

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT
BUREAU FOR HUMANITARIAN RESPONSE
OFFICE OF FOOD FOR PEACE

STRATEGIC PLAN: 1997–2001

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GLOSSARY

COOPERATING SPONSORS	PVOs, other NGOs and IOs (corresponds to “nongovernmental cooperating sponsors” as (CSOs) stated in Regulation 11)
BHR	Bureau for Humanitarian Response
CFW	Cash-for-work
CRS	Catholic Relief Services
CSO	Country strategy outline
DA	Development Assistance (funds)
DAP	Development activity proposal
DHA	U.N. Department of Humanitarian Affairs
DMPT	U.N. Disaster Management Training Programme
EU	European Union
FACG	Food Aid Consultative Group
FAMP	Food Aid Management Plan
FAO	Food and Agriculture Organization
FEWS	Famine Early Warning System (a USAID program)
FFP	Office of Food for Peace (in BHR Bureau)
FFP/DP	Development Programs Division in FFP
FFP/ER	Emergency Response Division in FFP
FFPO	Food for Peace Officer
FFW	Food-for-Work
FMIP	Financial Management Improvement Programme (a WFP initiative)
FODAG	U.S. Mission to the U.N. Agencies for Food and Agriculture/Rome, Italy
FTE	Full-time equivalent (direct-hire staff)
GAO	Government Accounting Office
GHAI	Greater Horn of Africa Initiative
ICDS	Integrated Child Development Services (a Government of India program)
IDP	Internally displaced person
IFPRI	International Food Policy Research Institute
IO	International Organization
IR	Intermediate Result
ISG	Institutional Support Grant
ITSH	Internal transport, storage and handling
LDC	Least developed countries
LIFDC	Low-income, food-deficit countries
MCH	Maternal Child Health
MOU	Memorandum of Understanding
NGO	Nongovernmental organization
NIS	New Independent States
OE	Operating Expense
OFDA	Office of Foreign Disaster Assistance
OHA	BHR Office of Humanitarian Affairs/Rome, Italy

ORT	Oral rehydration therapy
OTI	Office of Transition Initiatives
PARTNERS	FFP food aid partners include USAID Missions, all levels of host governments, PVOs, other NGOs, IOs, and other food aid donors.
P.L. 480	U.S. Public Law 480
PMCC	Permanent Mechanism for Consultation and Coordination (EU-US)
PRM	Population, Refugee and Migration (Department of State)
PRO	Protracted relief operation
PSA	Program support and administration
PSC	Personal Services Contractor
PVO	Private Voluntary Organization
R4	Results, Review and Resource Request
REDSO	Regional Economic Development Support Office
SO	Strategic Objective
SO1	BHR/FFP's Strategic Objective Number 1
SO2	BHR/FFP's Strategic Objective Number 2
UNDP	United Nations Development Programme
UNHCR	United Nations High Commissioner for Refugees
USAID	U.S. Agency for International Development
USDA	United States Department of Agriculture
USDA/ERS	United States Department of Agriculture/Economic Research Service
USDEL	United States Delegation
WFP	World Food Program
WHO	World Health Organization

FORWARD

Public Law 480 and its related statutes cover several food assistance activities. Title I, managed by USDA, is a bilateral program providing concessionally financed commodities. Title II, Emergency and Private Assistance Programs, which provide donated commodities to private voluntary organizations, other nongovernmental organizations and international organizations, is managed by the Office of Food for Peace (FFP) in the Bureau for Humanitarian Response (BHR). Title III, managed by USAID Regional Bureaus, offers concessionally financed commodities with loan forgiveness credited against policy reforms related to food security. The Farmer-to-Farmer program provides technical assistance by U.S. volunteers to developing countries and emerging democracies in the area of agriculture and agribusiness, and is managed by the Office of Private Voluntary Cooperation in BHR. This strategic plan covers only the Title II program managed by FFP/BHR. □

PART I: INTRODUCTION

U. S. Foreign Policy

On a global level, more than 800 million people today are chronically undernourished and more than 180 million children are severely underweight. For the United States, addressing global hunger is both a humanitarian concern and a strategic goal; we give of our resources to help those in need and in crisis, as we seek to eliminate the food insecurity that fuels political instability and environmental degradation. Since 1954, the United States Public Law 480 (P.L. 480) program has provided developing countries with more than \$53 billion in food assistance. The goals of the Agricultural Trade Development and Assistance Act of 1954, as amended, are clear:

It is the policy of the United States to use its abundant agricultural productivity to promote the foreign policy of the United States by enhancing the food security of the developing world through the use of agricultural commodities and local currencies accruing under the Act to:

- combat world hunger and malnutrition and their causes;*
- promote broad-based, equitable, and sustainable development, including agricultural development;*
- expand international trade;*
- develop and expand export markets for United States agricultural commodities;*
and,
- foster and encourage the development of private enterprise and democratic participation in developing countries.*

Overall, U.S. Agency for International Development (USAID) goals are to invest in people, expand access and opportunity, and promote favorable policies and institutional environments that will attack poverty, the primary cause of hunger. Building on these broad goals, the USAID Administrator pointed out in his testimony related to the 1996 reauthorization of P.L. 480 that:

Food insecurity is not going to go away without American leadership. We are by far the largest donor of food aid and USAID has a long tradition of commitment to agricultural productivity in developing countries. There is no other country that can assume global leadership if the United States steps aside . . . Now is the time to stay the course that has served us so well—constructive engagement to make the world more prosperous and food secure. Food for Peace is essential to that effort.

Title II and Title III of P.L. 480—the food aid programs USAID administers directly—totaled nearly \$1 billion in FY 1995. One obvious benefit of food aid is its

immediate ability to feed people, either as part of a humanitarian relief effort, as part of a recovery strategy, or as part of a broader development effort. In situations where direct feeding is critical to humanitarian or development assistance, food aid is the preferred USAID resource.

Strategic Setting

External environment. The present and anticipated external realities of the global food situation leave little room for optimism given the perceived immensity of the problem, as follows:

Growing Needs for Food Aid

- The U.S. Department of Agriculture/Economic Research Service (USDA/ERS) study *Food Aid Needs and Availabilities: Projections for 2005* concluded that: “Food aid needs will nearly double over the next decade, even with reasonably optimistic assumptions about recipient countries' ability to produce their own food or to import food commercially. Total food aid needed to maintain consumption and meet emergency needs is projected at 15 million tons in 1996, increasing to 27 million tons by 2005.” (October, 1995);¹
- Emergency assistance now accounts for more than 50 percent of all U.N. aid. There are, at present, an estimated 16 million refugees and 25 million internally displaced persons. In 1994, an estimated 35 million “at risk” people needed 4.5 million tons of emergency food assistance.
- Global per capita output of grain has been declining since the 1980s. On the basis of grain production trends of the past ten years and projected population growth, it is estimated that per capita grain production will continue to decline—from 312 kilograms per year in 1988-93 to about 300 kg by 2005. This trend is at serious odds with best available estimates that world food production will have to increase by more than 75 percent over the next 30 years to keep pace with population growth.²

Declining Resources

- There has been a global decline in the supply of food aid: a drop from more than 15 million tons of cereals in 1992/93 to around 7.6 million tons in 1995/96, the lowest volume since the 1970s. Low-income food-deficit countries

¹In general, these findings are also supported by recent comparable studies done by the Food and Agriculture Organization (FAO), the World Bank and the International Food Policy Research Institute (IFPRI).

²*Global Humanitarian Emergencies*, 1995.

(LIFDCs) presently receive 85 percent of this amount, but this only covers 9 percent of their cereal import requirements.³

Higher prices for cereals

- FAO has reported that global 1995 production of staple foods, comprising the major cereals, roots and tubers, declined by around 3 percent from 1994, mostly due to decreased cereal production. International cereal prices have risen sharply and high prices are expected to remain firm for the near term. Given shrinking world grain reserves, most analysts predict generally greater market volatility characterized by more frequent price and supply variabilities.⁴ As a result of higher cereal prices, reduced export subsidies and curtailed donations of food aid, the aggregate cereal import bill of LIFDCs was expected to expand by \$3 billion—a 25 percent increase—in the 1995/96 period.

USAID Food Aid and Food Security Policy. The USAID Food Aid and Food Security Policy Paper, as approved in February 1995, guides activity development and resource allocation for all USAID-administered food aid activities. The policy paper provides an overview of the changing nature of global food security—and the recent changes in both domestic and international conditions affecting food aid—and sets the framework for USAID interventions. The paper's principal policy consequences and management implications are:

For Title II Activities

- Priority will be given to activities in those countries that need food most and where food insecurity is greatest. Title II activities will focus on improving household nutrition, especially in children and mothers, and on alleviating the causes of hunger, especially by increasing agricultural productivity.
- USAID will allocate resources and manage activities to increase the impact of U.S. food aid on reducing hunger.
- Food aid resources will be increasingly integrated with other assistance resources (particularly USAID resources).
- Greater attention will be allocated to strengthening the technical and managerial capacity of USAID's food aid partners.

³*Tackling Hunger in a World Full of Food: Tasks Ahead for Food Aid.* World Food Program, January 1996.

⁴The International Food Policy Research Institute (IFPRI) found: “Stocks of all grains including wheat, rice, and corn have fallen to their lowest level in the three decades since accurate records have been kept” (1995).

Role of the Food for Peace Office. In the spring of 1994, FFP initiated its “Food for Peace Transformation Program.” The goals of this transformation program are to enhance the credibility of food aid, and the capabilities of the people who manage it, and to transform how food aid as a resource is perceived and used. The following are among the specific objectives FFP has established, has made progress toward, and which serve as the foundation for this strategic plan:

1. Redefine and more precisely focus food security strategic objectives.
2. Define an Agency food aid and food security policy.
3. Create new streamlined food aid design and review processes.
4. Increase food aid management efficiency and effectiveness.
5. Develop new food aid monitoring and evaluation systems.
6. Develop a “core” set of food aid performance indicators to better assess the impact of food aid.
7. Establish a professional development program and career path for food aid managers within the agency.

Agency reengineering directives require cooperating sponsors and USAID to collaborate closely, as partners, to focus all Title II activities on a limited number of precisely defined objectives in order to maximize the impact of Title II resources on food security. Moreover, cooperating sponsors are expected to participate fully in the following: 1) the planning process of USAID Missions; 2) as members of strategic objective (SO) teams—including participation in the identification of country development problems; and, 3) developing the information required to demonstrate the importance of food aid on food security. Title II resources are expected to be fully integrated with other resources in addressing agreed-upon strategic objective(s).

FFP's centralized functions include:

- Analytical, management and technical support by FFP staff to USAID bureaus and Missions, including the U.S. Mission to the U.N. Agencies for Food and Agriculture (FODAG), and the World Food Program (WFP) in Rome—a major partner for emergency programs. This support strengthens country-level capacity for engaging in policy dialogue to link food aid with food security objectives. FFP will reinforce and complement Mission and regional bureau efforts to promote thorough integration of food and nonfood resources. In particular as the Agency continues to downsize, FFP will work on the elaboration of mechanisms through which USAID will oversee food aid activities in countries where it has no field presence or where that presence is limited.

- Food security analysis, transport, shipping, logistics, and activity evaluation.
- Effective collaboration with a broad spectrum of food aid partners, other U. S. Government (USG) agencies, and commodity and transport interests.⁵
- Collaboration within the Bureau for Humanitarian Response with the Office of U.S. Foreign Disaster Assistance, Office of Transition Initiatives, Office of Private and Voluntary Cooperation and the Office of Humanitarian Affairs in FODAG (OHA/Rome) in food aid-related activities addressing emergency assistance, maternal and child survival, agricultural development, etc.
- Work with technical experts in the Global Bureau to establish high technical standards for activities supported through food aid.

Key Constraints Confronting FFP.

GLOBAL/FINANCIAL: As described in detail above, the international donor community, including the U.S., is rapidly approaching a serious problem in terms of meeting worldwide food aid requirements. For FFP, aside from the Title II budget that has remained static over the past several years, the budgets of both of U.S. bilateral food aid windows (e.g., Title I and Title III), have been substantially reduced. Therefore, transfers from Titles I and III to Title II are limited. Further, the USDA-managed section 416(b) allocation for FY 1996 is virtually nil and is expected to remain so.⁶ However, the USDA-managed Food for Progress program offers some scope for policy reform-oriented food aid that, if coordinated more carefully with USDA, could make our Government's food aid resources even go further.

PERSONNEL: FFP manages more than \$1 billion in P.L. 480 assets annually with a staff of 28 direct hires—professional and support staff—and three PSCs. As highlighted in its 1993 report, entitled *Food Aid: Management Improvements are Needed to Achieve Program Objectives*, the GAO issued a stern challenge to the Agency to significantly improve its management of food aid. In general, management of food aid, both in Washington and in the field, has not been considered “career enhancing.” There are currently only 15 Food for Peace officers remaining in the Agency, while the need for food aid managers in Headquarters and the field has increased substantially.⁷ However, the declining budget reality and the specific and anticipated cuts in the Foreign Operations Appropriations Act

⁵FFP's “partners” are defined as USAID Missions, all levels of host governments, PVOs, other NGOs, IOs, and other food aid donors.

⁶Section 416(b) provided an important buffer source for emergencies—worth hundreds of millions of dollars in some years.

⁷Note: in the late 1980s, Personnel ended the recruitment of Food for Peace officers (Backstop 15). It was resumed in 1995 with the recruitment of two International Development Interns and one FTE.

will require USAID to further reduce overseas programs and presence. USAID presence will be withdrawn in some countries, and both staff and programmatic scope will be downsized in others.

COMMODITY AVAILABILITY: The 1996 fiscal year has seen new docket restrictions, and U.S. export prices for cereals remain under pressure from the tight supply situation.⁸ Wheat prices have risen further in response to both active buying and concern over possible damage to the U.S. 1996 winter wheat crop. These commodity availability and pricing variables must be dealt within the context of a fixed P.L. 480 appropriation. Although the 1996 Farm Bill “straight lines” Title II minimum and subminimum tonnage amounts for the life of the seven-year bill, it remains unclear whether appropriations will be adequate to provide the specified tonnage levels.⁹

Mission strategic planning and results: A review of recent strategies and R4s during Regional Bureau Program Week(s) indicated that: one, a number of Missions now view food aid as an integral component in their country strategies; and, two, some overseas missions are now more willing to plan and manage food aid activities.

RESOURCE ALLOCATION: There are a number of constraints making annual resource allocation of both food aid commodities and development assistance dollar support complex and difficult to quantify in advance.

The total package of food aid commodities must comply with P.L. 480 legislative requirements on an annual basis. Specifically, for Title II development programs, subminimum levels are mandated for PVOs and the WFP, for monetization programs and for “value-added” commodities. A portion of dollar support for food aid programs is then inadvertently earmarked to support these requirements.

Because FFP is already operating at a “management deficit,” i.e., program demands have overtaken staff and dollar resources, allocations have to be made through an ongoing assessment process in order to optimize FFP's effectiveness, given the sum of these constraints.

The onset of emergencies and duration of chronic emergencies cannot be predicted but has a direct effect on development program trends. This, in turn, impacts resource allocations at every level.

⁸Before the beginning of each fiscal year, the Secretary of Agriculture announces the type and quantities of agricultural commodities that will be available for disposition through Title II (section 401(a) of P.L. 480). This declaration is commonly known as the “docket.”

⁹The minimum tonnage required under the 1996 Farm Bill is 2.025 million tons, of which 1.55 million must be used for nonemergency programs and 475,000 metric tons for emergency programs.

In addition to unanticipated emergencies, political priorities weigh heavily in the allocation of food aid resources. These broader decisions are not made by FFP, although FFP is subsequently responsible for program implementation at operational levels.

In sum, the resource allocation process for Title II is complex. While decisions are often made outside of the control of BHR/FFP, these decisions are usually coordinated in consultation with the FFP director and staff. FFP has been delegated the authority to direct the program and the Office Director signs all Title II emergency and development grants and transfer agreements.

PHASE-OUT DILEMMA: There is a consensus among experts that global food aid needs will double over the next decade. While individual programs may be successful, broader and sustainable economic growth is required for a country to become food secure. FFP exerts little or no influence over these variables. On the emergency side, while an individual country may make a successful transition from relief to development, other new emergencies will inevitably occur elsewhere. While a particular PVO presence in a particular country may be phased out, or the country focus may change, the overall need for food aid will continue to expand. Furthermore, there are no USAID guidelines on what constitutes a “food aid graduate.” In the absence of such guidance, FFP will continue to address the needs of the most vulnerable subpopulations within the most food insecure countries of the world in the context of USAID’s “Food Aid and Food Security” policy approved in February 1995.

Customers and Partners.

Customers. Our ultimate “customers” are the portion of more than 800 million food insecure people worldwide who receive P.L. 480 food assistance. People who benefit from food aid are survivors: they have typically managed to live through droughts, nurture families through the depredations of poverty and hunger, and overcome major traumas of conflict or social disruption. Food aid provided at critical times of an individual’s life is a preinvestment in future health and productivity. Because people cannot eat retroactively, it is impossible to make up for the damage inflicted by inadequate nutrition in the first five years of life. Thus, nutritional welfare of mothers and infants is vital. Society as a whole suffers losses when children cannot learn, when poor health restricts energy and productivity, and when hungry women give birth to a new generation that is malnourished. Food aid can help to break the cycle of hunger by enabling the poor to gain better access to services and markets that help them take the first important steps toward food security.

