financial, political or natural capital).
- ***Key characteristics of the marketing systems***, including the main crops sold, the final markets of sale, the “characteristics” of these products (i.e., transformation and quality), farm-gate and final market prices, storage and transport costs and networks, key buyers and sellers, key “marketing” (i.e., storage, transformation, consolidation) practices and knowledge and products that are in high demand.
- ***Community and regional-level policies and dynamics that affect people’s livelihoods***
- ***Identification or primary agroclimatic and non-agroclimatic shocks, and determination of the ways in which households prepare for, mitigate and respond to shocks*** such as droughts, floods, locusts, plant diseases and conflicts.

In addition to this overall information on the agricultural and natural resource sectors, CRS’ approach calls upon data collection in the following three areas:

- **Farmers’ interest group formation:** Determine what types of farmers’ groups exist in the targeted areas, their level of organization (i.e., at the community or regional level), membership, purpose, activities and overall organization and capacities. This should also determine what kind of influence, if any, these groups might have with regard to the existing systems and structures in place and in turn what influence, if any, the latter are having on them.

¹⁰⁹ This refers to CRS’ specific focus on the livelihood security or integral human development framework. Essentially, the objective is to better understand whether households in the targeted areas are meeting their livelihoods (access to basic needs and personal security).

¹¹⁰ Another approach for these characteristics is to look at the resources—divided into six capitals—that the community has at its disposal to engage in agricultural activities and meet their food/livelihood security. More information on these capitals is available in CRS’ documents.

- **Territory characterization**, which relates to the specific elements outlined above. This should focus primarily on describing the agricultural resources (assets) that communities use to implement agriculture activities to achieve their food or livelihood security.¹¹¹
- **Climate-Change:** This “sub-objective” should focus on the long-term changes in natural resources, such as deforestation, river pollution, and mining and their apparent effects on local weather patterns, insects, crop diseases, soil and water quality, etc. What are the main mechanisms contributing to climate change and plant diseases and what, if any, initiatives are underway to reverse the process?

Finally, although specific objectives are included above, it is important to emphasize that the sectoral assessment should be sure to focus on *potential sources of shocks* (either conflicts or natural shocks), communities’ responses and strategies to deal with them, and *farmers’ level of knowledge and capacity*, because these were identified as important cross-cutting themes in agriculture.

2. *Identify non-governmental and governmental partners implementing agricultural programs in the targeted regions, and make recommendations for potential partners (gap analysis)*

This data should include a fairly comprehensive list of governmental and non-governmental organizations implementing agricultural programs in the region, the types of activities implemented, the duration of such activities and the beneficiary population targeted. The section should specifically refer to the government’s agricultural policies, and how they could affect future programming. In addition, the assessment should note potential partners for future collaboration and potential “unmet needs” in the agriculture and natural resource management sectors that are currently not being met by other actors.

3. *Collect data on the capacities of CRS, IMA, current and potential partners in agriculture and natural resource management (reforestation), and provide recommendations for future partnering*

While the focus of this objective is not to conduct a comprehensive capacity analysis, the assessment should note the general strengths and weaknesses of current and potential partners.

4. *Provide recommendations for future programming in agriculture and natural resource management, based upon needs, gaps, capacities, market opportunities, CRS’ principles, IMA priorities and USAID/FFP priorities*

This section of the assessment should be included in the final report, providing technical recommendations of the types of agricultural interventions that CRS should be focusing on. This section should clearly keep in mind CRS’ focus upon improving overall food and livelihood security in the targeted regions, as well as CRS’ focus on the agroenterprise approach.

¹¹¹ A particular emphasis will be given on the following important areas: 1) **quantity and quality of the natural resources** (e.g., crops, animals, land, soil, water resources, agro-forestry resources, fishing, etc.); 2) **physical assets** (e.g., tools, equipment, food stocks in the form of granaries, processing units, such as mills, weaving, craftwork, schools, roads, health facilities, etc.); 3) **financial assets** (jewelry, animals, existing stocks of cash crops, tools/implements, transportation means—carts, bikes, motor bikes, gadgets, remittances received and their frequency of receipt, etc.); 4) **human assets** (e.g., knowledge base, literacy, particular skills, such as craftworks, dyeing, smithy, etc.); 5) **social assets** (e.g., social hierarchy, social networks, social norms and regulations, potential for conflicts/tensions within and inter-groups, etc.); 6) **political assets** (existing systems and structures in place, evidence of participation by the communities/farmers’ groups in local governance and decision-making, linkages with existing political and administrative structures, etc.); 7) **situation of external shocks, cycles, and trends** and their likely impact on the communities/farmers’ groups. Following this thorough characterization of the territory, all major constraints and opportunities for each of these key areas would also need to be clearly spelled out with pertinent recommendations, if necessary.

V. PROPOSED METHODOLOGY

The sectoral assessment will use a participative process whereby project participants at all levels—including national, regional, community, partners, CRS and IMA—are involved in the information gathering, analysis, conclusions and recommendations.

Phase 1: Planning and Preparation for Field Work

The first phase of the sectoral assessment will consist of **planning**—clarifying the assessment goal and objectives, assembling and refining the tools/methods and planning logistical arrangements. The consultant will work with the CRS Congo and IMA management teams, and specifically CRS and IMA agriculture program managers, to establish a detailed action plan for the assessment, including identifying data collection sites, selecting key informant interviewees and developing proposed assessment tools in English and in French. The consultant will meet with CRS Congo and IMA staff in Kinshasa and either Bukavu (for North and South Kivu) or Kananga (for Eastern Kasai) to review the proposed work plan, finalize logistical arrangements for fieldwork, review the Scope of Work, review available documentation, and finalize questionnaires and surveys. The consultant will be responsible for leading the data collection team, including the training of enumerators in the use of any survey instruments developed.

