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## **Cooperative Housing Foundation**

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# Communities in Transition (CIT)

## Monitoring and Evaluation Plan

October 1, 2000 – September 30, 2003

Funded by:

**United States Agency for  
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## I. Overview

This document serves as an addendum to Cooperative Agreement No. 520-0413-A-00-5122-00 Amendment No. 6 between the U.S. Agency for International Development (USAID) and CHF for a three-year extension of the Communities in Transition (CIT) project through September 30, 2003. The proposed monitoring and evaluation approach for the CHF/CIT project is part of a broader worldwide CHF management-by-objectives system. This system is in accordance with USAID's "uniform results-orientated reporting system" and ensures all information will be provided to the AGIL program in a timely and efficient manner as indicated by USAID.

## II. Program and Process Indicators

As reflected in the "Program Description" of Amendment 6, CHF/CIT is organized into four central project areas with the following key activities detailed below:

- Agroforestry
- Non Governmental Organization (NGO) Support
- Special Projects/ Special Development Fund (SDF)
- Ixcán Road Maintenance Association (AMVI) Strengthening

### A. Agroforestry

#### 1. Activities:

- *Technical assistance and training for implementing a farm model that includes non traditional crops in the Ixcán; and*
- *Training of trainers and technical staff to disseminate methods for developing non-traditional crops.*

Impact Indicator	Targets	Collection Method/ Verification	Reporting Schedule
Completed feasibility studies and technical crop management models	Five (5) feasibility studies and technical crop management models completed	Feasibility studies completed; technical crop management models developed	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Processing alternatives explored/implemented for crops	Five (5) processing alternatives implemented	Crops produced; field observations and evaluations	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Organic certification acquired	Obtain organic certification by May 2001	Certification obtained	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Number of farmers trained in organic criteria	200 individual farmers trained	Farmers attend training; field observations and evaluations; plan produced for each crop by each farmer	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Number of farmers trained in production and process management	200 individual farmers trained	Field observations and evaluations; plan produced for each crop by each farmer	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Markets explored for crops and buyers secured	Markets and buyers secured for five (5) crops	Contracts signed with buyers	Monthly program reports to CHF/HQ; Bi-annual reports to USAID

Income generated per year per farmer <sup>1</sup>	\$300 generated per year/farmer	Meetings with farmers; additional funds received	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Number of employment generated in person months	60 person months of employment generated	CHF documented work by farmers	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Organization of farmers formed/strengthened <sup>2</sup>	Two (2) organizations of farmers formed	Organizations formed/legalized; Ability to run business; Certification Assessments conducted	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Number of farmers with at least two (2) non-traditional crops planted in their system	200 farmers	Crops planted; Contracts with farmers; Field observations and evaluations	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Number of farmers with at least one (1) non-traditional crops planted in their system	400 farmers	Contracts with farmers; Crops planted; Field observations and evaluations	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Number of farmers that establish and manage tree and plant nurseries using 100% organic methods	1000 farmers	Contracts with farmers; Tree and plant nurseries implemented; tree and plant nurseries certified as organic; field observations and evaluations	Monthly program reports to CHF/HQ; Bi-annual reports to USAID

## 2. Activities:

- *Technical assistance and training for implementing a farm model that includes agroforestry systems and forest management; and*
- *Training of trainers and technical staff to disseminate methods for developing agroforestry systems and forest management systems*
- *Technical assistance and training to promote adoption of agroforestry systems by small farmers*
- *Technical assistance and training to farmers for forest management*

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<sup>1</sup> The amount mentioned is the minimum income a farmer may expect if two non-traditional crops are harvested and processed. The exit number would approximately double average income levels in the project area

<sup>2</sup> Farmers will decide if they want to form an organization/association after being presented with the crop information and commercialization proposal.

Impact Indicator	Targets	Collection Method/ Verification	Reporting Schedule
Number of farmers implementing a farm management plan	800 farmers implementing farm management plan	Plans completed and distributed to CHF staff; field observations	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Number of hectares under farm management plan	800 hectares under farm management plan	Contracts with farmers; Field observations	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Percent of increase in traditional crop production	20% increase in production	Contracts with farmers; Crops produced	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Percent of increase in income from activities in plan	20% increase in income	Meetings with farmers; additional funds received	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Number of trees produced since program inception	1,600,000 trees	Trees produced; field observations	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Number of communities where all four program components are working	20 communities	Components implemented and overseen by CHF staff	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Number of people trained in management systems	2,200 people trained	People attend training; field observations and evaluations; oral evaluations; management system implemented	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Number of farmers implementing at least one of seven agroforestry systems correctly	1000 farmers	Agroforestry system implanted; field observations and evaluations	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Percent of each farmer's land under an agroforestry system and/or organic management.	50% of land	Land is under an agroforestry system and/or organic management; field observations and evaluations	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Percent of farmer's land reserved for on-farm forest management	20% of land	Land remains uncultivated; field observations and evaluations	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Percentage of communities that have worked or are working with the component	20% of community households	Field observations	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Community groups organized for the development and management of natural resources	20 community groups	Groups organized – documented by CHF staff; Field observations	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Community groups trained to solicit and use information related to natural resource management	30 community groups	Groups trained; Field observations	Monthly program reports to CHF/HQ; Bi-annual reports to USAID