Partners. Food for Peace’s partners are USAID Missions, USAID/W Regional bureaus, all levels of host governments, PVOs, NGOs, IOs, and other food aid donors. Within this panoply of partners, cooperating sponsors (PVOs/NGOs/IOs) are particularly important for FFP. These entities, whether local, U.S., or European-based, are prime instruments in the delivery of Title II emergency and development assistance. On emergency activities, FFP closely liaises with Missions (including OHA/Rome), IOs, PVOs, host governments, STATE/PRM, and increasingly with the National Security Council (NSC)—particularly in

complex emergencies stemming from political chaos. On development as well as relief activities, the U.S. Department of Agriculture (USDA) is an important ally and the convener of the USG's Food Aid Policy Council. Major food aid donors meet semiannually to ensure that increasingly scarce food aid resources are used as efficiently and effectively as possible—to address both humanitarian and food security objectives of the most food insecure countries.

FFP is committed to working closely with all its partners to: a. better target activities; b. refine the concept of host country food security assessments through better definition of purpose, key elements, trends, data quality and discrepancies, and local government commitment;¹⁰ c. continue forward momentum on common, generic food aid performance indicators and mutually acceptable methodologies that cooperating sponsors and USAID can use in measuring the impact of food aid; and d. establishing sound monitoring and evaluation systems.

With WFP and U.S. PVOs, the partnership dialogue has been an evolving process. On December 22, 1993, a Working Group of the Congressionally-mandated Food Aid Consultative Group (FACG) submitted a proposal to the USAID Administrator entitled *Food Aid Management by Objectives*. Over the past two years, there has been substantive progress achieved in the following four areas:

1. **MANAGING FOR RESULTS:** A commitment by both USAID and the cooperating sponsors to manage for results, which incorporates mutual agreement concerning:
 - what will be accomplished;
 - a time frame for achieving results;
 - a system for measuring and reporting results; and,
 - realistic identification and measurement of impact.
2. **JOINT PLANNING:** The need has been acknowledged for cooperating sponsors and USAID Missions to collaborate in the planning and design of food aid activities.
3. **MULTIYEAR FFP APPROVAL:** A multiyear activity approval process has been endorsed to commit the mix of food and nonfood resources required, thus empowering our partners.
4. **PROCUREMENT PLANNING:** A preliminary 1997-1998 procurement plan was developed with WFP so that more commodities can be procured when commodity prices are at their seasonal lows. This joint planning exercise may result in savings of \$10 million annually.

¹⁰In this context, USAID and the European Community have agreed to take the necessary measures to promote the formulation of national food security strategies and an action program, which will clearly define the roles and the contributions of recipient governments, donors and cooperating sponsors. These were done by December 1996 in five low-income food-insecure countries, namely Ethiopia, Eritrea, Malawi, Angola, and Bolivia.

Dialogue continues between FFP and its partners in the following areas: identification of the best activity objectives and interventions, the activity approval process, and the level of USAID management and oversight. The 1996 Farm Bill endorses a continued pivotal role for the FACG.

As FFP and its partners reach agreement on the strategic objectives and results intended, it should be possible for FFP to leave routine oversight of food aid activity implementation to these partners. To reach this objective, it will be important for food aid proposals to demonstrate the same analytical rigor required of dollar-funded activities. It will also be important for USAID field missions to strengthen collaboration and dialogue with cooperating sponsors, as was encouraged via the Agency's Policy Guidance on the USAID/PVO Partnership (June 1995).

Most important, FFP and the Agency expect food aid and food security activities to result in the enhanced capacity of local counterparts, even after U.S. government assistance ends. Building local capacity has been an important objective of all USAID-funded food aid activities, since it is essential both to improved food security and to sustainable development. Even in its earliest stages, this approach has proven to be invaluable for the transition in food aid recipient countries where USAID no longer has a presence. For example, two of the largest developmental food aid programs in the African region are now in nonpresence countries. USAID's partners will take responsibility for the "managing for results" reporting requirements associated with their programs in these nonpresence countries. One of the two overriding objectives of the President's Greater Horn of Africa Initiative is precisely "the improved ability by Africans to attain sustainable food security."

Office Goal.

Unlike most operating units in USAID, FFP's strategic objectives do not contribute to a single goal. Rather, each FFP strategic objective contributes to strategic objectives in the BHR and Mission plans. These are discussed in more detail in the objectives in Parts II and III that follow.

Because they contribute to different objectives, each strategic objective plan, presented in Parts II and III, should be viewed as "stand-alone" plans. Each strategic objective team was allowed to present its plan as it deemed most useful as a management tool, provided that all essential subjects were discussed and addressed. □

PART IIA: STRATEGIC OBJECTIVE NUMBER ONE

Summary.

Food for Peace's emergency relief objective is to meet the critical food needs of targeted groups. Relief continues to be the primary response in humanitarian assistance since it addresses the most immediate need. Performance at the strategic objective level is to be measured by the percentage of targeted populations reached by food aid programs as well as impact on nutritional status of beneficiaries. Data on these performance indicators will be collected by cooperating sponsors and reported to FFP on a semiannual basis.

Intermediate results that will lead to the fulfillment of this strategic plan are:

- Improved targeting of food aid to the most vulnerable populations;
- Food aid delivered to target groups on schedule;
- Improved planning to transition relief activities to development; and
- Strengthened capabilities of cooperating sponsors and host country entities to manage emergency food aid programs.

Performance at this interim level will be monitored by FFP through the review of program proposals, semiannual and final reports, and regular monitoring of food aid operations.

Since “how” emergency food aid is implemented can play an important role in sustainable development, the FFP strategic plan will seek to:

- Pay specific attention to avoid the negative impacts of food aid in program design and implementation (do no harm);
- Meet transitory and emergency food requirements in ways that encourage recovery, development and a capacity to satisfy future food needs;
- Promote the effective and equitable involvement of local populations in decisions that affect food security, with particular attention to maximizing participation of women; and,
- Ensure international cooperation in food aid programming.

Linkages to Agency and Bureau Goals and Objectives.

In the Fall of 1995, the Bureau for Humanitarian Response developed five Strategic Objectives, as follows:

1. Critical needs of targeted vulnerable groups in emergency situations met;
2. Minimize the effects of disasters and stabilize selected vulnerable and transitional societies;
3. Strengthened capability of PVO & NGO community and IOs to deliver development and emergency services;

4. Sustainable improvements in household nutrition and agricultural productivity for vulnerable groups reached by USAID food aid programs; and,
5. BHR more effectively influences Agency integration of food security, disaster relief, and PVO/NGO collaboration in strategic planning for country programs.¹¹

Given that BHR has leadership responsibility for managing the Agency's humanitarian assistance and that food aid is of course the largest component of USAID's humanitarian assistance effort, FFP will support all five SOs.

FFP's Strategic Objective Number One fits closely with USAID's long-term objectives to:

- Increasingly use food aid for improved long-term food security;
- Improve activity performance and impact measurement;
- Move beneficiaries away from food aid “dependency” toward sustainable development; and,
- Provide humanitarian assistance that saves lives, reduces suffering, helps victims return to self-sufficiency, and reinforces democracy.

The linkages between formal Agency, BHR and FFP Strategic Objective One are illustrated in Figure 2 (page 12).

¹¹ Bureau for Humanitarian Response Strategic Plan, August 1995, pg. 23.

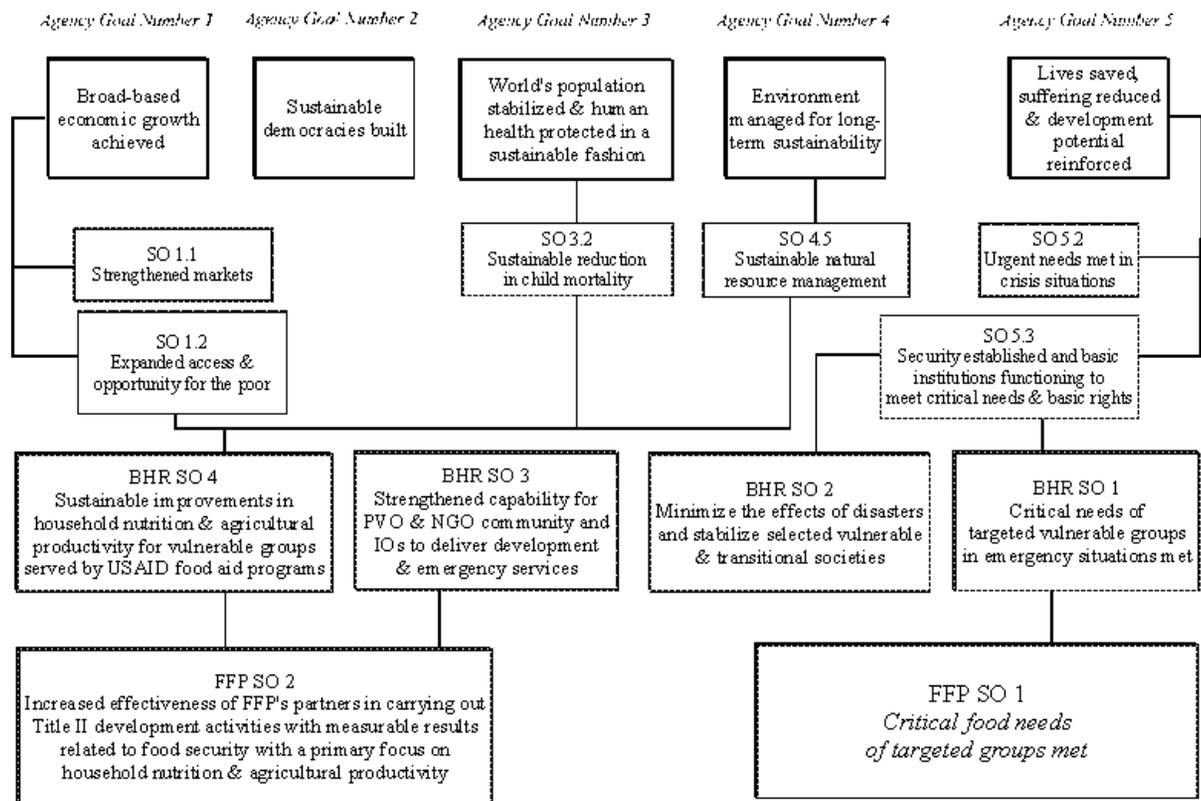


Figure 1. Linkages between Agency, BHR and FFP SO1.

Strategic Objective One: Critical Food Needs of Targeted Groups Met.

By meeting the critical food needs of vulnerable groups when a natural or manmade disaster strikes, Food for Peace can, in partnership with other emergency interventions: minimize the human and economic loss, accelerate the return to normalcy during a transition period, and increase the chances for sustainable long term development. Appropriate emergency relief, coupled where possible with transitional and development assistance activities, will not only help save lives and alleviate suffering, but also will begin the process of rehabilitation and accelerate the return to development. If humanitarian crises are not addressed opportunely (e.g., before famine and/or social disorder perpetuate), then the costs of rehabilitation and reconstruction invariably grow geometrically.

The Office of Food for Peace's (FFP) *Strategic Objective Number One (SO1)* for emergencies is stated as "Critical food needs of targeted groups met." This objective is consistent with the Agency's goal of "Saving lives, reducing suffering and development potential reinforced" because by meeting critical food needs, food aid seeks to save lives. *SO1* aims to reduce the malnutrition rate of affected populations to preemergency levels through a variety of interventions, which are implemented primarily by WFP and private voluntary organizations (PVOs) and nongovernmental organizations (NGOs), although in some instances host governments serve as implementation partners.

The activities under this strategic objective take place during emergency and post-emergency transitional situations—both natural and manmade—such as a drought, protracted refugee crisis (e.g., Great Lakes region of Africa), and/or complex emergencies involving prolonged civil strife (e.g., former Yugoslavia). Many complex disaster interventions are directed toward refugees and internally displaced persons, although beneficiaries may also include other vulnerable groups such as the elderly, orphans and the infirm. The number of complex emergencies has grown sharply in recent years. There were at least 50 serious armed conflicts ongoing in the world in 1995. These crises are complex not so much in their manifestation of human suffering as in their scale—often regional rather than national—and in the complexity of their causes and potential resolution, which often have political and military dimensions. Natural disaster interventions are directed toward those people suffering from disasters such as drought, floods, cyclones, earthquakes, etc. Interventions directed at post-emergency societies vary, but can focus on returnees and re-settlers as well as combatants.

Problem Analysis. While FFP's most important objective is to try to ensure that critical food needs of people affected by natural disasters and complex emergencies are effectively met, the specific needs vary greatly depending on the situation. Given the often complicated political, military and security arena that defines complex emergency situations, the ability of FFP and other donors to meet the critical needs of population subgroups that are at risk is greatly challenged. Natural disasters, protracted refugee operations and complex civil emergencies almost always lead to food insecurity for the affected population. Affected populations in post-emergency situations are usually food insecure in the short term and are unable to meet food needs because of a lack of

resources. In some countries, coping mechanisms may be sufficient, at least in the short-term, for people to adapt. Emergency food aid operates in an environment that has been severely weakened, either by war or natural disaster, leading to the exhaustion of coping mechanisms or the inability to renew them sufficiently to meet the desired needs of the affected population.

Safe passage for relief personnel and commodities is often threatened in complex emergencies. Insecurity compounds the difficulty in assuring efficient and effective assistance delivery, as well as the ability to fully account for food resources provided. The displaced or migratory nature of the affected population(s) hinders the planning and delivery of humanitarian assistance. The lack of viable social and economic structures results in a vacuum in which the coordination of humanitarian assistance is very difficult. This instability is often compounded by inadequate past investments, infrastructure deficiencies, rapid population growth and environmental limitations to increased productivity. Complex emergencies as well as transitions out of an emergency can last for years, placing a major burden on FFP's food assistance resources. Although coordination has improved between bureaus and offices, there is need for further improvements. Improved planning and better coordination among the bureaus, NGOs and donors will lead to transition of relief activities to development programs. This should result in the graduation of emergency activities to more sustainable programs and, where appropriate, to a successful closeout (*Intermediate Result Number Three*).

The lengthy nature of the majority of crises compounds people's ability to adapt because of insecurity, leading in some cases to constant movement, which in turn affects their ability to plant food crops. In these crisis situations the impact of hunger is not limited to the individuals involved. Host communities, typically as poor as the poor coming to them for help, are drawn into the dislocation. The hosts are often affected by commodity price hikes, reduced wages as labor markets are flooded, curtailment of local or national development activities, and widespread natural resource damage resulting from new concentrations of displaced persons needing land and fuel for survival. The purpose of FFP's SO1 is to alleviate the effect of the crisis by making people more food secure through the timely provision of adequate food resources, and to stabilize vulnerable populations in post-emergency transition periods.

Emergency programming necessary to meet the critical food needs of vulnerable groups is implemented primarily by two traditional cooperating sponsors: WFP and NGOs/PVOs. Together, they provided the bulk of humanitarian food assistance to alleviate the suffering of more than 20 million people in 1996. Host governments are also eligible to implement emergency food aid programs. Implementing partners have varying capabilities to design, implement and evaluate emergency programs. Strengthened capabilities of implementing partners will enable FFP to assess performance over the life of the strategic objective and intermediate results, using established indicators and targets (*Intermediate Result Number Four*). Technical assistance will be needed to help cooperating sponsors develop programs that incorporated the management-for-results framework from the assessment and design stage. Clearer guidelines (for proposals) and tools (such as needs assessment and nutritional assessment protocols) must be provided to ensure standardization across

programs and cooperating sponsors. Where feasible, efforts will be made to develop guidelines and tools that are complementary to other Bureau for Humanitarian Response (BHR) offices, particularly the Office of Transition Initiatives (OTI), the Office of U.S. Foreign Disaster Assistance (OFDA), and the BHR Office of Humanitarian Affairs in Rome (OHA/Rome).

The costs of providing emergency food assistance are rising. In 1995, the global cost of emergency food relief to the Title II budget was in excess of \$500 million.¹² Given the significance of the emergency share of the overall food aid portfolio, it is imperative that FFP, through its cooperating sponsors, target its assistance as efficiently and effectively as possible. *Intermediate Result Number One* seeks to ensure that food aid is better targeted to the needs of vulnerable populations. Regular reassessment will help to redefine target groups, food requirements, and whether or not changes should be made. *Intermediate Result Number Two* addresses the timely arrival of food aid commodities. While it is recognized that certain constraints are beyond the control of FFP, every effort will be made to streamline procedures and expedite emergency program responses.

Results Framework. Figure 3 (page 18) is the graphic illustration of the Results Framework, including the Intermediate Results that FFP believes necessary for the achievement of SO1. Performance indicators outlined in the framework will need to be tested for appropriateness and feasibility in collection. Critical assumptions affecting impact, particularly those affecting nutritional status in targeted groups, will require careful monitoring. As part of the results package, a Performance Monitoring Plan (PMP) has been developed which indicates how results will be monitored and measured. The PMP includes a definition of each performance indicator (SO and IR level), the source, method, frequency of data collection, and the partner (FFP, OHA/Rome, WFP, PVOs/NGOs) responsible for ensuring data are available and analyzed. Realistic yearly targets and a time frame for achieving results will be established as soon as a baseline has been established.