It is anticipated that the assessment will rely upon secondary and primary data sources, with the latter focusing on semi-structured interviews with key informants.¹¹² It is proposed that most of the quantitative data will rely upon secondary data sources, with qualitative data arising from primary data sources. The methodological design of the assessment should therefore complement existing information sources, including but not limited to the following:

- Preliminary field assessments in North and South Kivu.
- Problem trees based on the field assessments.
- The final report of the CRS MYAP workshop in Bujumbura.
- The raw data from the C3P food security survey.
- Food security assessments conducted by Malteser International.
- Food security assessments conducted by Action Against Hunger.

Although most of the aforementioned sources relate to food security in North and South Kivu, it will be necessary to procure other sources of secondary data relating to conditions in Eastern Kasai. Semi-structured interviews will be conducted with current and potential partners and targeted communities to complement the pre-existing data.

Phase 2: Field Work

The second phase of the assessment will consist of fieldwork whereby information is collected in the field in both North and South Kivu and Eastern Kasai, and information is analyzed. In this phase, communities and partners should be informed about the goals of the assessment. The consultant will act principally as a facilitator in a process of mutual learning.

¹¹² A standard format should be used to conduct interviews in both areas. As such, it is envisioned that within one week of signing the contract, a draft interview guide(s) shall be presented by the team leader and discussed with CRS and IMA. These interview guides will be finalized during the first week of the assessment.

It should be noted that the assessment design should be focused on quantitative and qualitative methodologies where appropriate, and will use an iterative process for information analysis. In other words, data will be analyzed continually throughout the collection period. Survey tools will be developed and tested before the start of field work, maintaining a degree of flexibility in order to probe for further details questions and issues arise during the process. **It is crucial that these materials be provided in both English and French.**

Phase 3: Analysis of Results and Intervention Design

The third phase will consist of the **analysis and interpretation of the results and conclusions drawn**. The consultant will work with the team to summarize and assess findings, present results to key stakeholders for their validation and interpretation, and write the report. The final draft will be provided to CRS prior to the consultant's departure from Congo. The time frame for the key deliverables appears at the end of this document.

VI. DELIVERABLES

The following items constitute the primary deliverables associated with the sectoral assessment:

- Preliminary work plan, logistics plan, and detailed schedule
- Draft and final interview guides in English and in French
- Report outline, highlighting major sections and themes to be covered
- Draft reports
- Presentation of key findings to CRS and IMA staff (in French and English)
- Final report
- Detailed list of secondary and primary sources used

All deliverables should be submitted in both hard and electronic copies, using Microsoft Word/Excel. Key deliverables (such as the interview guides) should be provided in English or French, with translation to occur in the other document.

VII. DESCRIPTION OF DELIVERABLES

The assessment will commence in September 2007 and shall be completed within three (3) weeks. The proposed deliverables and schedule required for the successful completion of this SOW are as follows: [This may need to be adjusted slightly based on availability / start date]

Proposed Time	Activity	Location	Approximate Time
September 1, 2007	Background documents sent to consultant	Wherever consultant is normally based	
September 3, 2007	Initial action plan developed and draft questionnaires provided to CRS		2 days
September 5, 2007	Arrival in-country		
September 5-10, 2007	Contracts, initial consultations, review of SOW, collection of secondary data and review of other documents, finalization of questionnaires/surveys, selection of sites		2-3 days
September 10-14, 2007	Data collection in Eastern Kasai	Specific sites to be determined jointly by IMA and IMA local partners	5-7 days
September 15-19, 2007	Data collection in North Kivu and South Kivu	Specific sites to be determined jointly by CRS and CRS local partners	5-7 days
September 19-21, 2007	Analysis of results with key stakeholders	Kinshasa	3-4 days
September 21-23, 2007	Report Preparation	Kinshasa	2-3 days
September 23, 2007	Presentation of draft results and findings	Kinshasa	1 day
September 24, 2007	Draft Final Report Submitted	Kinshasa (Consultants leave)	
September 25-27, 2007	Draft report reviewed by CRS staff, comments sent to consultant		2 days
September 30, 2007	Final Report Preparation and submission by Team Leader		3 days

VIII. KEY WORKING RELATIONSHIPS

Internal: CRS Country Representative, Head of Programming, Bukavu Head of Office, and Agriculture PM. IMA Director and PMs.

External: Local Government Administrators, traditional leaders of project communities, other community leaders, Church and non-Church partners, community members in general.

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IX. PLACE AND PERIOD OF PERFORMANCE:

The main place of performance shall be in Bukavu, South Kivu or Kananga, Eastern Kasai, depending upon the consultant's home base. The consultant shall be required to visit a number of village sites in both countries (as outlined in the targeting section) in both countries.

The total period of performance for the work to be accomplished will be approximately 3 (4) weeks, commencing in September 2007.

X. QUALIFICATIONS:

- Advanced degree in agronomy, agricultural economics or other related discipline;
- Knowledge of agricultural marketing and the links between agriculture and food security (or livelihood security);
- Experience in conducting situation analyses and in designing projects;
- Proficiency with Microsoft Word and PowerPoint;
- Ability to communicate well in English and a working knowledge in French, knowledge of local languages a plus
- Ability to facilitate workshops and make a public presentation of key findings would be an asset.

XI. CONTRACTUAL RELATIONSHIP:

The consultant selected to perform the services described herein, or others as may be required, will enter into a contract with CRS. CRS Congo reserves the right to add a clause in the contract to ensure that the final report is turned in on time (i.e., total amount due is decreased 5% with each day that the final report is late).

XII. CONTACT PERSONS:

The contact person for this SOW is: xxxxxxxx

Annex K: Proframe Indicator Definitions and Examples

This annex includes definitions of the various project framework levels. These definitions can assist with the process of identifying and clarifying the different framework levels. Please reference *CRS ProPack I* for further guidance and examples. A sample Proframe is also included in the following Annex L.

Most indicators are established using a “nature-quality-quantity-time” format. Characteristics of indicators for each of Proframe’s five objective levels follow:

Goal: Goal-level indicators are usually linked to sector, national, donor, or CRS-wide indicators. Where possible, they should include broad measures of socio-economic development, food security, poverty reduction and peace.