### 3. Activity:

- *Training to teachers in environmental education*

Impact Indicator	Targets	Collection Method/ Verification	Reporting Schedule
Percentage of teachers trained in environmental education by CHF implementing training in the classroom.	20% of teachers in the area	Teachers attend training by CHF staff/promoters; field observations and evaluations	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Percentage of teachers trained in environmental education that monitor and evaluate learning among students.	20% of teachers in the area	Teachers attend environmental workshops; field observations and evaluations	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Percentage of students receiving regular classes in environmental education.	40% of students in the area	Classes implemented on environmental education; environmental education incorporated into school curriculum	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Number of small environmental school projects (i.e. garden, garbage clean up, tree planting, etc.).	50 small environmental school projects	Projects completed; field observations and evaluations	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Percentage of communities with schools that have received environmental education classes.	20% of communities receive environmental education classes in the region	Classes implemented on environmental education; environmental education incorporated into school curriculum; field observations and evaluations	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Evidence of changes in behavior among school children related to environmental awareness.	Students become aware of environmental issues	Qualitative documentation by teachers; field observations and evaluations	Monthly program reports to CHF/HQ; Bi-annual reports to USAID

**B. NGO Support****1. Activity:**

*Technical assistance to CESIDE<sup>3</sup> during one year to consolidate the village banking activity.*

Impact Indicator	Targets	Collection Method/Verification	Reporting Schedule
CESIDE gains access to credit and alternative funding	Two (2) CESIDE proposals submitted to alternative funding sources	Proposals submitted	Weekly and monthly meetings between CHF and CESIDE; Monthly program reports to CHF/HQ; Bi-annual reports to USAID
CESIDE Board of Directors Strengthened	Three (3) training activities with Board of Directors	Training occurs; field observations; and oral evaluations	Weekly and monthly meetings between CHF and CESIDE; Monthly program reports to CHF/HQ; Bi-annual reports to USAID
CESIDE Operationally Sustainable by 09/30/01	Four (4) training activities with CESIDE operational staff  Formal policies developed  72 Training Guide developed  One (1) procedural manual developed  One (1) financial sustainability analysis conducted	Training activities conducted and evaluation of program implementation conducted  Policies developed/implemented  Training Guides developed and produced  Procedural manual developed  Financial Sustainability analysis conducted	Weekly and monthly meetings between CHF and CESIDE; Monthly program reports to CHF/HQ; Bi-annual reports to USAID

<sup>3</sup> CESIDE stands for the *Centro de Servicios Integrales para el Desarrollo* or Center for Integrated Development Services.

### C. Special Projects/ Special Development Fund (SDF)

**1. Activity:** Design, negotiation of funding and construction of small community projects.

Impact Indicator	Targets	Collection Method/ Verification	Reporting Schedule
Number of completed projects currently lacking counterpart funds that have been profiled and submitted to SDF*	Eight (8) projects receive counterpart funding	Projects receive counterpart funding; contracts with communities; Funding is received by community/CHF	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
New SDF projects profiled, designed and with counterpart funding completed by CHF	Five (5) projects completed	Projects completed; counterpart funding received	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Community improvement committees strengthened to submit proposals and carry out projects	Five (5) committees strengthened	Successful completion of proposal requirements and project completion	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Percent of in-kind community contribution that is unskilled labor	100% of proposed commitment/per project	Unskilled labor committed; labor documented by community/CHF; field observations	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Number of infrastructures in place	Fifteen (15) infrastructures	Infrastructures in place; field observations	Monthly program reports to CHF/HQ; Bi-annual reports to USAID

### D. Ixcán Road Maintenance Association (AMVI) Strengthening

**1. Activities:**

- *Technical assistance and training during two years to consolidate and get AMVI fully operational; and*
- *Training and technical assistance to disseminate CHF experience in promoting a local organization for road maintenance.*