Since FFP's programs are implemented by cooperating sponsors, FFP utilized a participatory approach in planning and developing its management-for-results framework and the Performance Monitoring Plan. Active involvement of U.S. PVOs through the working group of the Congressionally-mandated Food Aid Consultative Group (FACG) and host-country consultations has been invaluable in developing a framework that addresses the need to pay specific attention to the negative impacts of food aid. The participation of WFP's evaluation unit in this process suggests that our IO partners will be able to address this issue as well. Recognizing that "how" emergency food needs are met can influence longer term development efforts, programs (where appropriate) will place greater emphasis on the "relief- to-development" continuum.

¹² Title II allocations to emergencies in previous Fiscal Years were as follows: FY 1991, \$386 million; FY 1992, \$356 million; FY 1993, \$397 million; FY 1994, \$494 million; FY 1995, \$503 million.

To operationalize the Results Framework, cooperating sponsors will require technical assistance, particularly in data collection and analysis, and the development of MIS systems. Workshops and training sessions are envisioned to provide technical support to cooperating sponsors, inclusive of indigenous staff. Essential tools for rapidly assessing needs and nutritional status in emergencies will be developed and, where appropriate, may be linked to ongoing efforts, such as those by OFDA, Interaction, World Health Organization (WHO) and other groups.

Intermediate Results. Below is a description of the Intermediate Results that will logically lead to the fulfillment of the strategic objective that is to meet critical food needs of targeted groups.

INTERMEDIATE RESULT NUMBER ONE: *Improved targeting of food aid to the most vulnerable populations*— supports SO1 by insuring that the target population has sufficient food resources to reduce the threat of death from malnutrition, and to sustain them on their own at a level comparable with preemergency levels.

This intermediate result seeks more effective and continuous targeting of the most vulnerable groups. Needs assessments will help determine whether the most vulnerable groups are receiving food aid and at the appropriate ration levels. Assessments also will determine the extent to which local capacities can respond to the disaster, and the availability of other coping mechanisms. A continuous process of needs assessment will lead to an updated analysis of the situation and whether or not target groups or ration levels should be modified.

Assessment of vulnerabilities will include gender and ethnic issues. In particular, the participation of women in the distribution of food aid should help to ensure equity and effective targeting of the most needy. Separating data on vulnerable groups by gender and age should make it easier to design programs that meet the needs of primary disaster victims, especially in long-term complex emergencies, where there are higher risks for malnutrition.

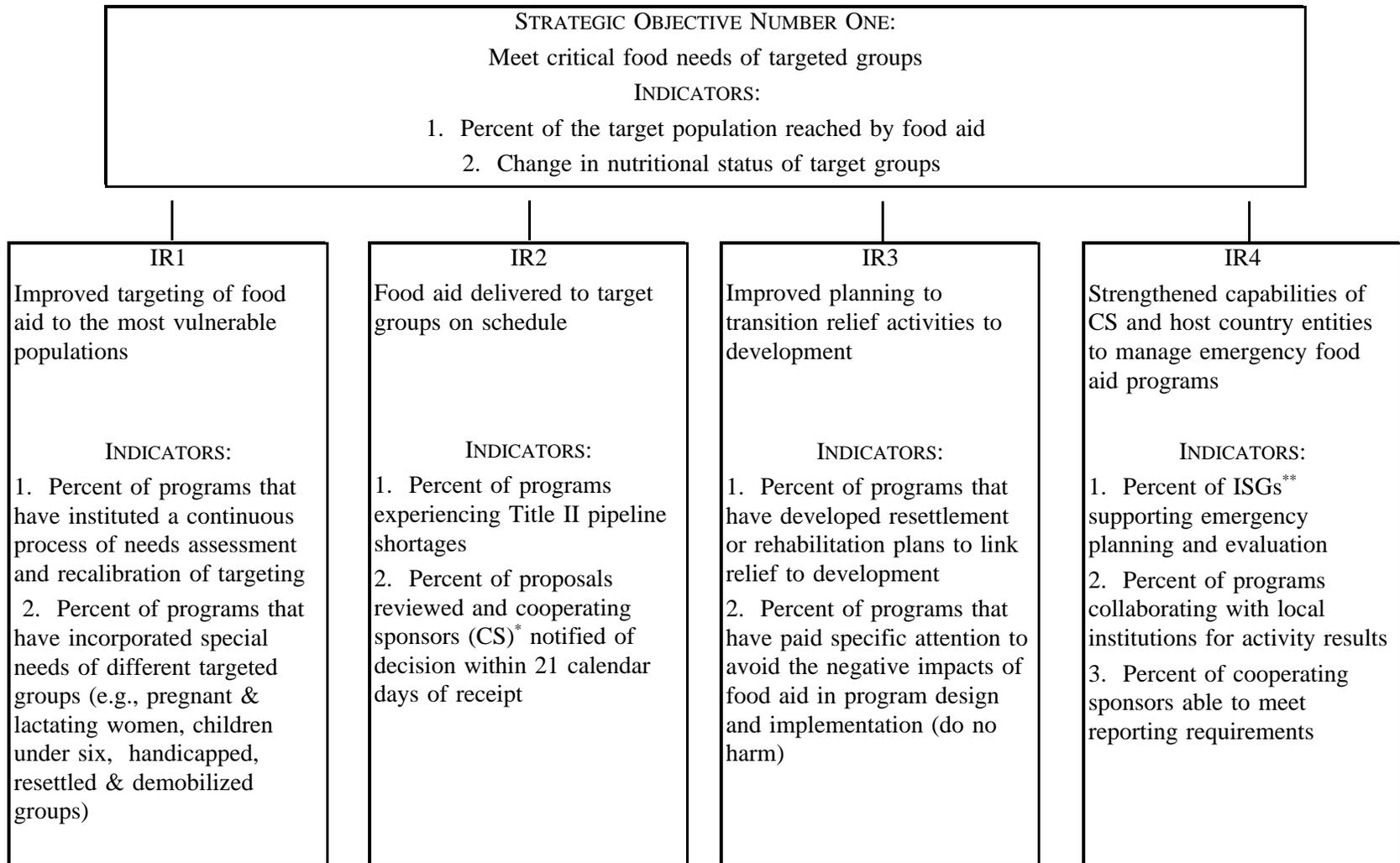
INTERMEDIATE RESULT NUMBER TWO: *Food aid delivered to target groups on schedule*— focuses on expediting the delivery of emergency food aid and improving customer service. A more streamlined review, approval, procurement and transportation process will be required to achieve this intermediate result. This, in turn, will lead to more regularized shipments of agricultural commodities to the regions experiencing civil strife or natural disasters, thereby maintaining pipelines and ensuring that appropriate levels of food are available when needed by the target populations. Timely distribution of food commodities by WFP and PVOs/NGOs is being sought, although this may not be always feasible under conflict and strife conditions.

INTERMEDIATE RESULT NUMBER THREE: *Improved planning to transition relief activities to development.* With the recent thrust of humanitarian assistance shifting from natural disasters to protracted complex disasters, food aid programs need to look beyond short-term emergency relief to supporting the transition to long-term sustainable development.

This IR represents the transition between emergency relief, rehabilitation and recovery. Countries in a post-emergency phase may still require critical food assistance, until they have reached a period of normalcy. Indeed, during an emergency transition period, an array of USAID or other donor programs must coexist: emergency humanitarian relief (both food and nonfood aid), aid to resettlement of returnees, and longer-term activities that promote national reconciliation and democratization. Without combining developmental activity inputs with humanitarian inputs, there exists the dangerous possibility of a slide back into an emergency situation. This is particularly true of those societies “transitioning” out of a complex emergency. To respond more effectively to emergencies, better planning, coordination and wider burden sharing among donors is required. To promote the transition of countries from relief to development, transition or exit plans will be developed for each emergency coming to an end, or in transition.

The second performance indicator addresses values placed on food aid by FFP and its implementing partners. Criteria have been established, with active participation of PVOs through the Food Aid Consultative Group (FACG), to ensure the “do no harm” value attributed to U.S. food aid. Criteria for program design and implementation, such as community stabilization and local capacity building and participation, are reflected in IR3. This is an attempt for relief interventions to be designed and implemented on the basis of the same principles that guide sustainable development. The need is recognized to shift the focus from inputs and food aid distribution to results of integrated programs. Linkages with complementary activities, such as Institutional Support Grants (ISGs), and longer term interventions will help to enhance longer term development and humanitarian impact.

INTERMEDIATE RESULT NUMBER FOUR: *Strengthened capabilities of cooperating sponsors and host country entities to manage emergency food aid programs.* In addition to increased attention and dialogue, financial resources are specifically dedicated to strengthening the program development and management capacity of USAID's food aid partners. P.L. 480 section 202(e) funds and Institutional Support Grants (ISGs) from the Foreign Assistance Act assist cooperating sponsors involved in development and/or emergency activities toward: a. improved country program capabilities to use Title II food as a resource to achieve food security; b. better accounting for Title II commodities; and c. enhanced management skills of partners' staff involved in Title II programs both overseas and at Headquarters.



*Cooperating sponsors (CS): PVOs, NGOs, WFP, and other organizations that implement USAID food aid programs.

**ISG: Institutional Strengthening Grants (FFP)

Figure 2. Food for Peace: Results Framework for Emergencies.

Critical Assumptions and Constraints. In developing this strategic objective, FFP predicated its analysis on several assumptions and constraints.

ASSUMPTIONS:

- Food aid will remain the major demonstrative U.S. Government response to humanitarian crises worldwide.
- Food aid is complemented with nonfood resources, e.g., water, sanitation, medical support, and shelter.
- Sufficient quantities of U.S. agricultural commodities will be made available for emergency aid response.
- Sufficient funding and staff made available to respond to emergency food aid activities.
- There will continue to be “burden-sharing” with other donors on emergency responses.
- Ability to deliver commodities is not impeded by violence or security problems.

CONSTRAINTS:

- Providing humanitarian food assistance is contingent upon partners' ability to access vulnerable groups, especially under conflict/strife conditions.
- The lack of respect for basic human rights and lack of local democratic institutions in conflict areas.
- The paucity of properly trained and equipped personnel with sufficient experience for deployment in field operations.
- The institutional and logistical capacity of cooperating sponsors.
- That “burden-sharing” is not perceived by others to be a call for them to simply fill the vacuum created by substantive cuts to the U.S. food aid budget.
- Resource limitations could result in the provision of emergency food aid to only those countries where there is a clear U.S. national interest (e.g., Haiti, former Yugoslavia).

Commitment and Capacity of FFP Partners in Achieving SOI and IRs. We live with the budgetary reality that every dollar spent on emergency food relief is a dollar less to spend on longer-term development. Under these circumstances food aid must be preventive in nature and it must be targeted.

WFP is FFP's largest partner for emergency operations. As a member of WFP's governing body, the U.S. delegation (USDEL)—with substantive FFP input—has worked successfully with WFP to:

- Improve its procedures and internal controls for distributing, monitoring and safeguarding donated commodities;

- Provide more thorough and accurate commodity loss reports on a project-by-project basis;
- Include commodity management problems in WFP's activity evaluations, and WFP's actions to correct deficiencies; and,
- Improve its procurement planning so that more U.S. commodities can be procured when prices are at their seasonal lows.

FFP has successfully supported the inclusion of WFP as an eligible organization for the annual allotment of section 202(e) funding in the 1996 to 2002 Farm Bill and to help WFP partially meet its program support and administrative (PSA) costs. FFP has supported the payment of PSA costs as a line-item charge in internal transport, storage and handling (ITSH) costs, in order to strengthen WFP monitoring and oversight. FFP also has worked closely with OHA/Rome, BHR/OFDA and the Department of State's Population, Refugee and Migration (PRM) to provide monitoring and oversight support cost assistance to WFP. In addition, FFP has teamed up with BHR/OFDA to provide a multiyear disaster mitigation grant (\$2.5 million) to WFP, which emphasizes emergency training, vulnerability mapping, and enhanced activity interventions through better strategic planning. Further, FFP is working closely with the Africa Bureau's Famine Early Warning Services (FEWS) project to identify food requirements in Africa, six to eight months before emergency food aid is needed.

FFP has strongly supported linkages between WFP and U.S. PVOs to strengthen program implementation and oversight. In January 1995, WFP signed a Memorandum of Understanding (MOU) with the Catholic Relief Services (CRS), which is expected to lead to improvements in the cost-effectiveness and efficiency of joint emergency operations through closer links in needs assessments, implementation, monitoring and evaluation. In mid 1996, MOUs were signed with World Vision Relief and Development (WVRD), CARE and Save the Children, U.S. (SCF).

Concerning transition programming, the World Food Program's Mozambique rehabilitation activity is an example of the relief-to-development continuum type of activity that FFP would like to see WFP widely replicate. The activity targets the most food insecure; it was designed in cooperation with the World Bank; NGOs are implementing partners; improved but appropriate building construction technology will be used; and emphasis is on WFP procuring food locally whenever possible, to avoid food aid serving as a disincentive to local production. Another successful intervention has taken place in Cambodia, where:

Free handouts are minimized in favor of the adoption of more selective interventions that no longer distinguish between repatriates, internally displaced people and vulnerable groups. Using poverty mapping, the poorest communities and people are selected and are encouraged to identify and implement activities that will best support them in the longer term.¹³

¹³ *Semiannual Emergency Report*, WFP, November 1995.

A vital United Nations (U.N.) “sister” organization for WFP is the United Nations High Commissioner for Refugees (UNHCR). UNHCR-WFP cooperation is crucial to the well being of refugees worldwide.¹⁴ Food aid is the single most important component of any refugee assistance activity. In those instances where UNHCR assumes ultimate responsibility for food aid monitoring and control (e.g., Bosnia), better and more comprehensive direction is needed on how UNHCR and its implementing partners should account for, monitor, and report on the use of WFP-provided food assistance. Areas requiring attention include: improved flow of information on nutrition issues; finalization of guidelines on selective feeding; the convening of further regional consultations; and the upgrading of commodity tracking systems. In this instance, a close working relationship between FFP and State's PRM—the major U.S. Government-funder of UNHCR—is imperative.

Approaches. As described above, there are several types of emergency and transitional situations to which USAID responds with Title II food assistance. Because the type of emergency, and the distinction between emergency and post-emergency rehabilitation situations, structure the nature of the most appropriate response by the FFP Office and its implementing partners, three illustrative approaches by the FFP Office are briefly presented. These cases represent:

- Recurrent natural disaster situations, such as drought caused by “El Nino” in Southern Africa, or poor rains in the Horn of Africa;
- Complex political emergencies, such as Bosnia and Sierra Leone; and
- Post-emergency or transition cases where rehabilitation is required, such as Mozambique and Angola.

MEET CRITICAL FOOD NEEDS OF VULNERABLE GROUPS IN NATURAL DISASTER EMERGENCY SITUATIONS. In areas of recurrent drought (e.g., parts of Southern Africa) or flooding (e.g., Bangladesh) both centralized and decentralized early warning systems have generally been established by networks of host government, NGO and donor resources.¹⁵ Often using data provided by these systems, a declaration of an emergency by the U.S. Ambassador or an appeal by an international organization opens the opportunity for Title II emergency food assistance. Food aid is channeled through the WFP and/or PVOs/NGOs as they submit humanitarian assistance proposals.

Generally, natural disaster emergency situations are characterized by more precise geographic and household targeting, limited security problems, and an absence of large-scale movement of victims far from their communities. This means that affected populations can still mind their fields and animals; their local coping systems remain intact; and they can more rapidly mitigate the effects of the disaster and reestablish their

¹⁴ This cooperation is governed by a Memorandum of Understanding (MOU) that was signed in 1992 and has several revisions to date.

¹⁵ One example of this is USAID's Famine Early Warning System (FEWS).

livelihoods. Another key factor is that the host governments and PVO/NGOs are generally taking the lead, or cooperating with humanitarian assistance efforts. Interventions are often targeted, such as vulnerable group feeding or the enhancement of physical infrastructures—like dikes, wells or roads—through food-for-work (FFW) activities.

With recurrent emergencies (e.g., periodic droughts), FFP expects regional bureaus, Missions and cooperating sponsors to focus on and invest in more permanent sustainable development measures to reduce the impact of such emergencies (i.e., planting drought tolerant crops or improving agricultural and water policies and practices).

MEET CRITICAL FOOD NEEDS OF VULNERABLE GROUPS IN COMPLEX POLITICAL EMERGENCY

SITUATIONS. The key factors in these increasingly frequent complex political emergencies are: the breakdown of security with armed factions creating an environment of violence; the government structure either is weakened or politicized so that it cannot ensure law and order nor provide services to all citizens; and large-scale, forced movement of people from their livelihood base, becoming either refugees pushed into camps in neighboring countries or internally displaced persons in a strife-torn environment.

During the peak of violence and forced movement, it can be difficult for cooperating sponsors to conduct needs assessments and to deliver goods and services. In these emergency situations, the Food for Peace Office relies on its cooperating sponsors in the country to follow the only feasible strategy of targeting—such as those persons with refugee status in camps or internally displaced populations (IDES) located around feeding centers—and to provide general feeding programs with full rations.