Strategic Objective (SO): SO indicators are linked to donor or CRS-wide indicators. They reflect the specific, measurable and immediate benefits expected as a result of the adoption and use of project interventions. They focus on the immediate outcome of the project: evidence that the use of project outputs has given rise to measurable benefits among the targeted group.

Example of an SO and corresponding Indicator:

SO: Vulnerable households have enhanced human capacities.

Indicator: % of children 6-59.9 months of age with height for age Zscore < - 2 S.D.

Intermediate Results (IR): IR indicators reflect the adoption and/or utilization of project outputs. They focus on the opinions of beneficiaries about their access to, use of, and degree of satisfaction with the project’s outputs. They should be monitored early in the project life-- if end-users are not utilizing project outputs, it is critical that project managers understand the reasons and respond accordingly.

Example of an IR and corresponding Indicator:

IR: Resource-poor farmers are using improved staple food crop production techniques.

Indicator: By end FY09, at least 70% of farmers apply at least two of the relevant techniques promoted by the project.¹¹³

Output: Output indicators are measured in terms of quantity, quality, and time. They measure the success of project activities or deliverables (goods, services, and knowledge).

Activities: Activity indicators are measured primarily in terms of quantity and time and where appropriate, a quality element may be included. They should correlate only to key activities; if a project includes numerous activities, it may not be necessary to include indicators for every one.

¹¹³ Techniques include composting, improved seed varieties, anti-erosion dikes, zai, vegetation strips using locally available vegetation and other soil and water conservation techniques.

Annex L: MYAP Proframe Example

Following is a Proframe example. Once the Results Framework (Goal, SOs, and IRs,) for the project is decided on, the CRS Proframe format can be used as a tool for identifying the indicators, outputs, activities and the associated measurement methods and critical assumptions. The Proframe should not be included in the proposal submission as this information will be transferred into FFP's formats—the Detailed Implementation Plan (DIP), Indicator Performance Tracking Table (IPTT), the Performance Monitoring Plan (PMP), and section C.3. Critical Assumptions and Risk Management.

Goal: The food insecurity of rural Nigerien households from the most vulnerable communities in the Regions of Dosso, Tahoua and Zinder is reduced by 2011.

Performance Indicators			
SO1: Livelihoods of vulnerable HHs are protected and enhanced through increased agropastoral production and improved agro-enterprises by 2011.	<i>Average number of months of inadequate household food provision.</i>	Baseline study, mid-term and final evaluations	Three successive years of significant rainfall shortages and/or parasite attacks, cultural enemy attacks, and animal epidemics do not occur during the duration of the project
	<i>Average gaps in annual production yields (actual vs. potential).</i>		
IR 1.1: Households and communities have adopted agricultural transformation and value added practices promoted by the project.	Percentage of households that have adopted at least one of the transformation practices promoted.	Scheduled (baseline, midterm and final) and annual surveys	
	Percentage of households that have adopted at least one of the commercialization practices promoted.		
	Percentage of communities that established a system for transformation and commercialization of agro pastoral products.		
IR 1.2: Households and communities have adopted natural resource management and agropastoral production practices promoted by the project.	Percentage of HHs who adopt at least one NRM practice promoted by the project.	Scheduled (baseline, midterm and final) and annual surveys	
	Percentage of HHs who adopt at least one agropastoral production practice promoted by the project.		
	Increase in quantity (kg) of selected agropastoral productions (vegetable and animal production)	Periodic and annual surveys	
	Number of hectares of land in which NRM practices are used.	Regular monitoring PO members	
IR 1.3: Local POs have demonstrably enhanced their administrative, managerial, leadership and accountability skills.	% of VDC that negotiate and obtain financing from a donor (other than the project).	Annual surveys	
	Level of representation and roles of the most vulnerable groups in community management		

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Performance Indicators			
IR 1.1: Households and communities have adopted agricultural transformation and value added practices promoted by the project.			
Output 1.1.1: Producers master transformation and marketing techniques of agropastoral products.	Percentage of producers that have mastered at least one transformation and marketing technique by the end of the project.	Regular monitoring of POs	
Output 1.1.2: Producers have access to credit for equipment and rolling funds.	Number of producers with access to credit	Regular monitoring Mutual credit organizations/ beneficiaries	
Key activities: 1.1.1 Identify market opportunities in local, regional, and national markets.	Number of sales contracts negotiated	Regular monitoring	
1.1.2 Reinforce technical and organizational capacities of producers.	Number of trainings organized on technical and organizational capacities	Training report	
1.1.3 Facilitate transportation.	Number of Km of roads created	Regular monitoring	
1.1.4 Encourage cooperatives and/or cereal banks.	Number of village cooperatives structures formed	Regular monitoring	
1.1.5 Develop efficient market information systems.	Number of marketing structures trained or supported.	Regular monitoring	
IR 1.2: Households and communities have adopted natural resource management and agropastoral production practices promoted by the project.			
Output 1.2.1: Producers' knowledge of NRM and production techniques is increased.	Percentage of producers who master at least 3 NRM and/or production techniques.	Regular monitoring Producers	
Output 1.2.2: Producers' access to fertilizers, improved seeds, and small equipment is facilitated.	Types and volume of available fertilizers, seeds, etc. available to producers' organizations.	Regular monitoring Numbers of PO members and banks	
	Number of banks created that provides credit for agricultural inputs and/or animal health.		
Output 1.2.3: Producers have access to water for agriculture and animal husbandry.	Percentage of producers that have increased access to water in the zone by the end of the project.	Regular monitoring Producers/Training	