Impact Indicator	Targets	Collection Method/Verification	Reporting Schedule
AMVI operationally sustainable (Income/Operating costs)	100% sustainable	Management, planning tools, and system in place; General assembly meetings; AMVI annual report	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Capitalization account for replacement of machinery in line with projections and for operating costs (Actual % versus total required)	50% in line with projections and operating costs	AMVI annual report and budget	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Number of AMVI staff trained in organizational and administration techniques	Fourteen (14) staff members trained	Training occurs; AMVI annual report	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Number of AMVI staff trained in efficient road maintenance	Fifteen (15) staff members trained	Training occurs; AMVI annual report	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Number of AMVI staff trained in environmental mitigation measures	Eighteen (18) staff members trained	Training occurs; Quarterly AMVI environmental report; AMVI annual report	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Number of AMVI staff trained and competently operating SAMV <sup>4</sup>	Fourteen (14) staff members trained	Training occurs; Quarterly AMVI environmental report; AMVI annual report	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Percent of projects with environmental impact documented and mitigation measures applied	100% of projects	Environmental impact documented; mitigation measures applied; Quarterly AMVI environmental report; General Assembly meetings; AMVI annual report	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Ranking of AMVI's institutional strength <sup>5</sup>	Receive score of 4 out of a possible 5	CHF staff evaluation; AMVI annual report	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Ranking of AMVI's organizational strength	Receive score of 4.5 out of a possible 5	CHF staff evaluation; AMVI annual report	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Number of kilometers AMVI has maintained since inception	300 kilometers maintained	Roads maintained; AMVI annual report; General Assembly meetings; field observations	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Number of kilometers maintained annually	150 kilometers maintained	Roads maintained; AMVI annual report; General Assembly meetings	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
AMVI cost/kilometer of road as a percentage of the standard rate paid per kilometer by government organizations	80% of standard rate	Achieve 80% of standard rate; Compare with government rates; AMVI annual report and budget; General Assembly meetings	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Percent of AMVI subsidy to maintain secondary roads in the Ixcán	40% of AMVI subsidy	Subsidy received; AMVI annual report; General Assembly meetings	Monthly program reports to CHF/HQ; Bi-annual reports to USAID
Number of kilometers contracted by Guatemalan government transport organizations	100 kilometers contracted	Kilometers contracted; AMVI annual report; General Assembly meetings	Monthly program reports to CHF/HQ; Bi-annual reports to USAID

<sup>4</sup> SAMVI represents *Sistema Administrativa de Mantenimiento Vial* or Administration System for Road Maintenance

### III. Headquarters M&E Plan

The Program Director and program managers in the field are responsible for daily program management and monitoring against the USAID pre-approved work plan. CHF procedure requires written monthly management reports outlining compliance with program targets, state of financial resources, summary of expenditures, and outstanding issues or problems that require attention. Program Officers at CHF/HQ carefully monitor program activities and provide support and technical assistance to the field by reviewing monthly reports and monitoring both financial and programmatic progress.

Program progress is monitored and evaluated through announced and unannounced site visits. CHF senior management, including the Director of Field Program Management, Chief Financial Officer, Vice President, and President, conduct extensive quarterly program reviews that ensure detection of any potential issues or problems. Semi-annual reviews will be reviewed on a systematic basis by CHF senior management, USAID, and implementing partner organizations along with descriptions of implementation plan changes. We anticipate at least weekly meetings between the CHF Program Director, program managers and the partner organization liaisons to ensure proper coordination.

#### A. M & E Tools:

##### Programmatic Monitoring:

- Monthly field progress reports reviewed at CHF/Headquarters by the assigned program officer and the Director of the Office of Field Program Management;
- Bi-annual programmatic reports will be submitted to USAID/G-CAP to document project progress;
- Quarterly reviews by senior management and USAID;
- Field visits to project sites by the project officer and CHF/Headquarters senior management to review project progress; and
- CHF end of program evaluation and final report.

#### B. CHF Impact Indicators

CHF's monitoring and evaluation strategy has been drawn from CHF's worldwide experience managing community level development projects in post conflict situations. In addition to the specific indicators outlined, the program will be monitored using the following impact indicators used in all CHF projects:

- Number of paid jobs created and amount of local economic activity generated
- Number of women experiencing improved economic standing
- Number of local co-ops and NGOs formed or strengthened
- Amount leveraged and mobilized from donors, governments, and the private sector
- Number of loans disbursed to borrowers considered too risky by banks

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<sup>5</sup> A 4.5 represents good management and controls are used appropriately, 50% of systems considered an institutional strength. A 3 means management, systems and controls are acceptable, but can be improved

- Number of people trained
- Amount of money lent
- Repayment rate from CHF beneficiaries