Because of the intransigence of political and security issues, a general feeding activity may become a prolonged assistance effort. However, as the emergency continues and livelihood opportunities increase, FFP encourages and cooperates with its partners in collaborative reassessment efforts to collect data that will allow them to sort out beneficiaries with livelihood resources, and to better target food supplement activities to the currently “most vulnerable.” For example, FFP's principal partner for emergency food aid interventions, WFP, has embarked on a wide-ranging study of policy and practice with regard to gender-related issues in emergencies, recognizing “that women continue to face obstacles in access to relief supplies and have special needs, largely on account of their disproportionate burden in caring for their families.”¹⁶

In addition, FFP encourages its implementing partners to target food through food-for-work channels when there are opportunities to do so. The emergency ends with “peace” status and return of IDES and/or refugees to some resource base. This emergency termination process may be drawn out over a multiple-year period, with cooperating sponsors working under food aid grants that are amended as assessments track the changing situation of beneficiaries.

¹⁶ Statement made by WFP at the international Food Aid Donor Forum, March 1996.

The collection of data in complex emergencies, except in some camp situations, is both costly and inherently difficult. Approximate estimates of needs and targeted beneficiaries will frequently change as the political situation changes and new estimates are made. Monitoring and impact measurements are irregular at best and often not carried out. The number of beneficiaries is frequently imputed on the basis of the amount of rations distributed. There are many concurrent players providing emergency assistance and frequently no standardized or regularized data collection effort to measure impact. However, some PVO/NGOs have undertaken efforts to measure their own impact. This is expected to become an increasingly central theme for FFP in our ongoing dialogue with our partners.

CONTRIBUTE TO THE STABILIZATION OF POST-EMERGENCY SOCIETIES USING FOOD AID FOR REHABILITATION ACTIVITIES. When the fighting ends, and “peace” has been secured, food assistance is combined with other resources to stabilize or rehabilitate the basic structures of society. FFP food-assisted interventions in a particular transition situation depend on both the country's rehabilitation needs and opportunities, and on the responsibilities assumed by various donors and implementing agencies—either in a formal, joint Transition Plan or through informal agency agreements. FFP-supported interventions can range from a larger package with food-for-work and resettlement activities, as crafted in the Angola Transition Plan, to crop-support as practiced in Mozambique, where war returnees were supported for two crop periods—sufficient time for them to develop a basic security level.

In Angola, USAID food assistance is being used for the following objectives:

- Demobilization of armed groups and resettlement of soldiers to civilian livelihoods;
- Safe return and resettlement of refugees and IDES, including support for one successful agricultural season;
- Food-for-work rehabilitation of critical physical infrastructure (e.g., roads, bridges, and water sources); and
- Feeding efforts targeted to very vulnerable groups (e.g., orphans or disabled).

Food for Peace is cooperating in the design and implementation of time-bound Transition Plans for post-emergency countries, with food-assisted rehabilitation to be terminated when specific benchmarks are met (e.g., one to three year rehabilitation efforts). As the transition effort proceeds, Food for Peace entertains proposals for both transition and development activities. These proposals are defined by the relative stability of particular regions. FFP is presently working with the Africa bureau and the USAID Mission/Regional Economic Development Support Office (REDO) in the design of a strategic framework for Somalia, where the overarching goal is “reducing the vulnerability of populations at risk and facilitating an enabling environment for self sufficiency.”

FFP has closely collaborated with a BHR/OFDA-led disaster mitigation grant initiative with WFP to strengthen the latter's disaster mitigation efforts. The program includes carrying out vulnerability assessments and emergency training workshops, establishing

mapping units, and strengthening of WFP's country strategy outlines (SOS) and its activity preparation process.

Achieving Sustainability. The scope for linking relief and development depends on the nature of the emergency. In man-made disasters, measures to improve prevention and preparedness are difficult and complex, and rehabilitation leading to development is most often a lengthy affair. Nevertheless, *USAID Guidelines for Strategic Plans* underlines that “humanitarian assistance is integral to sustainable development, and strategic plans must recognize the critical linkages between development and humanitarian assistance programs” (1995). In this realm, USAID needs to remain proactive and open to opportunities in:

- Developing capacity building elements within relief operations;
- Improving disaster preparedness through vulnerability mapping, early warning systems and institutional development;
- Better regional coordination in preparing for and managing crises (e.g., Rwanda/Burundi, Liberia region, etc.); and,
- Ensuring that phase-out or “exiting” criteria are included in emergency strategies.

At present, it is clear that funding for assistance to victims of man-made disasters is seldom able to cover much more than basic food needs. Additional and complementary resources for developmental components and preventive measures need to be sought vigorously.

One example of a successful transition program is Mozambique, where the use of food aid—coupled with international donor and World Bank cash support—to feed two million returnees from six neighboring countries of asylum has allowed for peaceful resettlement, increased farming, and infrastructure improvements. Due to these advances, in 1997 we will see the elimination of emergency food aid, except where required to respond to drought.

Measuring Impact. FFP and its partners have jointly agreed upon a set of impact indicators for measuring overall progress toward the strategic objective, and intermediate result indicators for monitoring progress. People-level impacts of food assistance activities reflected in the strategic objective are extremely difficult to measure under emergency situations. Over the next two years, FFP and its partners will test these generic indicators of performance that will be directly measured by cooperating sponsors, with some assistance by FFP, USAID missions and international organizations. Guidelines for proposals and reporting now incorporate agreed-upon performance indicators, which will be implemented within the next few months. Other essential tools that will be provided to cooperating sponsors include guidelines for assessing needs and nutritional status.

Performance indicators will be collected for all programs and reported in the following year's R4. An in-depth analysis of field experience in implementing the results framework

will be undertaken in four countries, with information on the feasibility of data collection and appropriateness of performance indicators. The four selected countries represent different types of emergency programs, and these are:

BOSNIA—with CRS, American Red Cross (ARC), WFP

SUDAN—with CRS, ADRA, Norwegian Peoples' Aid (NPA)

ANGOLA—with CRS, CARE, SCF, WVRD, WFP

LIBERIA—with CRS, WFP

An outline implementation plan will be developed with cooperating sponsors for pilot-testing the framework. Implementation will be undertaken at a manageable pace, initially in one or two countries. This will provide the opportunity to learn from the initial field experience and to refine the framework, if necessary, before a broader application is made. Some flexibility and adjustments are expected to accommodate each in-country situation.

Impact will be measured through

- Percentage of targeted populations reached by food aid; and
- Change in nutritional status of target groups.

Target groups will be defined by each program at the start of an activity. This will include the most vulnerable populations identified through needs assessment. Ongoing monitoring of food distribution and recipients will provide information on whether or not targeted populations are being reached. Coverage results, to be reported as percent of targeted populations reached, disaggregated by gender and age will be included in the semiannual and final reports.

Because of the nature of complex political emergencies, targeting activities and measurement of prevalence of malnutrition among affected vulnerable groups depends on a variety of conditions, including security, access and availability of funds and staff time of cooperating sponsors. However, in order to more effectively meet Agency and Congressional requirements to demonstrate the impact of food aid, partners have been asked to establish baselines and collect regular information on nutritional status of vulnerable groups using a standardized, rapid assessment methodology.

The rapid nutritional assessment will be based on simple anthropometry data and clinical signs limited to children aged 6 to 59 months who serve to represent the general population. Frequently, children in this age group are the first to show signs of malnutrition. They are generally highly vulnerable and in times of nutritional crisis may show increased morbidity and mortality. Children less than 6 months of age, apart from being difficult to measure, are often still breast-fed and, therefore, better nourished. Change in nutritional status of children, 6 to 59 months of age, will be compared with status at baseline (preintervention) by each program. The use of a standardized protocol will enable comparison of data across programs. The prevalence of malnutrition will be reported in percentage, and data disaggregated by gender. Where a rapid assessment is

not possible due to access or security reasons, efforts will be made to collect and report on data available from other sources, such as from UNICEF, MSF, or other groups.

In emergency contexts, FFP cannot demand as much rigor and regularity in results measurement as is possible in a development situation; although, it can encourage implementing partners to have more regular and effective measurement efforts. In this regard, FFP has frequently participated in the U.N. Food and Agricultural Organization (FAO)/World Food Programme (WFP) needs assessment missions (e.g., Liberia region, Angola, Africa Great Lakes region), to both assure through direct participation that resources are not being wasted and that the truly most needy are being served. WFP has been strongly encouraged and financially assisted (by State/PRM) to conduct an impact evaluation of its intervention in the Liberia region in order to document “lessons learned” from this massive intervention.¹⁷ FFP also used FY 1995 funding to partially underwrite a WFP review of its Mozambique Protracted Relief Operation (PRO).

In addition to the above impact indicators, intermediate results will be monitored by the FFP Office, as follows:

- Improved targeting of food aid to the most vulnerable populations;
- Food aid delivered to target groups on schedule;
- Improved planning to transition relief to development; and
- Strengthened capabilities of cooperating sponsors and host country entities to manage emergency food aid programs.

The achievement of these intermediate results should lead logically to the fulfillment of FFP's strategic objective to meet the critical foods of targeted groups.

CORE INDICATORS. Performance indicators and their definitions are described below. Despite the difficulty in collecting information in emergencies, FFP will test the validity of the following Impact Indicators:

1. Percent of targeted population reached by food aid

Disaggregate by (a) gender (b) age (where available)

2. Change in nutritional status of target groups

Prevalence of malnutrition in children aged 6 to 59 months, in percentage, by gender

Indicator measures (children 6 to 59 months):

A. Anthropometry: Weight for Height

(where age is available, Height for Age/Weight for Age)

B. Clinical: Edema and vitamin A deficiency

INTERMEDIATE RESULT INDICATORS

¹⁷ FFP has allocated more than \$300 million in Title II support to Liberia, through WFP and Catholic Relief Services, since the beginning of the crisis in early 1990.

INTERMEDIATE RESULT ONE: Improved targeting of food aid to the most vulnerable populations. Performance Indicators:

1. Percent of programs that have instituted a continuous process of needs assessment and recalibration of targeting.
 - Needs assessment will include assessment of vulnerabilities, including gender and ethnic issues, local capacities, nutritional/health status.
2. Percent of programs that have incorporated special needs of different targeted groups.
 - Food ration level will be defined and agreed to at program start to meet the nutritional needs of different groups, e.g., pregnant and lactating women, children aged 6 to 59 months, handicapped, resettled and demobilized groups.

INTERMEDIATE RESULT TWO: Food aid delivered to target groups on schedule. Performance Indicators:

1. Percent of programs experiencing Title II pipeline shortages.
 - Food commodities that are not delivered per schedule agreed to with cooperating sponsors and outlined in call forwards
2. Percent of proposals reviewed and cooperating sponsors notified of decision within 21 calendar days of receipt.
 - Approval or rejection of the proposal in its entirety or parts thereof.

INTERMEDIATE RESULT THREE: Improved planning to transition relief activities to development. Performance Indicators:

1. Percent of programs that have developed resettlement or rehabilitation plans to link relief to development.
 - This refers only to emergencies coming to an end, or in transition. The plans must include transition and exit strategies.
2. Percent of programs that have paid specific attention to avoid the negative impacts of food aid in program design and implementation (do no harm).
 - Programs are designed and implemented per established *criteria* that they should include:
 - A. An exit strategy that supports community stabilization;
 - B. Local capacity building, beneficiary participation;

- C. Not undermining local agricultural production, stabilization of local market;
- D. Integration with development assistance;
- E. Gender and ethnic equity based on need;¹⁸
- F. Impartial distribution network.

INTERMEDIATE RESULT 4: Strengthened capabilities of cooperating sponsors and host country entities to manage emergency food aid activities. Performance Indicators:

1. Percent of Institutional Strengthening Grants (ISG) supporting planning and evaluation.
 - ISG grants are used to strengthen capabilities to better manage emergencies as defined by each ISG proposal.
2. Percent of programs collaborating with local institutions for activity results.
 - Collaboration is defined at several levels as:
 - A. Activities implemented by local host entities with support from cooperating sponsors;
 - B. Joint activities with local host entities; and
 - C. Local entities participate in needs assessment, selection of beneficiaries, monitoring of food aid training, etc.
3. Percent of cooperating sponsors able to meet reporting requirements.
 - Reporting requirements as outlined in results package.

PERFORMANCE MONITORING, EVALUATION AND REPORTING PLAN.

BASELINE AND YEARLY TARGETS: Baseline for each performance indicator reflected in the framework will be established after an in-depth review of past program performance has taken place, to be accomplished by the review of program documents. This will provide a historical trend and a reliable reference point for setting realistic yearly targets for each indicator. Yearly targets will be established which will provide the magnitude of change anticipated over the entire strategic framework period.

DATA COLLECTION AND ANALYSIS. Data collection and analysis will take place at two levels:

1. The field level that involves cooperating sponsors who will collect and analyze data from host country and their own data collection systems and report to FFP;
2. FFP office that will
 - Receive data from cooperating sponsors and will review and compile data;

¹⁸ Assumption: This is culturally acceptable and does not endanger safety.

- Track performance indicators; and
- Report yearly achievements.

Cooperating sponsors will be largely responsible for collecting and analyzing information at the field level. This includes information on

- Nutritional status in children aged 6 to 59 months, and
- Coverage of targeted populations reached by programs.

Cooperating sponsors will also undertake

- Needs assessments to determine the most vulnerable groups and to assess local capacities and coping mechanisms, etc. (or, available information from other sources may be used to make this determination), and
- Monitor critical assumptions and constraints.

Needs assessments will determine “who” should receive food aid, “what” rations should be provided, and “how” (through which media or program) food aid should be provided. The special needs of various vulnerable groups will be assessed, e.g., pregnant and lactating women, children less than six years of age, the handicapped, resettled and demobilized groups. These special needs will be addressed by ensuring the appropriateness of food aid rations and the mechanism through which food aid is delivered. A continuous monitoring of beneficiaries, local capacities, and the environment will result in the recalibration of targeting. This will lead to more effective use of food aid to those most in need, and the graduation of programs, for example, from general feeding to targeted rehabilitative feeding.

Food for Peace will be responsible for monitoring:

- Delivery of food aid so that targeted schedules are met, and
- Proposal review and response time to ensure cooperating sponsors are notified of a decision within 21 calendar days of proposal receipt at FFP.

The existing MIS system will be used to enter data on a regular basis. In addition, FFP will track:

- Progress of the other indicators through the review of proposals, semiannual and final reports, and
- With cooperating sponsors, monitor the status of critical assumptions and constraints.

The Performance Monitoring Plan (PMP), pages 39 to 43, details information on data collection and analysis. For each performance indicator The PMP outlines:

- The indicator definition and unit of measurement;
- The source, method and frequency of data collection; and
- The responsible partner (FFP or cooperating sponsor) for data collection, analysis, compiling, reporting.

MONITORING AND EVALUATION. Monitoring will be undertaken at two levels:

- By cooperating sponsors—with a continuous recalibration of needs and the on-site monitoring of food aid distribution;
- By FFP—with regular review of reports, and the monitoring of food aid delivery and other performance indicators.

Information provided in reports will be verified through site visits by FFP and cooperating sponsors, and/or through reports from USAID missions. Programs will be evaluated on the basis of stated objectives agreed to with FFP, as part of the yearly program performance review and R4 process.

REPORTING. FFP will be responsible for ensuring that respective cooperating sponsors comply with the information requirements, and that information is comparable with the use of standardized protocols and tools for assessing needs and monitoring results. It is anticipated that technical support will be needed by PVOs/NGOs on various issues, including on rapid nutritional assessment, and the development of methodologically sound procedures to collect and report data.

FFP will be responsible for assembling all information required to report on the achievement of Strategic Objective One. Information will be analyzed, compiled, and aggregated for FFP's yearly R4 report. A meeting will be held, at least once a year, with cooperating sponsors to review:

- Factors affecting program performance and summary of data on progress toward achieving SO1, including data on IRs;
- Expected progress for the next year;
- Special concerns or issues, including discussions of cooperating sponsors' experience in implementation; and
- Proposals for change or refinements, if necessary.

Part IIb: SO1 Resource Requirements

Strategic Objective One: Managing for Results.

Food for Peace and cooperating sponsors have made a commitment to manage emergency food aid programs for results. This incorporates mutual agreement on:

- What will be accomplished;
- A time frame for achieving results;
- A system for measuring and reporting results; and
- Realistic measurement of impact.

The strategic objective is to meet critical food needs of targeted groups. Performance at the strategic objective level will be measured by the percentage of targeted populations reached by food aid programs, and by the impact on nutritional status of beneficiaries. Intermediate results that lead to the fulfillment of the strategic objective are:

- Improved targeting of food aid to the most vulnerable populations;
- Food aid delivered to target groups on schedule;
- Improved planning to transition relief activities to development; and
- Strengthened capabilities of cooperating sponsors and host country entities to manage emergency food aid programs.

The results framework will be implemented by Food for Peace in partnership with cooperating sponsors, which include PVOs, NGOs, and WFP. Data collection and analysis will be undertaken by cooperating sponsors at the field level, primarily in determining and monitoring needs of vulnerable populations, monitoring coverage and nutritional status of targeted groups. FFP will monitor performance indicators and critical assumptions on a regular basis. It will also review, analyze and compile data for the yearly reporting of achievements (R4).

The Food for Peace Office believes its results framework provides a sound basis to manage emergency food aid programs more effectively. However, the process of establishing and implementing meaningful indicators for emergency food programs is challenging because of the varied and sudden nature of crises, the difficulties in collecting data in dangerous and politically sensitive environments, and the short time-frame for implementation of these programs (usually a year). Putting such a results framework in place will require the development of an efficient management information system (MIS) which will facilitate the collection, analysis and compilation of indicators. Time and additional effort will be required for testing and refinement of generic indicators. Technical support will be required by cooperating sponsors in several areas, for example,

rapid nutritional assessment and the development of methodologically sound procedures and systems to collect, analyze and

Figure 3. Resource Requirements for Performance Measurement.

report data. Figure 4 (page 33) is a graphic illustration of the plan and resources required for data collection, monitoring and reporting.