Performance Indicators			
Key activities: 1.2.1 Promote water and land conservation techniques.	Number of demonstration sessions on water and land conservation techniques	Regular monitoring Producers Regular monitoring Beneficiaries/ Supervision report	
1.2.2 Reinforce men and women producers' capacities.	Number of demonstration sessions organized on culturally appropriate farming techniques		
1.2.3 Develop markets for agricultural inputs and materials.	Number of agricultural input shops put in place		
1.2.4 Encourage utilization of water resources to increase production.	Number of water infrastructures built, protected or rehabilitated Number of producer trained in water retention techniques		
1.2.5 Encourage women from the most vulnerable HHs to reconstitute their livestock.	# of women practicing livestock raising activities		
1.2.6 Organize and implement FFT distributions.	Number of households that receive FFT commodities and quantity of commodities received	Regular monitoring Monthly distribution reports	
IR 1.3: Local POs have demonstrably enhanced their administrative, managerial, leadership and accountability skills.			
Output 1.3.1: Local leadership structures have developed and implemented action plans.	At least 80 % of VDCs develop and implement action plans by end of project.	Regular monitoring of members of Village Development Committees and CPs are installed	
Key activities: 1.3.1 Sensitize communities in their roles and responsibilities.	Number of sensitization sessions organized on roles and responsibilities of citizenship		
1.3.2 Reinforce elected leaders' and VDC's capacity in the management of public goods.	Number of trainings organized on local government capacity in the management of public goods		
1.3.3 Support empowerment of women and marginalized groups in the decision-making process.	Percentage of women and marginalized individuals participating in community management structures.		
1.3.4 Provide build capacity opportunities to the community structures.	Number of field trips and exchanges carried out		
1.3.5 Support the literacy of OCB members working in agricultural and NRM field.	Number of literate persons (desegregated by gender)		Food ration to learners encourage their participation.
1.3.6 Reinforce accountability of the GON and local structures.	Number of IEC campaigns carried out on accountability		

Performance Indicators			
SO 2: Targeted populations' human capabilities are protected and enhance through improved health and nutrition status by 2011.	Percentage of children (24 – 59 months) who are stunted (i.e., <-2 HAZ), disaggregated by gender and household vulnerability status.	Baseline study, mid-term and final evaluations Baseline study and annual reports	Work stoppages do not occur due to strikes of GHAs. The state assures the availability of quality health staff and equipment.
	The average household dietary diversity.		
	Percentage of women 15-49 years old who have a body mass index less than 18.5.		
IR 2.1: Households within target population have improved access to primary health care service.	Increase over baseline in the number of targeted household members who visit healthcare centers.	Supervisory reports and/or the activities of the Health District Teams (ECD)	There is an effective integration of micronutrients in a cost-recovery policy through a supply from the government.
		Baseline study, annual and final reports	
IR 2.2: Health workers use new knowledge and skills to improve implementation of IMCI within target locations.	Percentage of IHCs that execute recommended services in accordance with national standards.	Baseline study, annual and final reports	
IR 2.3: Household health and nutrition practices are improved.	Households have adopted at least one program- recommended health or nutrition practice		
IR 2.4: Local health and nutrition structures have demonstrably enhanced their administrative, managerial, leadership and accountability skills.	% of VDC that negotiate and obtain financing from a donor (other than the project).	Annual surveys	
	Level of representation and roles of the most vulnerable groups in community management	communities	
IR 2.1: Households within target population have improved access to primary health care service.			

Performance Indicators			
Output 2.1.1: COSANs and health center staff organize community-based health consultations.	Number of community-based health consultations organized.	Regular monitoring	
Output 2.1.2: Health coverage is improved in the target areas.	Average distance between target communities and health care facilities (i.e., health center, health post)	Baseline study, annual and final reports	
Key activities: 2.1.1 Establish and train community health committees (COSAN).	Number of action plans created by COSANs.	Activity Reports Regular monitoring	
2.1.2 Assist communities in identifying health workers and TBAs.	Number of target communities that have identified their own health agents (TBAs, FARN experts, etc.)		
2.1.3 Introduce a system for community distribution of micronutrient supplements and other products.	% of communities who have a plan of distribution and cost recovery for the distribution of micronutrients and other products.		
	Number of micronutrient supplements (Vitamin A/Iron) distributed per month per target community.		
2.1.4 Communities construct, rehabilitate, and furnish essential equipment to health post and integrated health centers.	Number of health centers constructed, rehabilitated and/or equipped.		
2.1.5 Organize and implement FFT distributions.	Number of households that receive FFT commodities and quantity of commodities received	Regular monitoring Monthly distribution reports	
IR 2.2: Health workers use new knowledge and skills to improve implementation of IMCI within target locations.			
Output 2.2.1: Health agents' supervision techniques are improved.	Percentage of health agents trained in supervision techniques.	Supervision of personnel	
Output 2.2.2: Health agents provide integral family health care.	Program/calendar of activities for IHCs and households.	IHC and HH documents	
Key activities: 2.2.1. Train health center staff in the principles of Integrated Management of Childhood Illnesses (IMCI).	Number of community health agents (CHAs) trained per year.	Activity Reports Training Reports	
	Percentage of community health agents in target villages who participate in at least X number of trainings.		
	Number of health personnel trained in IMCI.		
2.2.2. Train health center staff in quality assurance (QA) principles.	Number of health personnel trained in QA principles.		

Performance Indicators			
IR 2.3: Household health and nutrition practices are improved.			
Output 2.3.1: Mothers of children 0-24 months of age know proper infant feeding and weaning practices.	Percentage of mothers who know key messages regarding proper infant feeding practices.	Baseline study and annual reports	
	Percentage of mothers who correctly prepare meals for their children who are weaning.		
Output 2.3.2: Environmental hygiene is improved at the household level.	Percentage of households that have access to potable water.	Baseline study and annual reports	
	Number of village that benefit from the construction of latrines.	Activity reports	
Key activities: 2.3.1 Conduct Information, Education and Communication (IEC) sessions related to health and nutrition practices.	Number of health and nutrition related IEC sessions conducted in target communities annually.	IEC Activity Reports by DHTs	Religious authorities support behavior change messages (HIV and AIDS, vaccination, etc.).
	Number of people (male/female) who attend health and nutrition related IEC sessions annually.		
2.3.2 Support community-based growth monitoring of children 0-36 months of age.	Number of communities that are conducting monthly growth monitoring activities with children 0-36 months of age.		
2.3.3. Conduct positive deviant inquiries (PDI) in target communities.	Number of PDI conducted in target areas.		
2.3.4. Implement Hearth activities in target communities.	Number of target communities implementing Hearth activities.		
2.3.5 Promote access to potable water.	Number of water and sanitation committees functioning		
	Number of well and pumps rehabilitated Number of wells and pumps constructed		
2.3.6 Develop and promote HH sanitation practices.	Number of sanitation messages defused		

Performance Indicators			
IR 2.4: Local health and nutrition structures have demonstrably enhanced their administrative, managerial, leadership and accountability skills			
Output 2.4.1: Local leadership structures have developed and implemented action plans.	At least 80 % of VDCs develop and implement action plans by end of project.	Regular monitoring Members of Village Development Committees and CPs are installed	
Key activities: 2.4.1 Sensitize communities in their roles and responsibilities.	Number of sensitization sessions organized on roles and responsibilities of citizenship		
2.4.2 Reinforce local government and VDC capacity in the management of public goods.	Number of trainings organized on local government and VDC capacity in the management of public goods		
2.4.3 Support empowerment of women and marginalized groups in the decision-making process.	Percentage of women and marginalized groups participating in community management structures.		
2.4.4 Provide build capacity opportunities to the community structures.	Number of field trips and exchanges carried out		
2.4.5 Support the literacy of OCB members working in the health and watsan field.	Number of literate persons (desegregated by gender)		Food ration to learners encourage their participation.
2.4.6 Reinforce accountability of the GON and local structures.	Number of IEC campaigns carried out on accountability		

Performance Indicators			
SO 3: Targeted communities' resiliency is protected and enhanced through improved abilities to identify and respond to recurrent shocks by 2011.	Percentage of communities that have acquired capacities to prevent and manage crisis.	Baseline study Annual surveys Communities	<i>There are not a series of crisis resulting in generalized famine.</i>
IR 3.1: Target communities have operational emergency early warning systems.	Percentage of SCAP-RU committees that are performing in the target zone.	Regular monitoring / PV organization Evaluation reports of SCAP-RU	The system of shipping, delivery, receipt, and transportation of food for humanitarian assistance activities operates smoothly.
IR 3.2: Community assets are protected during shocks (i.e. hungry season).	Percentage of crises whose outcomes were reduced or avoided due to interventions of SCAP/RU	Annual surveys Communities	SCAP-RU is effectively integrated with the national early warning system for reporting epidemics
	Percentage of households experiencing shocks that received emergency food supplies		
IR 3.3: Local early warning and crisis management structures have demonstrably enhanced their administrative, managerial, leadership and accountability skills.	% of VDC that negotiate and obtain financing from a donor (other than the project).		
	Level of representation and roles of the most vulnerable groups in community management		
IR 3.1: Target communities have operational emergency early warning systems.			
Output 3.1.1: An annual contingency plan is developed in each community.	Percentage of communities that have prepared an annual contingency plan for each identified risk by the end of the project.	Community Contingency plans Regular monitoring	
Output 3.1.2: Community monitoring of the occurrence of shocks and crises is improved.	Percentage of communities that have prepared annual plans for monitoring the occurrence of shocks and crises by the end of the project.	Community plans (CPs) for predicting shocks and crises	
Key activities: 3.1.1 Establish, train and implement SCAP-RUs.	Percentage of communities whose SCAP/RU committees identify and monitor local indicators of risk and shock.	CPs established	
	Percentage of communities whose SCAP/RU committees have created contingency plans.		
3.1.2 Support the regional and sub-regional emergency plans.	Number of communities that have elaborated an emergency action plan	CPs established	
3.1.3 Monitor household vulnerability.	Number of reports on the vulnerability of HHs drafted		

Performance Indicators			
3.1.4 Sensitize communities regarding health shocks.	Number of sensitization sessions organized on health shocks	Regular community monitoring	Religious tolerance permits project activities to be carried out, in particular those involving STDs and HIV/AIDS
3.1.5 Sensitize communities regarding natural shocks.	Number of NRM inter-community committees put in place		
3.1.6 Establish an information exchange system between sedentary and nomad populations.	Number of meeting organized between sedentary and nomad populations		
Emergency Response IR 3.2: Community assets are protected during shocks (natural and nutritional shocks)			
Output 3.2.1: The lost of community assets during shocks is reduced.	Percentage of the most vulnerable households that benefit from emergency food distributions and/ or Nutritional Rehabilitation during shocks by the end of the project.	Regular monitoring Reports of supply	
Key activities: 3.2.1 Conduct rapid evaluation to determine the most vulnerable villages within target zones	Rapid evaluation carried out and vulnerable villages identified.		
3.2.2 Organize community sensitization sessions about emergency food distribution policies and objectives.	Number of communities trained on the principles of emergency food distributions		
3.2.3 Recruit women to be actively involved in distribution management and activities.	Percentage of women participating in the management of distribution operations		
3.2.4 Organize and implement direct distributions for affected people (floods, fire,...).	Number of people participating in direct distribution		Target populations are willing to consume the type of food offered by the project
3.2.5 Organize and implement FFT distributions.	Number of households that receive FFT commodities and quantity of commodities received	Regular monitoring Monthly distribution reports	
3.2.6 Investigate community reports of malnutrition levels >15% through height/weight measurements.	Rate of malnutrition in investigated area	Height/weight evaluation Report	