The following resources are required to support the implementation of the results framework for emergency programs, covering fiscal years 1997 to 2001.

Personnel.

Emergency food aid programs are vulnerable on the issue of P.L. 480 program management. While emergency food aid constitutes about \$400 million annually, the staff levels assigned to manage emergency food aid programs are minimal. This situation has been further exacerbated by the downsizing of many missions and elimination of others. These events (Figure 4, page 33, Resource Requirements for Performance Measurement) continue to jeopardize the integrity of the P.L. 480 Title II emergency program leaving the Agency vulnerable to criticism and subject to accountability. There is simply not enough central office or field personnel for effective results management.

The Agency cannot perform acceptable quality management of emergency food aid with the current staff levels. With the reengineering of emergency food aid programs, it is timely to correct the situation of inadequate staffing of USAID responsibilities under P.L. 480. These food aid resources represent USAID's most widely recognized international resource, and the one foreign assistance program with the greatest public recognition and support within the United States.

In FY 1998, the FFP Office requests the addition of four more FFP Officers who are needed for emergency program management. These two positions will be necessary because of the further decline in USAID field staff as a result of mission downsizing and closeouts, and because of the high management requirements of emergency programs in order to minimize diversion of commodities in complex emergencies where corruption is common. The requested additional staff will allow for more constant attention to individual country settings and programs. In addition, this will enable Food for Peace to devote more staff time to prevention and mitigation efforts through contingency planning. The two positions being requested are: 1. FFP Officer to backstop programs in East Asia; and 2. An FFP Officer to backstop programs in West Africa. The workforce requirements for Strategic Objective One, covering fiscal years 1997 to 2001 are summarized in Table 1, page 36.

Operating Expense (OE).

The FFP Office requires operating expenses at USAID/W to manage emergency food programs and to respond to requests from bureaus. The operating costs, for example, include site visits and travels for monitoring emergency activities, training, and responses to specific disasters. It also provides for advisory and assistance services including studies, analyses and evaluations, and the procurement of other essential services. Operating expenses will support the implementation of the results framework, particularly the refinement of performance measurement instruments, ensuring customer service, and facilitating the linkage from relief to development. The operating expense (OE) budget

required to manage emergency food aid programs, for fiscal years 1997 to 2001, is summarized in Table 2, page 37.

Table 1. SO1 (Emergency) Workforce Requirements.

A. DIRECT HIRE

FFP DIVISION	POSITION DESCRIPTION	PERCENT OF TIME					POSITION	
		FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	EXISTING	NEW
FFP/D	Director	40%	40%	40%	40%	40%	x	
FFP/D	Deputy Director	40%	40%	40%	40%	40%	x	
FFP/D	Sp. Asst.	25%	25%	25%	25%	25%	x	
FFP/D	Grants Officer	50%	50%	50%	50%	50%		x
FFP/D	Secretary	5%	5%	5%	5%	5%	x	
FFP/D	Secretary	5%	5%	5%	5%	5%	x	
FFP/DP	FFP Officer	20%	20%	20%	20%	20%	x	
FFP/DP	FFP Officer (M&E)	50%	50%	50%	50%	50%		x
FFP/ER	Chief	100%	100%	100%	100%	100%	x	
FFP/ER	FFP Officer (3)	100%	100%	100%	100%	100%	x	
FFP/ER	FFP Officer (2)*	—	100%	100%	100%	100%		x
FFP/ER	FFP Officer	80%	80%	80%	80%	80%	x	
FFP/ER	Secretary	100%	100%	100%	100%	100%	x	
FFP/POD	Chief	15%	15%	15%	15%	15%	x	
FFP/POD	Budget Analyst	50%	50%	50%	50%	50%	x	
FFP/POD	PA (Emer. Coord.)	—	100%	100%	100%	100%		x
FFP/POD	PA (Proj/Policy)	—	50%	50%	50%	50%		x
FFP/POD	PA (Info Officer)	—	50%	50%	50%	50%		x
FFP/POD	Prgm Ops Asst	10%	10%	10%	10%	10%	x	
BHR/PPE	Prog Analyst	30%	30%	30%	30%	30%	x	

B. PERSONAL SERVICES CONTRACTORS

FFP/ER	PSC 97/98(3); 99 onwards (1)	100%	100%	100%	100%	100%	x	
FFP/POD	PSC	100%	—	—	—	—	x	

Full-time direct hire: 5 8 8 8 8
 Part-time direct hire: 13 15 15 15 15
 Full-time PSC: 4 3 1 1 1

*1 FFP Officer for Asia
 1 FFP Officer for West Africa

Table 2. SO1 (Emergency) Operating Expense Budget Request.

		(THOUSANDS OF DOLLARS)				
		FY 1997	FY 1998	FY 1999	FY 2000	FY 2001
TRAVEL & TRANSPORTATION OF PERSONS						
	TRAINING TRAVEL	25.0	25.0	25.5	26.0	26.5
	SITE VISITS-HEADQUARTERS PERSONNEL	200.0	200.0	204.0	208.1	212.2
	CONFERENCES/SEMINARS/MEETINGS/RETREATS	50.0	50.0	50.0	50.0	50.0
	ASSESSMENT TRAVEL	10.0	10.0	10.2	10.4	10.6
	DISASTER TRAVEL (TO RESPOND TO SPECIFIC DISASTERS)	285.0	20.0	20.0	20.0	20.0
	OTHER OPERATIONAL TRAVEL	2.0	2.0	2.0	2.0	2.0
	SUBTOTAL	307.0	307.0	311.7	316.5	321.3
ADVISORY & ASSISTANCE SERVICES						
	STUDIES, ANALYSES & EVALUATION	100.0	100.0	102.0	104.0	106.1
	SUBTOTAL	100.0	100.0	102.0	104.0	106.1
OTHER SERVICES						
	OTHER MISCELLANEOUS SERVICES	100.0	100.0	102.0	104.0	106.1
	SUBTOTAL	100.0	100.0	102.0	104.0	106.1
TOTAL		507.0	507.0	515.7	524.5	533.5

Development Assistance Funds (DA).

Close collaboration between FFP staff, mission and PVO staff is essential for successful implementation of the framework. The capability of cooperating sponsors to manage emergency food aid programs, particularly in data collection, analysis and monitoring will need to be strengthened. At FFP, the existing MIS system (FFIS) will be refined and adapted for data entry, analysis and compilation of performance indicators. To achieve Strategic Objective One, Development Assistance (DA) funds are required. The request for Development Assistance funds consists of the following four items:

- FFP Institutional Support Contract: This contract provides technical support to all FFP Office divisions. It was awarded in FY 1996 as a three-year contract with an option for a two-year extension. This contract will provide support to FFP's Strategic Objective 1 in the following areas:
 - Refinement and adaption of existing MIS (FFIS) system;
 - Maintenance of system including data entry of indicators at regular intervals;
 - Data analysis and compilation for program performance review (R4).

In addition, the contract will facilitate the review process for proposals and reports, and help to manage emergency food aid programs.

- PVO Institutional Support Grants (ISG): In FY 1997, the FFP (Emergency Office) proposes the redirection of Institutional Support Grant components to stress emergency program management and improved transition of emergency programs to rehabilitative efforts. A level of \$2 million annually is required. This will be especially important as a growing share of the Title II budget is allocated to programs in Africa, where management is especially difficult and costly. Strengthened PVO capabilities will help to ensure program and financial accountability in exit and close-out countries. ISG funds will be used to build PVO capacity to manage programs for results and a higher level of impact. Technical support will be provided to cooperating sponsors to implement the results framework, including the collection and analysis of data, and the development of information systems. ISG grants will also support the development and/or refinement of measurement instruments such as for rapid assessment of needs and nutritional status.
- Monitoring Performance and Evaluations: Emergency activities need to be reviewed and evaluated regularly as we manage for results and ensure adequate accountability. For example, generic performance indicators will need further analytical review and refinement. To support the refinement and continuing analyses of performance indicators for both strategic objectives within FFP, \$200,000 will be allocated for technical assistance contracts.
- Food Security Analysis and Planning: FFP requires \$250,000 annually for food security analysis and planning related to emergency food aid programs. The primary use of these funds will be to serve as a mechanism to undertake emergency planning and vulnerability assessments. The FFP Office may also cofinance with interested USAID missions analyses of the constraints to food security for vulnerable groups in their country and/or develop strategic plans for addressing these constraints.

Table 3, below, summarizes DA funds required to achieve Strategic Objective One. □

Table 3. SO1 (Emergency) Request for Development Assistance.

	(THOUSANDS OF DOLLARS)				
	FY 97	FY 98	FY 99	FY 00	FY 01
FFP INSTITUTIONAL SUPPORT CONTRACT	628.0	649.2	728.4	751.0	773.0
INSTITUTIONAL SUPPORT GRANTS	2,000.0	2,000.0	2,000.0	2,000.0	2,000.0
MONITORING PERFORMANCE &	200.0	200.0	200.0	200.0	200.0
FOOD SECURITY ANALYSIS & PLANNING	250.0	250.0	250.0	250.0	250.0
TOTAL	3,078.0	3,099.2	3,178.4	3,201.0	3,223.0

Performance Monitoring Plan.

FOOD FOR PEACE STRATEGIC OBJECTIVE ONE: EMERGENCIES

STRATEGIC OBJECTIVE & INTERMEDIATE RESULTS	PERFORMANCE INDICATORS	INDICATOR DEFINITION & UNIT OF MEASUREMENT	DATA COLLECTION (SOURCE, METHOD, FREQUENCY)	BASELINE DATA AVAILABILITY (FFP)	RESPONSIBLE PARTNER TECHNICAL ASSISTANCE NEEDS
<p>STRATEGIC OBJECTIVE: <i>Met Critical Food Needs of Targeted Groups</i></p>	<p>1. Percent of targeted population reached by food aid. Targets: FY 97 FY 98 FY 99 FY 00 FY 01</p>	<p>Definitions: <i>Targeted population</i>—to be defined at program start. <i>Population reached</i>—population who receive food aid from program. Unit of Measure: Percent of targeted populations by gender and age (where available).</p>	<p>Data source: CS semiannual & EOP reports. Method/Approach: Monitoring of food distribution to targeted groups. Frequency: Ongoing.</p>	<p>To be determined.</p>	<p>CS: Collect, analyze data, report on semiannual & EOP basis. FFP: Review, analyze and compile data, provide feedback to CS.</p>
	<p>2. Change in nutritional status of target groups. Targets: FY 97 FY 98 FY 99 FY 00 FY 01</p>	<p>Definition: Change in nutritional status of children 6 to 59 months, compared with preintervention status (baseline). Unit of Measure: Prevalence of malnutrition in children 6 to 59 months, in percentage, by gender.</p>	<p>Source: Rapid assessment of nutritional status, PVO records (semiannual & EOP), data from other sources/agencies. Method/Approach: Simple anthropometrical data & clinical signs in children 6 to 59 months. Frequency: Baseline, semiannual.</p>	<p>To be determined.</p>	<p>CS: Collect, analyze data, report semiannual & EOP. Technical assistance needed: Nutritional assessment protocol, data collection & analysis. FFP: Review, analyze & compile data. Provide feedback to CS.</p>

FOOD FOR PEACE STRATEGIC OBJECTIVE ONE: EMERGENCIES

STRATEGIC OBJECTIVE & INTERMEDIATE RESULTS	PERFORMANCE INDICATORS	INDICATOR DEFINITION & UNIT OF MEASUREMENT	DATA COLLECTION (SOURCE, METHOD, FREQUENCY)	BASELINE DATA AVAILABILITY (FFP)	RESPONSIBLE PARTNER TECHNICAL ASSISTANCE NEEDS
<p>INTERMEDIATE RESULT ONE:</p> <p><i>Improved targeting of food aid to the most vulnerable populations</i></p>	<p>1. Percent of programs that have instituted a continuous process of needs assessment and recalibration of targeting.</p> <p>Targets:</p> <p>FY 97</p> <p>FY 98</p> <p>FY 99</p> <p>FY 00</p> <p>FY 01</p>	<p>Definitions: <i>Vulnerable populations</i>– population groups that</p> <ul style="list-style-type: none"> · will experience acute decline in food access, and are unable to sufficiently meet their basic food needs; · are susceptible to natural or man-made disasters. <p>Needs assessment guideline to be established: include assessment of vulnerabilities (including gender & ethnic issues), local capacities, and nutritional status.</p> <p>Unit of Measure: Number & percent of programs.</p>	<p>Source: Needs assessment reports, CS proposals, semiannual & EOP reports.</p> <p>Method/Approach: Needs assessment & monitoring of beneficiaries.</p> <p>Frequency: Initial needs assessment for proposal, recalibration at program start, then semiannual.</p>	<p>To be determined.</p>	<p>CS: Collect, analyze data, submit proposals, reports semiannual & EOP.</p> <p>Technical assistance needed: Needs assessment tool, data collection & analysis.</p> <p>FFP: Review reports, proposals, compile data.</p>
	<p>2. percent of programs that have incorporated special needs of different targeted groups.</p> <p>Targets:</p> <p>FY 97</p> <p>FY 98</p> <p>FY 99</p> <p>FY 00</p> <p>FY 01</p>	<p>Definitions: Food ration level to be defined and agreed to at program start should take into consideration assessed needs of different groups (e.g., pregnant & lactating women, children, handicapped, resettled & demobilized groups).</p> <p><i>Targeted groups</i>–Those selected by program..</p> <p>Unit of Measure: Number & percent of programs.</p>	<p>Source: Proposals, semiannual & EOP reports.</p> <p>Method/Approach: Monitoring of needs, target groups, food distribution.</p> <p>Frequency: Ongoing.</p>	<p>To be determined.</p>	<p>CS: Collect, analyze data, submit proposals, reports semiannual & EOP.</p> <p>40</p> <p>Technical assistance needed: Needs assessment tool, data collection, and analysis.</p> <p>FFP: Review, compile data. Provide feedback to CS.</p>

FOOD FOR PEACE STRATEGIC OBJECTIVE ONE: EMERGENCIES

STRATEGIC OBJECTIVE & INTERMEDIATE RESULTS	PERFORMANCE INDICATORS	INDICATOR DEFINITION & UNIT OF MEASUREMENT	DATA COLLECTION (SOURCE, METHOD, FREQUENCY)	BASELINE DATA AVAILABILITY (FFP)	RESPONSIBLE PARTNER TECHNICAL ASSISTANCE NEEDS
<p>INTERMEDIATE RESULT TWO:</p> <p><i>Food aid delivered to target groups on schedule</i></p>	<p>1. Percent of programs experiencing Title II pipeline shortages.</p> <p>Targets:</p> <p>FY 97</p> <p>FY 98</p> <p>FY 99</p> <p>FY 00</p> <p>FY 01</p>	<p>Definition: <i>Pipeline shortages</i>—food commodities not delivered per schedule agreed to with cooperating sponsors and outlined in call forwards.</p> <p>Unit of Measure: Number & percent of programs.</p> <p>Assumptions:</p> <ul style="list-style-type: none"> · CS is able to access vulnerable groups, especially under conflict & strife conditions. · There is effective coordination with relevant partners, i.e., USDA, other donors. 	<p>Source: Reports, FFP MIS reports.</p> <p>Method/Approach: Review of schedules with reports on delivery of food commodities.</p> <p>Frequency: Ongoing.</p>	<p>To be determined.</p>	<p>CS: Monitor food delivery & distribution, report semiannually.</p> <p>EOP FFP: Review, compile data.</p>
	<p>2. Percent of proposals reviewed & cooperating sponsors (CS) notified of decision within 21 calendar days of receipt.</p> <p>Targets:</p> <p>FY 97</p> <p>FY 98</p> <p>FY 99</p> <p>FY 00</p> <p>FY 01</p>	<p>Definition:</p> <p>Reviewed and acted on by FFP/ER; approval or rejection of proposal in its entirety or parts thereof.</p> <p>Unit of Measure: Number & percent of proposals.</p>	<p>Source: FFP MIS system.</p> <p>Method/Approach: Review of MIS.</p> <p>Frequency: Ongoing.</p>	<p>To be determined.</p>	<p>CS: Prepare proposals.</p> <p>FFP: Review proposals; provide feedback.</p> <p>41</p>