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Performance Indicators			
3.2.7 Open Nutritional Rehabilitation centers in CSIs of affected areas.	Number of children treated for malnutrition	CSI reports	
IR 3.3: Local early warning and crisis management structures have demonstrably enhanced their administrative, managerial, leadership and accountability skills			
Output 3.3.1: Local leadership structures have developed and implemented action plans.	At least 80 % of VDCs develop and implement action plans by end of project.	Regular monitoring Members of Village Development Committees and CPs are installed	
Key activities: 3.3.1 Sensitize and train communities in their roles and responsibilities.	Number of sensitization sessions organized on roles and responsibilities of citizenship		
3.3.2 Reinforce local government capacity and VDCs in the management of public goods.	Number of trainings organized on local government and VDC capacity in the management of public goods		
3.3.3 Support empowerment of women and marginalized groups in the decision-making process.	Percentage of women and marginalized individuals participating in community management structures.		
3.3.4 Provide capacity building opportunities to the community structures.	Number of field trips and exchanges carried out		
3.3.5 Support the literacy of OCB members working in the Emergency field.	Number of literate persons (desegregated by gender)		Food ration to learners encourage their participation.
3.3.5 Reinforce accountability of the GON and local structures.	Number of IEC campaigns carried out on accountability		

Annex M: CRS MYAP Design Workshop Materials

CRS has developed a wide variety of resources to support country programs in developing a MYAP, including a comprehensive set of workshop materials. A list of some of these materials is provided below. Copies of these materials are available through CRS PQSD, on the MYAP Working Group Site which can be found on <https://global.crs.org/Pages/Default.aspx>.

MYAP Workshop Materials (2008)

- SESSION 1** Designing and Implementing Title II Multi-Year Assistance Programs (MYAPs)
- SESSION 2** What is a MYAP? Terminology, History, Priorities and Regulations
- SESSION 3** Designing a MYAP: Assessment, Analysis, Action
- SESSION 4** **Step 1.1** Develop an Action Plan and Identify Stakeholders
- SESSION 5** **Step 1.2** Understand How Different Conceptual Frameworks are Used within the MYAP Project Design
- SESSION 6** **Step 1.3** Conduct Macro-Level Food Security Assessments
- SESSION 7** **Step 1.4** Conduct Micro-Level Food Security Assessments
- SESSION 8** **Step 1.5** Analyze the Data: Problem Tree and Key Leverage Points
- SESSION 9** **Step 1.6** Analyze the Data: Gap and Capacity Analyses
- SESSION 10** **Step 1.7** Determine Sectoral Geographic Priorities for the MYAP
- SESSION 11** **Step 2.1** Planning for Sectoral Assessments
- SESSION 12** **Step 2.2** Sectoral Analyses
- SESSION 13** **Step 2.3** Develop Sectoral Project Strategies and Align with FFP Food Security Framework
- SESSION 14** **Step 2.4** Determine When and How to Use Food Aid
- SESSION 15** **Step 2.5** Develop an Exit Strategy
- SESSION 16** **Step 2.6** Determine What Will Be Funded through the MYAP
- SESSION 17** **Steps 2.7. & 3.1** Construct the Results Framework, Proframe, M&E Plan, Indicator Performance Tracking Table, and Trigger Indicators for the MYAP and Draft the Proposal and Submit It for Technical Reviews
- SESSION 18** **Steps 3.2 & 3.3** Submit the MYAP Proposal to USAID/FFP and Review FFP's Issues Letter, Revise the MYAP Proposal, and Resubmit

Glossary of Terms

Absolute Poverty: The income level below which a nutritionally adequate diet plus essential non-food requirements are not affordable.

Analysis: Deep, “vertical” processes, where prioritized issues from an assessment are probed in depth, “causes and effects” examined.

Anemia: A deficiency of the oxygen-transport capacity of the blood due to a less than normal red-blood cell count. Anemia can lead to fatigue, impaired work capacity, increased maternal mortality, increased cardiac failure. Anemia can result from blood loss, destruction of red blood cells (e.g., due to malaria), underproduction of red blood cells (e.g., due to iron deficiency) or an insufficient amount of normal hemoglobin (e.g., sickle cell anemia).

Anthropometric Measurement: Includes measurements of linear dimensions of the human body, such as weight, height, mid-upper arm circumference, distance across shoulders, head circumferences, pelvic width, arm length, skinfold thickness, and other indicators of physical human development. Anthropometric indicators are used to indirectly assess the nutritional status of individuals.

Assessment: A process of inquiry, investigation and examination of “what is going on” that involves gathering information. Its purpose is to understand a situation in order to make decisions.

Assets: Assets are something tangible or intangible that people own or to which they have access. There are six categories of assets in CRS’ IHD framework: financial, human/spiritual, natural, physical, political and social.

Baseline Surveys: Surveys that collect only data that is needed to make comparisons between the pre-project situation and that same situation at midterm or at End of Project (EOP).

Basic Needs: The goods and services necessary for survival, including food, water, health care and shelter. In some cases, education is also included (Frankenburger 1992).

Bellmon Analysis: As part of US government food aid programs, an analysis that seeks to determine: 1) whether the importation, sale or distribution of food aid will cause a significant disincentive to local production or marketing; and 2) whether sufficient storage facilities are available in-country.

Body Mass Index: A statistical measurement that compares a person’s weight and height. It is calculated by weight/height². BMI is most commonly used to assess the nutritional status of adults.

Calorie: The amount of energy to increase the heat of one kilogram of water by one degree centigrade. An infant requires 820 Calories of food per day, a pregnant female requires approximately 2500 Calories per day, and a lactating female requires approximately 2700 Calories per day. Also known as kilocalories or kcals.

Capacity: The ability of individuals and organizational units to perform functions effectively, efficiently and sustainably.

Cause: A factor (event, trend, characteristic) on a variety of levels (individual, household, community, national or international) that explains why a problem exists.

Chronic Food Insecurity: Inadequate consumption of sufficient food or water on a continuous basis. See food security, seasonal and transitory food insecurity.

CILSS: *Comité permanent Inter Etats de Lutte Contre la Sécheresse dans le Sahel/Permanent Interstate Committee for Drought Control in the Sahel*. Regional committee composed of member countries Cape Verde, Senegal, The Gambia, Mali, Guinea Bissau, Burkina Faso, Niger, and Chad. Its primary objectives are to promote food security and natural resource management in the Sahel.

Conceptual Framework: An analytical diagram that explains cause-effect relationships for a particular topic or theme.