FOOD FOR PEACE STRATEGIC OBJECTIVE ONE: EMERGENCIES

STRATEGIC OBJECTIVE & INTERMEDIATE RESULTS	PERFORMANCE INDICATORS	INDICATOR DEFINITION & UNIT OF MEASUREMENT	DATA COLLECTION (SOURCE, METHOD, FREQUENCY)	BASELINE DATA AVAILABILITY (FFP)	RESPONSIBLE PARTNER TECHNICAL ASSISTANCE NEEDS
<p>INTERMEDIATE RESULT THREE:</p> <p><i>Improved planning to transition relief activities to development</i></p>	<p>1. Percent of programs that have developed resettlement or rehabilitation plans to link relief to development.</p> <p>Targets: FY 97 FY 98 FY 99 FY 00 FY 01</p>	<p>Definition: Programs—emergencies coming to an end, or in transition. The plans must include transition and exit strategies.</p> <p>Unit of Measure: Number & percent of programs.</p>	<p>Source: Proposals, reports. Method/Approach: Review of proposals, reports. Frequency: Ongoing.</p>	<p>To be determined.</p>	<p>CS: prepare plans, submit proposal. FFP: Review, provide response.</p>
	<p>2. Percent of programs that have paid specific attention to avoid negative impacts of food aid in program design & implementation (do no harm).</p> <p>Targets: FY 97 FY 98 FY 99 FY 00 FY 01</p>	<p>Definition: Programs are designed & implemented per established criteria that they should include:</p> <ul style="list-style-type: none"> · An exit strategy which supports community stabilization; · Local capacity building, beneficiary participation; · Not undermining local agricultural production, stabilization of local markets; · Integration with development assistance; · Gender & ethnic equity based on need (Assumption: this is culturally acceptable & does not endanger safety); · Impartial & neutral distribution network. <p>Unit of Measure: Number & percent of programs which meet design criteria.</p>	<p>Source: CS proposals, verified by semiannual & EOP reports, site visits. Method/Approach: Review of proposals, reports, site visits. Frequency: Ongoing.</p>	<p>To be determined.</p>	<p>CS: Design & submit program proposals, semiannual & EOP reports. FFP: Review proposals, semiannual & EOP reports.</p> <p>42</p>

FOOD FOR PEACE STRATEGIC OBJECTIVE ONE: EMERGENCIES

STRATEGIC OBJECTIVE & INTERMEDIATE RESULTS	PERFORMANCE INDICATORS	INDICATOR DEFINITION & UNIT OF MEASUREMENT	DATA COLLECTION (SOURCE, METHOD, FREQUENCY)	BASELINE DATA AVAILABILITY (FFP)	RESPONSIBLE PARTNER TECHNICAL ASSISTANCE NEEDS
<p align="center">INTERMEDIATE RESULT FOUR:</p> <p><i>Strengthened capabilities of cooperating sponsors and host country entities to manage emergency food aid programs</i></p>	<p>1. Percent of ISG grants supporting emergency planning and evaluation</p> <p>Targets: FY 97 FY 98 FY 99 FY 00 FY 01</p>	<p>Definition: ISG grants used to strengthen CS capabilities to better manage emergencies as defined by each ISG proposal.</p> <p>Unit of Measure : Number & percent of ISG grants</p>	<p>Source: Proposals, FFP MIS system.</p> <p>Method/Approach: Review of proposals.</p> <p>Frequency: Ongoing.</p>	<p>To be determined.</p>	<p>CS: Determine needs, prepare proposals.</p> <p>FFP: Review, provide response.</p>
	<p>2. Percent of programs collaborating with local institutions for activity results</p> <p>Targets: FY 97 FY 98 FY 99 FY 00 FY 01</p>	<p>Definition: Collaborating with local institutions:</p> <ul style="list-style-type: none"> · activities implemented by local host entities with support from CS; · joint activities with local host entities; · local entities participate in needs assessment, selection of beneficiaries, monitoring of food aid, training, etc. <p>Unit of Measure: Number & percent of programs.</p>	<p>Source: Proposals, semiannual, EOP reports.</p> <p>Method/Approach: Review of proposals, reports.</p> <p>Frequency: Ongoing.</p>	<p>To be determined.</p>	<p>CS/local host entities: Design & implement activities, report semiannual & EOP.</p> <p>FFP: Review, compile data. Provide feedback to CS.</p> <p align="center">43</p>
	<p>3. Percent of cooperating sponsors able to meet reporting requirements</p> <p>Targets: FY 97 FY 98 FY 99 FY 00 FY 01</p>	<p>Definition: Reporting requirements: performance indicators outlined in results framework.</p> <p>Unit of Measure: Number & percent of cooperating sponsors.</p>	<p>Source: Semiannual & EOP reports.</p> <p>Method/Approach: Review of reports.</p> <p>Frequency: Ongoing.</p>	<p>To be determined.</p>	<p>CS: Collect, analyze, report semiannual, EOP.</p> <p>Technical assistance needed: Establish MIS systems (FFP & cooperating sponsors).</p> <p>FFP: Review, analyze & compile data. Provide feedback to CS.</p>

Part IIIa: Strategic Objective Number Two

Problem Analysis and Rationale.

The Problem Statement. No concern facing the poorest members of developing countries is more fundamental and important than attaining food security. Yet it is estimated that food insecurity and malnutrition have remained a serious problem for more than 800 million people in the developing world, and that more than 180 million children are severely underweight. Such widespread malnutrition not only results in devastating losses of human life, but also drains a country's productive capacity, thus limiting its chances for economic growth. Poor nutritional status results in individuals or families having low energy reserves and poor health, reducing their capacity for work and income generation. In children, undernourishment contributes to a slowing of physical and mental development, thus jeopardizing the productive capacities of future generations. While food insecurity often results from acute emergencies induced by civil strife or environmental factors, the root causes are more commonly related to chronic problems of poverty—low productivity and incomes, poor infrastructure, lack of access to clean water and sanitation, inadequate education and nutritional knowledge, etc. These problems tend to be most severe in rural areas, where poverty is associated with low agricultural productivity, which in turn is associated with low levels of technology adoption and market access, as well as environmental degradation. Increasing agricultural productivity through improved infrastructure and practices is thus a critical element for achieving food security. Factors exacerbating problems of food insecurity include disease, poor water and sanitation systems, and inappropriate child feeding practices—all of which impede adequate consumption and utilization of nutrients. The most pernicious impact of these problems is the toll on children and mothers. It is estimated that more than half of children's deaths in developing countries result from malnutrition.

Solving Food Insecurity: The Role of Food Aid. Food aid has long been recognized as a key tool for addressing problems of malnutrition. Thus FFP, by administering P.L. 480 Title II food aid, plays a key role in reducing malnutrition in developing countries. Title II food aid provides a flexible resource for combating food insecurity. As a resource that can be conveyed in-kind or monetized, the food aid can be used to provide direct feeding or to generate local currency for development activities. Monetization can also encourage market development by promoting private sector participation in marketing. Title II food aid, when fully integrated with other USAID resources, can also contribute to the effectiveness of other development activities such as child survival, nutrition education, family planning and community development activities. In addition, through food-for-work (FFW) activities, food aid can mobilize poor people's labor to create employment and income, as well as build and strengthen the agricultural infrastructure necessary for sustainable development.

ENHANCING AGRICULTURAL PRODUCTIVITY. Improving agricultural productivity is one area where Title II development activities impact on reducing food insecurity, particularly in rural areas. Title II FFW activities, for instance, can alleviate constraints to agricultural productivity such as inadequate storage facilities and poor or nonexistent farm-to-market

roads. Severe erosion, water runoff and deforestation can also seriously handicap long-term agricultural productivity, and can be addressed by Title II activities that promote terracing and reforestation through FFW activities, thereby having a positive impact on agricultural productivity. In areas where water is scarce, activities to develop irrigation systems and more efficient use of water resources can increase agricultural productivity many times over. Title II development activities can also address production constraints by providing a proven technological package for increasing small-holder farm productivity. Approaches may include a combination of monetized food aid to provide inputs and training, and/or FFW or CFW as an incentive for farmers to invest additional hours of manual labor to improve their individual farm's productive capacity. Title II food aid resources are also targeted toward activities that will redress the effects of poor and inefficient management of natural resources in marginally productive areas, which contribute to food insecurity. Interventions at the community or household level that incorporate proven techniques and practices in areas such as agroforestry and soil conservation will enhance the amount of arable land available, and will lead to increases in sustainable agricultural productivity, thus alleviating food insecurity. These interventions, typically carried out through FFW activities, include leveling and bundling fields on slopes, reforestation, reestablishing vegetative cover, and improving water collection facilities.

IMPROVING HOUSEHOLD NUTRITION. Title II also promotes household nutrition, particularly as a complement to the delivery of essential health services, such as immunization and maternal and child health (MCH) services. Food supplements, for instance, operate as an incentive for participation by mothers in MCH and Child Survival activities. These activities promote immunization, food consumption by pregnant and lactating women, breast-feeding and better child feeding practices, household hygiene, and child care practices for diarrheal and respiratory diseases. FFP recognizes the critical importance of integrating food aid with health and nutrition services and child survival activities. Many Title II activities already include a strong MCH component where food aid is coupled with other health and nutrition services. In the Government of India's Integrated Child Development Services program, for instance, Title II food serves as the cornerstone of a comprehensive primary health care and nutrition delivery system. Sustained improvements in household nutrition also depend upon adequate water and sanitation systems, and appropriate physical infrastructure for health and nutrition services delivery. Without this infrastructure, any short-term improvements in household nutrition will be jeopardized by the continued risk of diseases, and will be very difficult to sustain over the long-term. FFP, through Title II food-for-work and training activities, will contribute to adequate water and sanitation infrastructure, services and practices for its beneficiary groups—including increased access to potable water. This approach should reduce the prevalence of diarrheal and parasitic diseases. These interventions may be combined with MCH/Child Survival efforts or be developed as separate components. Collaboration with the development activities of the USAID field missions and with host country governments will be necessary in order to achieve sustainable improvements.

GUIDEPOSTS FOR THE STRATEGY. The SO2 Strategic Plan builds on, and is consistent with, six key policy documents and initiatives. These are:

1. The Strategic Objectives developed for the Agency and for the Bureau for Humanitarian Response;
2. The *Food Aid and Food Security Policy Paper*;
3. The 1995 GAO report, *Actions Taken to Improve Food Aid Management*;
4. The *World Food Summit Plan of Action*;
5. The *List and Description of P.L. 480 Title II Generic Performance Indicators for Development Activities* that was developed collaboratively by FFP's SO2 Team and its PVO partners; and
6. The initiative to redelegate Title II program management to USAID Missions.

A brief summary of the implications of these initiatives for the development of SO2 follows.

1. In 1995, Strategic Objectives were developed for the Agency as a whole, and more specifically, for the Bureau for Humanitarian Response. To ensure that Agency and Bureau resources are used effectively to address common goals, the SO2 has been defined to directly contribute to these Agency and BHR objectives. The relationship of SO2 to relevant Agency and BHR SOs is summarized in Section B.2.
2. A *Food Aid and Food Security Policy Paper* has been developed to guide program priorities and resource allocation for USAID-administered food aid activities. Key recommendations of the Paper with implications for the SO2 Strategic Plan, include:
 - “Title II development activities will focus on improving household nutrition, especially in children and mothers, and on alleviating the causes of hunger, especially by increasing agricultural productivity.”
 - However, “Other programs that can clearly be shown to improve food security . . . will also be considered.”
 - “Food aid is most effective when used in conjunction with complementary programs.”
 - “Greater attention and resources will be allocated to strengthening the program development and management capacity of USAID's food aid partners.”
 - “USAID is committed to bringing food aid programs into a ‘managing for results’ system (to) help ensure the greatest impact from scarce food aid resources.”
 - “Responsibility for this ‘managing-for-results’ system will fall primarily on PVOs and USAID Missions. In turn, these field managers will be given flexibility to propose activities they believe will have the greatest impact on food security.”
 - “PVO partners will have greater control over day-to-day implementation. USAID will focus increasingly on results.”

- “Appropriate methods for evaluating . . . results will be included during the program design phase. The criteria for measurement of successful results must be quantifiable and precise. Detailed implementation guidance for this ‘managing for results’ strategy will be developed in consultation with the PVOs.”
 - “USAID should play a more active role in donor coordination to improve food security.”
3. In 1995 the GAO issued a report entitled, *Actions Taken to Improve Food Aid Management* that followed up a similar 1993 GAO report. Among other observations, the GAO reported that adequate guidance had not been provided to Missions and PVOs on how to measure program performance. The report recommended that USAID “should develop and systematically apply methodologies and performance indicators to monitor and evaluate the impacts of food aid programs on food security and direct that missions and PVOs collect data necessary for such evaluations.”
 4. The 1996 World Food Summit developed a Plan of Action for addressing food security. This Plan outlined a number of areas where important food-related interventions are needed and emphasized that there is a need to “organize collective solutions to global issues of food security. In a world of increasingly interlinked institutions, societies and economies, coordinated efforts and shared responsibilities are essential.” The SO2 Strategic Plan follows up on this recommendation by identifying increased coordination among institutions as one of its planned results.
 5. The SO2 Team and its PVO partners have collaboratively developed a *List and Description of P.L. 480 Title II Generic Performance Indicators for Development Activities*. These indicators link the SO2 Strategic Plan to field level impacts and their use will allow USAID to report impacts of Title II activities in standardized, comparable ways. These indicators (hereafter called “Title II Generic Indicators”) are discussed in the Results Framework section, and a summary of these indicators is provided in Table 5, page 60.
 6. Consistent with the recommendation of the *Food Aid and Food Security Policy Paper* that responsibility for managing Title II development programs falls primarily on PVOs and USAID Missions, and that these field managers have greater flexibility to propose activities they believe will have the greatest food security impacts, FFP has embarked on the process of re delegating Title II program management authority to USAID Missions. This has been initiated on a pilot basis in three countries– Peru, Ethiopia and Bangladesh–and is expected to expand to other USAID Missions in subsequent years.

Strategic Plan Overview.

Summary of Strategic Objective 2 and Intermediate Results. Based on the policy and technical directions established by the documents and initiatives discussed above, the FFP has established its goal, strategic objective and intermediate results for its development programs, which are summarized in Figure 5 (page 48). The goal of Title II food aid development programs is to improve household nutrition and agricultural productivity among targeted vulnerable groups. FFP hopes to achieve this goal through *increased effectiveness of FFP's PVO and Mission partners in carrying out Title II development activities with measurable results related to food security, with a primary focus on household nutrition and agricultural productivity.*

As steps toward achieving the SO2, the SO2 Team has identified two key intermediate results. These intermediate results are:

IR1: *Strengthened capabilities* of PVOs, USAID Missions and FFP to design, manage, monitor, and support programs; and

IR2: *Improved integration* of programs with other in-country activities, with USAID Mission objectives, and with other donor strategies.

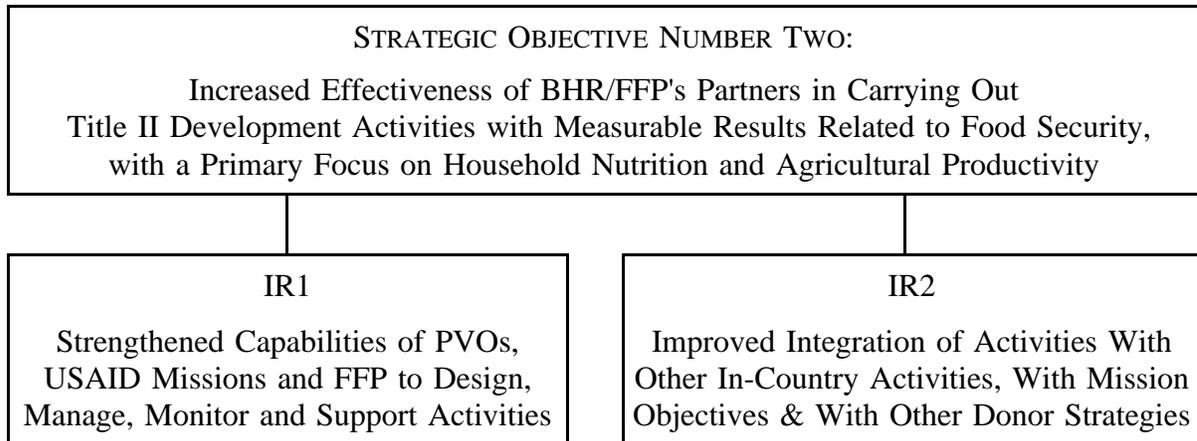


Figure 4. Strategic Objective Number Two and Intermediate Results.

Linkages to Agency and Bureau Goals and Objectives. SO2 is explicitly linked to the Agency-wide objectives outlined in the *Agency Strategic Framework 1995/96* as well as the Bureau objectives identified in the BHR 1995 Strategic Plan. The relationship among these objectives is summarized in Figure 6, page 49.

SO2 contributes directly to two BHR SOs, SO4 and SO5, which are defined as:

BHR SO4: Sustainable improvements in household nutrition and agricultural productivity for vulnerable groups reached by USAID food programs; and

BHR SO5: Strengthened capability of PVO & NGO community and IOs to deliver development and emergency services.

These Bureau SOs, in turn, are linked to three Agency Strategic Objectives:

Agency SO1.2: Expanded access and opportunity for the poor;

Agency SO3.2: Sustainable reduction in child mortality; and

Agency SO4.5: Sustainable natural resource management.