Critical Assumptions: Factors or conditions outside of program or project designers' direct control, yet their existence is critical to allowing the program or project to achieve its next higher-level objective or result.

Daily Calorie Requirement: The number of Calories of dietary energy needed to sustain normal levels of activity and health, taking into account age, sex, body weight and climate. The requirement for adults varies. In emergency situations, rations are calculated to provide a minimum of 2100 Calories per day.

Drought: Prolonged or severe lack of water, usually caused by a dearth of rainfall. Drought can occur when rainfall occurs at the wrong point in the harvest cycle.

Effect: The result of a problem (related to cause and effect analysis).

Entitlements: Social and economic claims on goods and services.

Exit: The withdrawal of externally provided program resources (material goods, human resources, technical assistance) from the entire program area (Rogers & Macías 2004).

Exit strategy: A specific plan describing how a program intends to withdraw from a region while assuring that the achievement of development goals is not jeopardized and that further progress toward these goals is made (Rogers & Macías 2004). The goal of an exit strategy is to assure sustainability after the program has departed.

Famine: Widespread and extreme hunger that results for individuals in drastic loss of body weight and an increase in morbidity, and, at the community level, in a rise in the death rate and massive social dysfunction and dislocation (von Braun et al. 1998). Period of starvation for large portions of the population.

Famine Early Warning System (FEWS): A generic term that includes methods of advance forecasting of food insecurity and famine using satellite imagery and ground-level crop, demographic and market observations. FEWS is also a USAID Africa Bureau-

funded project that aggregates and analyzes remotely sensed and in-country data.

Food Aid: Edible commodities donated to needy populations.

Food and Agriculture Organization (FAO): UN agency responsible for promoting agricultural development, dissemination of advanced agricultural techniques, combating plant/livestock diseases, and promoting sharing of information. The Global Information and Early Warning System (GIEWS) of the FAO estimates food production and food needs in famine-prone countries.

Food Availability: The supply of food in a nation, region or locality. Sources of supply may include home production for consumption, food stocks, and food aid.

Food Access: The ability of the household to obtain food, whether its source is home production, commercial purchases or transfers. Physical access (in terms of market access) is also important.

Food for Assets: A type of food aid program, similar to FFW, that provides food aid rations as a wage or income transfer for workers in order to achieve community-based asset creation (rather than specific labor projects).

Food for Education: The use of food aid as part of broader-ranging education activities. Food aid is primarily used in school feeding (i.e., school-based feeding activities); take-home rations (i.e., targeted households receive a supplemental ration in exchange for enrollment and attendance of targeted groups).

Food for Work: A type of food aid program that provides food rations as wage or income transfers for workers in order to achieve public works projects.

Food Insecurity: Insufficient consumption or utilization of food (in terms of calories and micronutrients) necessary to lead an active and healthy life (von Braun et al. 1998). Alternatively, the absence of any one of the conditions necessary for food security.

Food Security: All people at all times have physical and economic access to sufficient food and water to meet their needs for a productive and healthy life without undermining their future food security.

Food Utilization: The proper biological use or absorption of food. The body's ability to use or to absorb food properly, without the interference of a disease that prevents consumption (through loss of appetite) or prevents absorption (through vomiting, diarrhea).

Geographic Integration: A type of integrated programming that uses a common geographic area as the point of departure for integrating program areas. A series of initiatives or services may be provided by one or various institutions to the same target population. Also known as "area development programs".

Graduation: The withdrawal of resources from particular communities, program sites or program activities (Rogers & Macías 2004).

Hazard: A potentially damaging physical event, phenomenon or human activity that may cause the loss of life or injury, property damage, social and economic disruption or environmental degradation (ISDR 2004).

Hunger: Condition resulting from an individual's inability to eat sufficient food (von Braun et al. 1998). While short-term hunger may be defined as the experience of having an empty stomach, long-term or chronic hunger refers to the persistent absence of adequate caloric intake needed for proper physiological and mental development.

Integral Human Development: As a *goal*, IHD means that people increasingly realize their full human potential in solidarity with others and in the context of a just and peaceful society. IHD is based on human dignity and right relations and therefore, as a *process*, requires active engagement with others to transform the way that societies live, heal, and structure their relationships.

Key Leverage Points: Causes that appear multiple times in a problem analysis. They demonstrate significant influence on the problem, and therefore have the potential to bring about positive change.

Lesson Learned: Clear and substantive finding on a specific issue based on data, observations and evaluation. It illustrates a strategy, technique, principle, process or activity that should be followed in the future. Lessons learned are well documented (not anecdotal) and backed up by clear qualitative and quantitative evidence. Also related to "best practice".

LIFDC: Low Income Food Deficit Countries. All net food importing countries with a per capita GNP not exceeding the level used by the World Bank to determine eligibility for International Development Association (IDA) assistance (\$360/per capita).

Local Purchases: The purchase food aid domestically for distribution within the same country.

Logframe: Systematic and visual way to present and share your understanding of the relationships among the resources you have to operate your program, the activities you plan, and the changes or results you hope to achieve (Kellogg Foundation 2004).

Malabsorption: Incapacity of the body to absorb nutrients from food, a common consequence of diarrhea, malaria, or HIV.

Malnutrition: Impairment of physical or mental health resulting from a failure to fulfill nutrient requirements. Overconsumption or underconsumption of any essential nutrient (Foster & Leathers 1999).

Micronutrients: Vitamins and minerals required for human health and survival.

Micronutrient Malnutrition: A diet lacking in sufficient amounts of one or more essential micronutrients, such as vitamin A, iodine or iron (Foster & Leathers 1999).

Mid-Upper Arm Circumference (MUAC): MUAC is the circumference of the left upper arm, measured at the mid-point between the tip of the shoulder and the tip of the elbow (olecranon process and the acromium). In children, MUAC is useful for the assessment of nutritional status. It is good at predicting mortality and in some studies, MUAC

alone or MUAC for age, predicted death in children better than any other anthropometric indicator (UN Standing Committee on Nutrition).