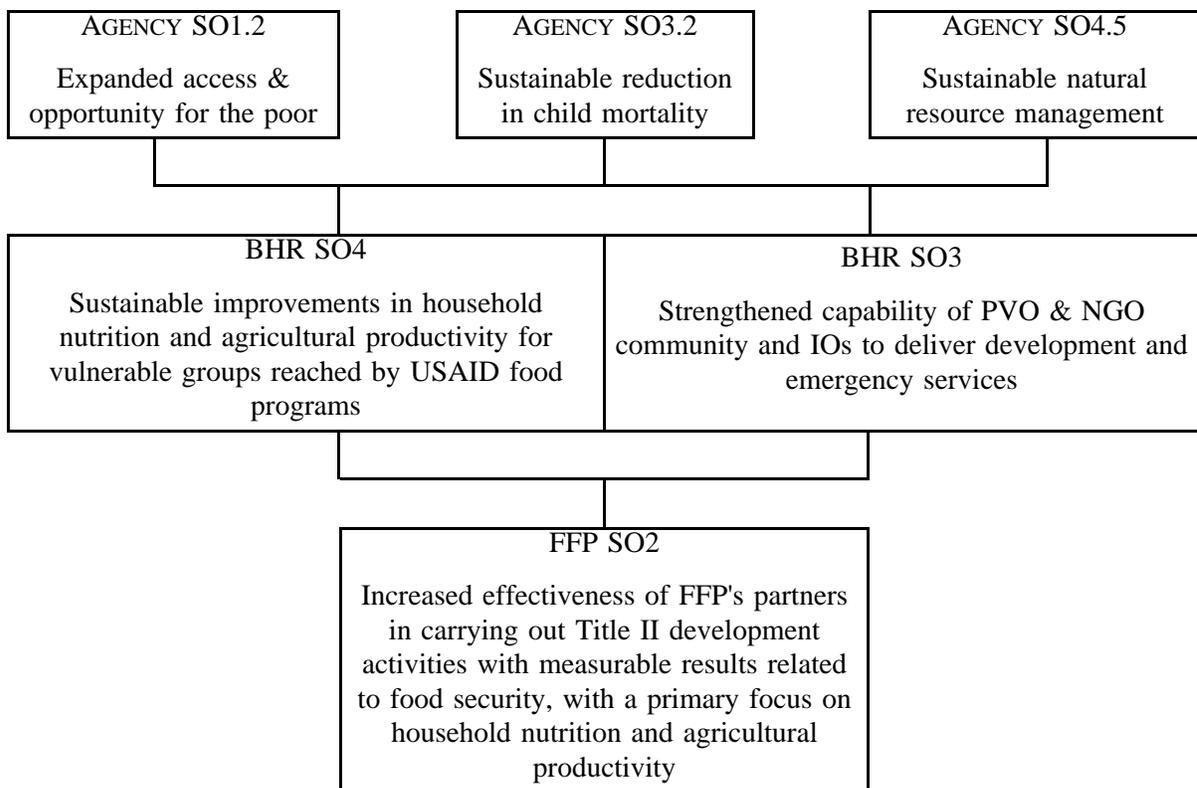


Figure 5. Relationship Between SO2 and Agency and Bureau Objectives.

Discussion of Strategic Objective 2 and Intermediate Results. As noted above, FFP utilizes its resources by working through its PVO and Mission partners in the field. FFP thus does not directly implement development programs; rather, it facilitates and strengthens its partners' capability to implement Title II development programs by providing resources, guidance, and technical assistance. For this reason, the SO2 and its

indicators are defined not in terms of specific people-level impact targets, but rather in terms of the degree to which its partners are able to achieve and measure the people-level targets that *they* set. This approach follows directly from the *Food Aid and Food Security Policy Paper* that, as noted before, recommends that responsibility for the *managing-for-results* system will fall primarily on the PVOs and USAID Missions, and in turn, these field managers will be given flexibility to propose activities they believe will have the greatest food security impacts.

At present, the ability of FFP's PVO and Mission partners to achieve and report measurable results is quite uneven; either across their whole program or within their country portfolios. A few PVOs in some countries have built their technical and managerial capacity enough to measure and achieve impacts. Many others, however, are still in the process of developing the necessary resources and technical capacity to measure and achieve impacts.

INTERMEDIATE RESULT 1. FFP contributes to the achievement of SO2 through both technical assistance and financial support to its partners. FFP Officers provide technical assistance to Mission and PVOs during the design, review and monitoring and evaluation of DAPs, and by participating in country food security assessments. It is expected that in the future FFP Officers will participate in more of these activities through field visits. In addition, FFP has embarked on numerous institutional strengthening and training activities over the last few years. These include an annual, two-week Food Aid Managers Course for all Washington-based and overseas USAID staff managing food aid activities; ongoing FFP officers training; and ongoing workshops and meetings with our partners on food security issues and the strategic planning process.

Title II ISGs also are provided to strengthen the capacity of PVO's headquarters and regional offices, which provide essential technical and managerial support to country offices. These support services include carrying out assessments and feasibility studies, helping to design activities and associated monitoring and evaluation plans, and hiring, orienting and training field staff. In addition, FFP provides P.L. 480 section 202(e) grants for field design, implementation, and monitoring and evaluation of approved activities.

The strengthening of USAID Mission capabilities is also critical, particularly given that FFP has embarked on the process of re delegating Title II program management authority to USAID Missions. This has been initiated on a pilot basis in three countries—Peru, Ethiopia and Bangladesh—and is expected to expand to other USAID Missions in subsequent years.

INTERMEDIATE RESULT 2. There is substantial evidence that food aid, programmed by itself, does not achieve the maximum impact possible. Rather, food aid is more effective when used in conjunction with other resources in promoting increased agricultural productivity and improved household nutrition. For instance, as discussed earlier, there can be significant synergism in integrating food aid with health and nutrition services and child survival activities. The SO2 Team intends to work closely with its partners and regional and central bureaus to achieve such linkages in more of its activities. PVOs are also encouraged to work with and strengthen host country health institutions, including

government and nongovernment organizations. Such linkages are supported by a combination of food and nonfood resources with dollar or local currency resources, which are provided by USAID Missions, PVOs (from non-AID sources), or monetized food aid.

The *Food Aid and Food Security Policy Paper*, also emphasizes that food aid “should be integrated to a greater extent with other USAID assistance resources.” It directs USAID Missions with significant food aid activities to ensure that adequate resources are made available to fund complementary activities needed to assure maximum impact. Therefore, FFP will take an active role in engaging Agency regional and central bureaus and field Mission staff to better integrate food aid resources and activities into Agency operating unit strategic plans and results reports. At the same time, FFP will step up its dialogue with its many partners, stakeholders and customers regarding the integration of resources, as well as their increased participation in, and renewed commitment to, the issues and policies affecting food security around the world. FFP further encourages and supports greater coordination in country food security assessments, in program design, and in program monitoring and evaluation among USAID Missions and PVOs, as well as with international organizations (IOs) including the EU, WFP and other donors concerned with food security objectives.

Peru serves as an illustration. There, a food security strategy was created in conjunction with NGOs/PVOs, other donors, and local institutions – both public and private. The strategy was translated, distributed, and followed up by meetings with specific ministries and agencies, including the Presidency, Agriculture, Health and Foncodes.¹⁹ The Ministry of the Presidency sponsored a one-day conference on the Peru Food Security Strategy, and in January of 1996 adopted recommendations from the strategy in the government's proposal for Peru's War on Poverty. This example illustrates that consistency with new USAID policy and integration of resources are possible. Food aid is targeted to the food insecure, and DA and other resources complement it to achieve both the Food Security Policy and other Mission and Agency objectives.

Another illustration demonstrates the relationship between capacity building and partnership building. In northern Ethiopia, the Relief Society of Tigray (REST), an NGO that for a number of years successfully implemented Title II food-for-work environmental rehabilitation and agricultural development activities through the Catholic Relief Services, is now recognized as a cooperating Title II sponsor. This is an example of institutional development in food aid programming and implementation emanating from a partnership between a U.S. PVO and a viable, autonomous national NGO.

As part of overall efforts by USAID to promote private sector participation in improving food security, FFP also intends to encourage collaboration and partnerships between private sector participants and PVOs implementing Title II activities. To some extent, PVO-private sector collaboration already takes place through food aid monetization. In

¹⁹Fondo Nacional de Compensacion y Desarrollo Social (Foncodes) is funded by the World and InterAmerican Banks as a development fund for disadvantaged and depressed areas.

addition to allowing PVOs to generate currency to support development activities, monetization has also served as a tool for strengthening private sector food marketing. In the area of food production, FFP will explore possibilities of encouraging collaboration between Title II PVOs and agricultural producer groups.

At an international level, the planning of food assistance on the basis of coordinated country-specific food security strategies, developed jointly among the host country government and the various in-country donors, is a critical step toward more effective use of Title II resources. Government, donor and PVO partners all need to work together effectively in targeting assistance to households most affected by hunger, if we are to maximize the impact of food aid and other investments on hungry people. As recognized in the *World Food Summit Plan of Action*, the key here is “shared responsibilities” among FFP and its many partners. Toward this end, the SO2 Strategic Plan calls for the development joint strategies and memoranda of understanding among USAID, PVOs and donors such as the EU and WFP.

Results Framework.

Summary. Figure 7, below, provides a summary of the Strategic Objective Two Results Framework.

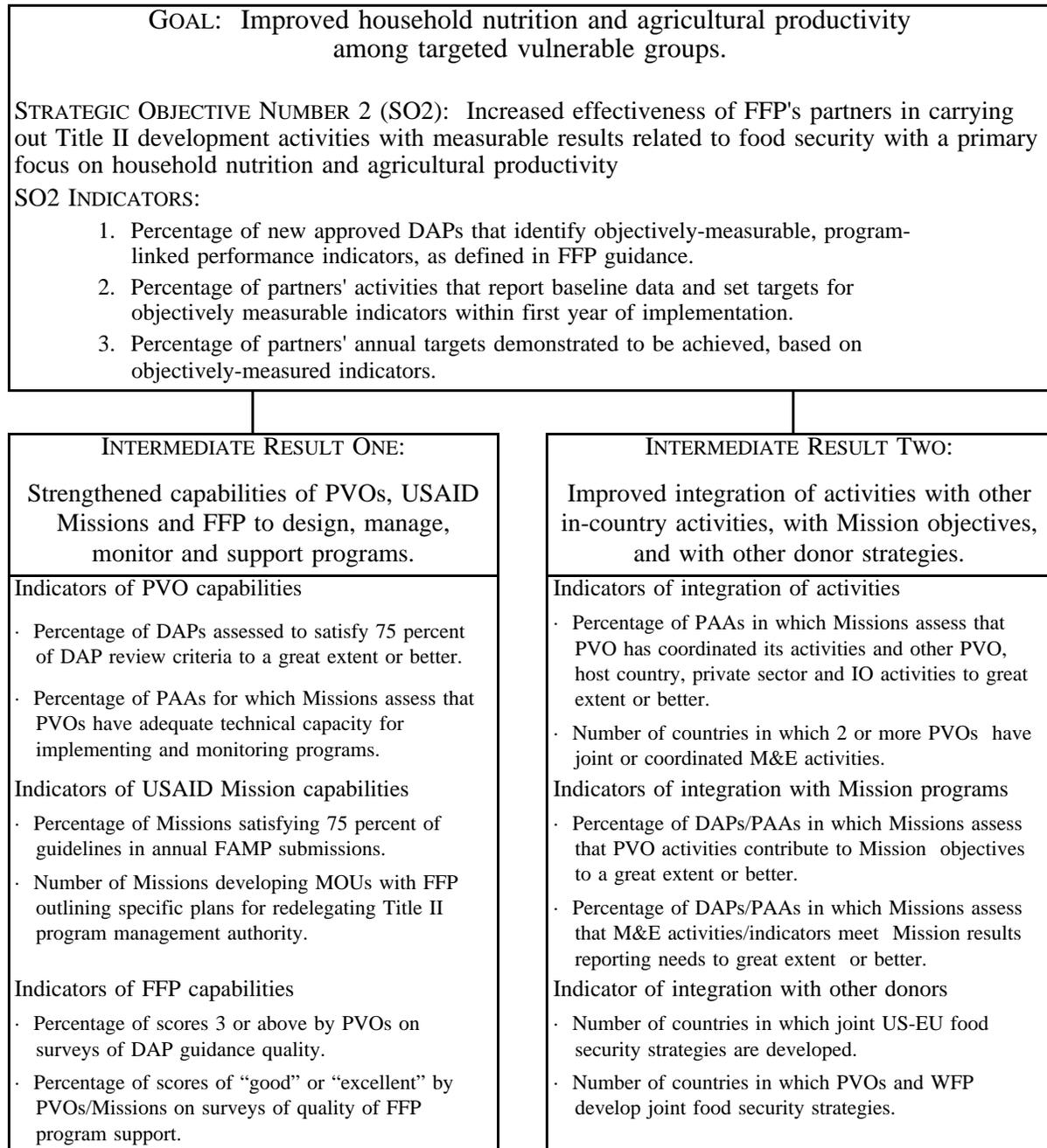


Figure 6. FFP SO2 Results Framework Summary.

Considerations in Selecting SO2 Results Framework Indicators. A key to USAID's "managing-for-results" strategy is the identification of appropriate measurable performance indicators and targets.²⁰ The need for such indicators and targets applies both to this Results Framework, and to the activities of the Cooperating Sponsors in the field. In developing this Framework, emphasis was placed on identifying indicators and targets that satisfy four important criteria:

1. They are objectively measurable;
2. They are oriented toward results as opposed to merely inputs and outputs;
3. They are within FFP's manageable interest; and
4. They can be monitored without excessive investments of time.

While these criteria are all important, satisfying them is not an easy task and creates difficult tradeoffs.

The *objectively-measurable* and *results-oriented* criteria are especially challenging given the intangible nature of the types of intermediate results identified by FFP as critical to achieving its SO2— namely, strengthening capabilities, and improving program integration. It is important to realize, both for this framework and for PVO programs in the field, that many important results or achievements have an intangible nature that is not easily measurable. This creates a tradeoff in developing this (or any) results framework. On the one hand, focusing only on objectives that have tangible and easily measurable results, may mean sacrificing important achievements. On the other hand, choosing objectives and results that, though important, are not tangible, may mean sacrifices in the objectivity and ease with which they can be measured. For instance, increasing human capacity is seen as an essential step in improving the effectiveness of Title II programs. However, human capacity, expressed as a result, is an intangible and inherently difficult concept to measure.

The *manageable-interest* and *results-oriented* criteria for indicators and targets also create a challenge, particularly at the SO2 level. This is because FFP does not directly implement programs, but rather works through its partners to achieve program impacts. This creates a tradeoff in that selecting only those indicators and targets that are in the strict direct manageable interest of FFP would lead to a results framework that does not address impacts at the field level. On the other hand, measuring indicators and targets that are more field-level impact oriented, results in compromising the manageable-interest criterion.

²⁰An "indicator" here refers to a measurable concept that reflects the degree of progress towards (or away) from an objective. The indicator does not generally reflect the entire concept of an objective, but rather a measurable aspect of it. A "target" here refers to a specification of the expected (or desired) magnitude (or change of magnitude) of the value of an indicator.

Time being a scarce commodity for FFP, regional bureaus, Missions and PVOs, most of the indicators were chosen such that they could be monitored as part of routine annual program actions (i.e., DAP reviews, Results Report reviews, and Mission comments on DAP/PAAAs). Two exceptions are the indicators of FFP capabilities that would entail PVOs and Missions completing two brief surveys per year. These surveys would require staff time beyond current activities, but could reduce other reporting and feedback mechanisms.

SO2 Indicators and Measurement. Three indicators have been identified as measures of achievement of SO2. These indicators follow a progression from PVOs' identifying indicators and targets for PVO programs, to their measuring program impacts with respect to these indicators and targets, to their demonstrating achievement of the targets. Specifically, the SO2 indicators and targets are:

SO2.1. Percentage of new approved DAPs that identify objectively-measurable, program-linked performance indicators, as defined in FFP guidance;

SO2.2. Percentage of partners' activities that report baseline data and set targets for objectively-measurable indicators within the first year of implementation; and

SO2.3. Percentage of partners' annual targets demonstrated to be achieved, based on objectively-measured indicators.

Discussion of these indicators, their respective targets, and the means for verifying target achievement, are discussed in more detail in the subsections that follow. In addition, Table 4 provides a summary of this information. To bring more clarity to Indicator SO2.1, a section is also provided in which the criteria for defining adequate indicators and targets in DAPs and PAAAs are discussed, including examples from FY 96 and FY 97 DAPs of indicators and targets that would and would not meet these criteria.

INDICATOR SO2.1. How effectively FFP's partners' programs can demonstrate measurable impacts depends first on whether appropriate measurable indicators are identified in the activity design. Without objectively measurable indicators, measuring performance becomes difficult, and clearly demonstrating target achievement may become impossible. Thus, tracking whether adequate indicators are included in activity proposals is an important indicator of FFP's partners' effectiveness in designing programs that will have measurable impacts. Trying to measure performance related to this indicator in an objective and consistent way is a serious challenge. Assessing the adequacy of indicators has an inherent subjective nature to it, with the danger that the standards of adequacy will differ among people. To try to minimize subjectivity, it is important to define as clearly as possible the criteria that adequate indicators should meet. Therefore, explicit criteria have been included in the FY 98 DAP/PAA guidance and should be included in future guidances as well.

A baseline of the percentage of DAPs that have defined indicators which meet the above criteria will be determined by "rereviewing" a random sample of FY 97 DAPs. The targets are to have adequate (as defined by the criteria below) indicators identified in 100

percent of new approved DAPs beginning in FY 98. The means of verification will be through annual

Table 4. Summary of Strategic Objective 2 Indicators and Measurement.