Monetization: The sale of agricultural commodities to obtain foreign currency for use in US assistance programs.

Nutritional Status: A person's physical state as a result of the ingestion, absorption or utilization of nutrients by their bodies.

Objectives Hierarchy: A diagram that shows the means-to-end logic of a project or program.

Objectives Tree: The inverse image of the problem tree, whereby negative statements in the problem tree are transformed into positive statements.

Overnutrition: The long-term or regular consumption of an excess of calories, fats, or cholesterol.

Phase Down: A gradual reduction of program activities, utilizing local organizations to sustain program benefits while the original sponsor (or implementing agency or donor) deploys fewer resources. Phasing down is often a preliminary stage to phasing over and/or phasing out.

Phase Out: A withdrawal of involvement of program activities without turnover.

Phase Over: Program activities are transferred to a local institution or communities.

Primary Malnutrition: Malnutrition that results directly from the nature of the diet (Foster & Leathers 1999).

Problem: A specific negative situation related to the human condition. It is not an absence of a solution.

Problem Tree: Analytical tool that helps to analyze the data collected from assessments in order to determine the major problem(s) and their causes and effects.

Proframe: CRS' term for a Project and Program logframe.

Program Integration: A type of integrated programming where one sector is implemented as

part of another sector (the "primary" sector) in order to improve the impact or outcomes of the primary sector. Also known as "project bundling", it refers to the packaging of two or more products together for a single price. The participants in one sector are necessarily the same as those in the other sector.

Project: A project is defined as "a set of planned, interrelated activities that achieve defined objectives within a given budget and a specified period of time" (Hahn et al. 2004).

Project Cycle: The project cycle illustrates the set of actions: design, planning, implementation, monitoring, evaluating, reporting and learning (Hahn et al. 2004).

Project Interventions: A discrete package of actions and procedures that are developed and implemented (Caldwell 2002).

Project Strategy: Describes the major deliverables that a project provides to address identified problems, opportunities or issues and to achieve objectives. Similarly defined as an approach through which project inputs and outputs bring about the desired changes leading to sustainable impact on human wellbeing (Caldwell 2002).

Results Framework: Schematic diagram that shows the first three levels of an objectives hierarchy of a project.

Risk: A probability distribution of events, or the probability of being affected by a shock. Examples of risks include natural risks, health risks, economic risks, life-cycle risks, social risks, political risks or environmental risks.

Safety Net: A system of providing resource transfers (primarily food aid) to low-income and other vulnerable individuals and populations who are unable to meet basic needs for survival and human dignity.

Seasonal Food Insecurity: Inadequate consumption of sufficient food or water on a cyclical or seasonal basis, implying that households return to "normal" consumption after the difficult period. See food insecurity, chronic food insecurity and transitory food insecurity.

Secondary Malnutrition: A condition or illness that prevents proper digestion or absorption of food (Foster & Leathers 1999).

Shock: A severe (usually negative) natural or man-made event that harms people's lives or livelihoods, such as droughts, floods or conflicts.

Stakeholder: Persons, groups or institutions that have interest in and influence and/or control over the project.

Structures: In the context of CRS' IHD framework, structures are organizations and institutions that organize and regulate the way people live, affect what they can do, and how they do it (e.g. judicial courts).

Stunting (low height-for-age): Low height-for-age index identifies past undernutrition or chronic malnutrition. It cannot measure short term changes in malnutrition. For children below 2 years of age, the term is length-for-age; above 2 years of age, the index is referred to as height-for-age (Cogill 2003). More specifically, a child is defined as being stunted if his or her height for age < -2SD of the median age-sex specific height of the NCHS/WHO reference.

Surge Capacity: The ability for rapid staff deployment and material mobilization to sudden-onset emergencies or urgent requirements for additional staff, with overall arrangements to mobilize external capacities for rapid response.

Sustainability: A characteristic of a process or state that can be maintained indefinitely. A project is defined as "sustainable" if its impacts or activities are sustained after the program has departed.

Sustainable Livelihoods: The capabilities, assets (including both material and social) and activities required for a means of living. A livelihood is sustainable when it can cope with and recover from stresses and shocks and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resource base (DFID, Sustainable Livelihoods Guidance Sheets).

Systems: In the context of CRS' IHD framework, systems are the values, attitudes and policies that

regulate or influence people's behavior and relationships (e.g. laws, cultural norms, or religious beliefs).

Theory of Change: A description of how the project planners expect change to occur. Also called the 'means-to-end' logic or a "development pathway".

Transitory Food Insecurity: Inadequate consumption of food or water during a temporary period, often after a crisis. See food insecurity, chronic and seasonal food insecurity.

Triangular Purchases: The purchase food aid in one developing country for distribution in another developing country.

Trigger Indicator: Indicator used to determine the threshold at which a MYAP needs to shift activities or require additional resources for new activities in response to a slow-onset shock.

Trigger Level: The level of a trigger indicator that signals the need for certain actions to be taken (such as needs assessment, contingency and response planning, request for emergency resources).

Undernutrition: "Measurable nutrient deficiencies in a diet" that can lead to illness or death (von Braun et al. 1998).

Underweight (low weight-for-age): In children underweight is defined as low weight for age. More specifically, a child is defined as being underweight if his or her weight for age < -2SD of the median age-sex specific weight of the NCHS/WHO reference. Is sometimes said to be a measure of chronic and acute malnutrition.

Vulnerable Groups: In the context of safety net programming, those who are unable to meet their basic needs *without outside assistance*.

Vulnerability: A forward looking concept related to people's proneness to future acute loss in their capacity to acquire food (TANGO International 2004 in USAID/FFP 2008).

Wasting: Low weight-for-height calculated as the weight of each child in relation to the weight of a well nourished reference child of the same sex

and stature using the U.S reference standards Also known as thinness or marasmus (Cogill 2003). More specifically, a child is defined as wasted if his or her weight for height is $< -2SD$ of the median age-sex specific weight of the NCHS/WHO reference.

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