STRATEGIC OBJECTIVE 2	DIMENSION MEASURED	INDICATOR	BASELINE	TARGET	MEANS & FREQUENCY OF VERIFICATION	RESPONSIBILITIES
Increased effectiveness of FFP's partners in carrying out Title II development programs with measurable results related to food security, with a primary focus on household nutrition and agricultural productivity.	Activity design	Percentage of new approved DAPs that identify objectively-measurable, program-linked performance indicators, as defined in FFP guidance.	To be determined by rereviewing a sample of FY 97 DAPs. (March 97)	100 percent of DAPS for FY 98 and beyond.	Annual DAP reviews will verify whether indicators are identified and consistent with criteria in FFP guidance.	FFP provides criteria for properly defined indicators in its annual DAP guidance, and DAP reviewers verify whether DAPs identify indicators meeting these criteria.
	Activity monitoring and evaluation	Percentage of partners' activities that report baseline data and set targets for objectively measurable indicators within first year of implementation.	To be determined through review of this year's PAAs for FY 97 DAP submissions. (May 97)	To be determined after establishing baseline.	Annual review of PVO PAAs will verify whether baseline data and targets have been established.	FFP verifies through PAAs the percentage of activities approved in previous year which have established baseline data and targets.
	Activity implementation	Percentage of partners' annual targets demonstrated to be achieved, based on objectively-measured indicators.	To be determined through review of Results Reports during FY 97. (May 97)	To be determined after establishing baseline.	Review of annual Results Reports will verify percentage of targets demonstrated to be achieved.	FFP reviews Results Reports to determine percentage of programs demonstrating target achievement.

DAP reviews. Specifically, the adequacy of indicators will be indicated by whether DAPs receive a score of 3 or higher on each of the categories in Question Number 3 in the DAP Review scoring system (Appendix A, page 81). FFP has included these criteria in the FY 98 DAP guidance and will ensure they are also included in future annual DAP/PAA guidances.

TITLE II GENERIC INDICATORS. Having PVOs and Missions measure and report on standardized indicators is critical for successfully implementing the SO2 Strategic Plan. Therefore, PVOs using Title II food aid for development activities will be expected to carefully measure and report impacts, using, as far as possible, appropriate indicators from the list of Title II Generic Indicators. The use of these indicators will allow USAID and its partners to measure the impact of similar interventions in a standardized way and to better judge which interventions are more effective in improving household food security. Use of these indicators will also enable FFP and the cooperating sponsors to consolidate data, and thus more effectively meet Agency and Congressional requirements to demonstrate the impacts of Title II activities on food security objectives.

The core generic indicators are focused on the major categories of Title II activities and are divided into two types: 1. *impact indicators*, which will be carefully measured at the midpoint and at the end of activities; and 2. *annual monitoring indicators*, which will be measured using routine records or with brief surveys. All will be measured against data collected in baseline surveys that will be carried out at the start of all Title II activities.

1. **Impact Indicators:** The measurement of impact indicators will require cooperating sponsors to carry out high quality baseline, midterm (where possible), and end-of-activity surveys. This will require use of appropriate sampling techniques and, where possible, include measurement of control groups in nonintervention areas. Due to the relatively high cost of their measurement, FFP will not require that these indicators be measured every year. However, FFP will support selected Operations Research Cases designed to better answer some generic impact questions. In these cases, PVOs may be asked to carry out more extensive measurements at the midpoint of a five-year activity. In addition, USAID Missions and relevant offices in the Global Bureau will be encouraged to invest resources to demonstrate the impact of food-aid-supported interventions.
2. **Annual Monitoring Indicators:** In years in which impact data are not collected, annual results reporting will consist of monitoring intermediate results and selected impact measures that can be routinely collected. In addition, qualitative methods such as focus group discussions and key informant interviews may be used to capture process and contextual data. This annual data may indicate trends, constraints, and external factors influencing activity performance. For example, in the case of agricultural activities, annual yield data needs to be collected over the life of the activity to help distinguish effects of climatic variability from effects of the food-supported interventions.

Table 5 (page 60) provides a summary of the Title II generic indicators. As much as possible, PVOs will be encouraged to choose indicators from this list that are relevant to their programs.

Table 5. Summary of Title II Generic Indicators.

CATEGORY	LEVEL	INDICATOR
HEALTH, NUTRITION & MCH	Impact	percent stunted children (height/age z-score) percent underweight children (weight/age z-score) percent infants breast-fed w/in 8 hours of birth percent infants less than 6 months breast-fed only percent infants 6 to 10 months fed complementary foods percent infants continuously fed during diarrhea percent infants fed extra food for 2 weeks after diarrhea
	Annual monitoring	percent eligible children in growth monitoring/promotion percent children immunized for measles at 12 months percent of communities with community health organization
WATER & SANITATION	Impact	percent infants with diarrhea in last two weeks liters of household water use per person percent population with proper hand washing behavior percent households with access to adequate sanitation (also annual)
	Annual monitoring	percent households with year-round access to safe water percent water/sanitation facilities maintained by community
HOUSEHOLD FOOD CONSUMPTION	Impact	percent households consuming minimum daily food requirements number of meals/snacks eaten per day number of different food/food groups eaten
AGRICULTURAL PRODUCTIVITY	Impact	annual yield of targeted crops yield gaps (actual vs. potential) yield variability under varying conditions value of agricultural production per vulnerable household months of household grain provisions percent of crops lost to pests or environment
	Annual monitoring	annual yield of targeted crops number of hectares in which improved practices adopted number of storage facilities built and used
NATURAL RESOURCE MANAGEMENT	Impact	imputed soil erosion imputed soil fertility yields or yield variability (also annual monitoring)
	Annual monitoring	number of hectares in which NRM practices used seedling/sapling survival rate
FFW ROADS	Impact	agriculture input price margins between areas availability of key agriculture inputs staple food transport costs by seasons volume of agriculture produce transported by households to markets volume of vehicle traffic by vehicle type
	Annual monitoring	kilometers of farm to market roads rehabilitated selected annual measurements of the impact indicators

INDICATOR SO2.2. Identifying the anticipated results of activities, and measuring progress toward achieving them, is central to USAID's *managing for results* strategy. Identifying and measuring results is dependent, however, on first establishing baseline data for the selected performance indicators. This baseline data, in addition to providing a standard against which to measure impacts, allows for more reasonable identification of performance targets.

Ideally, baseline data should be collected and targets set prior to the submission of activity proposals. However, since PVOs can only receive the necessary funding for data collection after approval of their proposals, the practical alternative is for baseline data collection and target setting to take place during the initial year of implementation. This process has begun in earnest with the activities that were approved in the FY 97 DAP cycle. It is expected that by the time FY 98 PAAs are submitted, most of these FY 97-approved activities will have had baseline data collection completed and specific performance targets identified.

The means of verification would be through the review of PAAs for activities approved in the previous year. Based on a review of the FY 98 PAAs for FY 97-approved activities, a baseline will be established, and targets set for subsequent years.

INDICATOR SO2.3. Ultimately, the degree to which targets are met, and impacts achieved, is the most important indicator of the effectiveness of FFP's partners in carrying out their development activities. At first, the achievement of annual performance targets, which reflect intermediate program effects, should be demonstrated. Subsequently, results reports emanating from midterm and final evaluations should demonstrate achievement of ultimate impact targets.

This indicator links FFP's "partner strengthening" activities with ultimate people-level impacts in the field. However, instead of defining specific targets for increases in household nutrition, agricultural productivity, etc., FFP performance will be assessed in terms of how effectively its partners achieve the specific targets they set. This approach for measuring FFP performance recognizes the fact, as noted before, that FFP does not directly implement programs, but rather works through its partners to achieve program impacts.

Reviews of annual Results Reports will be the means of verification. In addition to indicating whether actual results reached anticipated target levels, PAAs should demonstrate, and PAA reviewers should verify, that the results were obtained based on objectively measured indicators. A baseline will be established based on the Results Reports submitted in FY 97 and targets for subsequent years determined after the baseline is established.

IR-1 Indicators and Measurement. The first intermediate result (IR1) toward achieving Strategic Objective 2 is *strengthened capabilities of PVOs, USAID Missions and FFP to design, manage, monitor and support programs.* Indicators of strengthened capabilities for each of these groups (PVOs, Missions and FFP, respectively) are listed below. Discussion of these indicators, their respective targets, and the means for verifying target achievement, are discussed in more detail in the subsection that follow. In addition, Table 6 (page 63) provides a summary of this information.

1. Indicators of PVO capabilities

- Percentage of DAPs assessed to satisfy 75 percent of DAP review criteria to a great extent or better.
- Percentage of PAAs in which Missions assess that PVOs have adequate technical capacity for implementing and monitoring activities.

2. Indicators of USAID Mission capabilities

- Percentage of Missions satisfying 75 percent of guidelines in annual FAMP submissions.
- Number of Missions developing MOUs with FFP outlining specific plans for re delegating Title II program management authority.

3. Indicators of FFP capabilities

- Percentage of scores 3 or above given by PVOs on surveys of DAP/PAA guidance quality.
- Percentage of scores of “good” or “excellent” given by PVOs, Missions and relevant USAID/W offices on surveys of quality of FFP program support.

Table 6. Summary of Intermediate Result 1 Indicators and Measurement.

INTERMEDIATE RESULT 1	DIMENSION MEASURED	INDICATOR	BASELINE	TARGET	MEANS/FREQUENCY OF VERIFICATION	RESPONSIBILITIES
Strengthened capabilities of PVOs, USAID Missions and FFP to design, manage, monitor and support programs.	PVO CAPABILITIES	Percentage of DAPs assessed to satisfy 75 percent of DAP review criteria	TBD via review of FY 97 DAPs	TBD based on baseline	Annual reviews of DAPs	FFP uses scoring system for DAP reviews.
		Percentage of PAAs in which Missions assess that PVOs have adequate technical capacity	TBD via Mission comments on FY 98 PAAs	TBD based on baseline	Annual Mission comments on PAAs	FFP includes scored questions in PAA guidance. Missions respond as requested.
	USAID MISSION CAPABILITIES	Percentage of Missions satisfying 75 percent of guidelines in annual FAMP submissions	TBD via review of FAMPs submitted in FY 97	TBD based on baseline	Annual reviews of FAMPs	Missions submit FAMPs annually. FFP reviews FAMPs annually.
		Number of Missions developing MOUs with FFP outlining specific plans for redelegating Title II program management authority	No Missions have signed MOUs to date	3 Missions in FY 97. Total Missions: 5 by FY 98 7 by FY 99 9 by FY 00 10 by FY 01	Annual BHR R4 Reviews	FFP assesses Missions' capability for redelegating authority; enters into MOUs with those that are capable.
	FFP CAPABILITIES	Percentage of scores 3 or more given by PVOs on surveys of DAP/PAA guidance quality	Percent of scores greater than or equal to 3 per question on FY 97 DAP guidance survey: 1. 71.4 2. 14.3 3. 0.0 4. 71.4	75 percent of scores are greater than or equal to 3 for each question on FY 98 guidance: 80 percent by FY 99 85 percent by FY 00 90 percent by FY 01	Annual survey of PVOs on quality of DAP/PAA guidance	FFP distributes annual DAP/PAA guidance survey. PVOs respond as requested.
		Percentage of scores of <i>good</i> or <i>excellent</i> on surveys of quality of FFP program support	TBD via survey in FY 97	TBD based on baseline	Annual survey of PVOs/Missions on overall quality of FFP guidance and support	FFP distributes annual survey of their guidance and support. PVOs/Missions respond as requested.

INDICATORS OF PVO CAPABILITIES. As discussed earlier, “capability” has a very intangible nature, making its measurement in an objective, quantitative sense, quite difficult. The indicators identified will measure PVO capabilities in two ways—by assessments of DAP reviewers of how well PVOs design programs, and assessments by Missions of how well PVOs demonstrate technical capacity for implementing and monitoring their programs. The first indicator will involve the application of a DAP review scoring system (Appendix A, pages 81 and 82). The second indicator will use a single scored question asked of USAID Missions commenting on PAA submissions.

INDICATOR 1.1A. Consistent with USAID's “managing-for-results” strategy, as well as recommendations in the *Food Aid and Food Security Policy Paper*, and because of the increased demand for Title II funding relative to needs, food aid activity proposals, as well as activity monitoring and evaluation, must meet more rigorous standards than ever before. Title II development activities will be increasingly judged on their technical and managerial soundness, ability to demonstrate measurable impact, and most importantly, on their ability to address the key causes of food insecurity in each host country or community.

The ability of FFP's PVO partners to effectively design Title II programs could be measured by having DAP reviewers “score” the quality of DAPs. These scores could be used to track overall project design capabilities over time, and disaggregated scores could be used to track progress in particular elements of project design (e.g., design of M&E plans). A scoring system such as this was previously utilized several years ago for rating Multi-Year Operational Plans (MYOPs), a precursor of DAPs.²¹ While such a scoring system has not been used in the past few years, it may be useful to renew this practice as a way for tracking FFP performance with respect to improving the capability of its partners in designing programs. A suggested format for scoring the quality of DAPs that are submitted is provided on the following page. This suggested format is a modified and abbreviated version of the model developed several years ago for the MYOPs.

A baseline score for FY 97 is being developed by rereviewing a random sample of FY 97 DAPs based on this scoring system. This would require that two to three FFP staff, in addition to two or three other reviewers, be able to make time available for such a task. As far as possible, this “baseline-establishing” team should include personnel who will be involved in subsequent year DAP reviews to bring continuity and increase as much as possible the comparability of the baseline DAP scores with future DAP scores. By creating this baseline, it should also be possible to determine realistic performance targets for subsequent years. In future years, monitoring this indicator would not require extra staff time as it would be part of the annual DAP review process.

²¹This MYOP rating system was developed by Paul Royston, Mendez England & Associates

Indicator 1.1b. This indicator goes beyond project design by assessing the technical capacity of PVOs in implementing, monitoring and evaluating their programs. It is recognized that USAID Missions are in a better position than FFP staff to make such an assessment. However, developing a relatively sophisticated scoring system as in IR1.1a would not be practical given Mission staff constraints and alternative priorities. Therefore, this indicator will be based on two scored questions to be included in the section of the annual DAP/PAA guidance regarding Mission comments on PAA submissions. A baseline can be created based on FY 98 PAAs comments, and targets determined subsequently. Specifically, the questions will be:

The Cooperating Sponsor has demonstrated adequate technical capacity for implementing its development activities.

- _____ 1= Not True
- _____ 2= True to some extent
- _____ 3= True to a great extent with a few exceptions
- _____ 4= True without exception or qualification

The Cooperating Sponsor has demonstrated adequate technical capacity for clearly measuring and reporting the results of their activities.

- _____ 1= Not True
- _____ 2= True to some extent
- _____ 3= True to a great extent with a few exceptions
- _____ 4= True without exception or qualification

INDICATORS OF MISSION CAPABILITIES. Consistent with the decentralization element of USAID's reengineering strategy, FFP is embarking on the process of redelegating its program management authority for Title II development activities to USAID Missions. In doing so, it is imperative to ensure that Missions develop the capability to effectively manage Title II programs. Two indicators are proposed for assessing Mission capability—the percentage of Missions satisfying 75 percent of guidelines in annual FAMP submissions; and the number of Missions developing MOUs with FFP outlining specific plans for redelegating Title II program management authority.

INDICATOR 1.2A. A tool that FFP uses for assessing the program management capabilities of USAID Missions is the *Food Aid Management Plan for USAID Missions* (FAMP). The submission of FAMPs by Missions prior to approval of Title II activities is mandated in AID Handbook 9. The most recent request by FFP for submission of FAMPs was through a cable to Missions in June 1995. A request for FAMPs has been included in this year's FY 98 DAP/PAA guidance. After developing scoring criteria, a review of these FAMPs would serve as a baseline of Mission capabilities, after which targets would be set for subsequent years. In addition to tracking Mission capabilities the FAMPs would serve as an input for determining which USAID Missions have the capacity to be eligible for redelegation Title II program management authority.

INDICATOR 1.2B. As stated above, FFP has embarked on the process of redelegating Title II program management authority to USAID Missions. Prior to redelegation, MOUs need to be signed by FFP and the Missions accepting redelegation of authority. The MOUs,

which would be developed in collaboration with the PVOs operating in-country, would describe the management responsibilities to be assumed by the Missions, and how these responsibilities would be met, including the personnel required. The number of Missions with whom FFP signs MOUs could be used as an indicator of strengthened Missions capabilities. Three Missions have already been identified for redelegation of authority—Peru, Ethiopia and Bangladesh. MOUs for these three Missions will be developed in FY 97. The number of Missions signing MOUs and assuming redelegation of authority should increase each year. Specifically, targets in subsequent years are a total (cumulative) of five Missions by FY 98, seven by FY 99, nine by FY 00, and 10 by FY 01.

INDICATORS OF FFP CAPABILITIES. This indicator focuses on the capabilities of FFP staff to assist in improving the effectiveness of its partners programs. FFP capability would be measured via assessments by its PVO, Mission and USAID/W Regional bureau partners of the quality of the guidance and support it provides. This indicator would entail two brief surveys per year. The first, sent to PVOs only, would assess the quality and helpfulness of FFP's annual DAP/PAA guidance. The second, sent to PVOs and Missions, would assess FFP's overall support and facilitation of its Cooperating Sponsors' programs. While such surveys would require investments of time by PVOs and FFP, two points are important to note. The first point is that these surveys would serve additional purposes, beyond just monitoring, as they would be inputs into improving FFP support to PVOs and Missions, and strengthening its partnerships. The second point is that much time is already spent by PVOs and FFP sharing such feedback, in a less formalized and documented way, through both regular and informal meetings among FACG members and FFP staff. Formalizing feedback from PVOs through these brief surveys, will reduce the need for such frequent meetings.

INDICATOR 1.3A. The clarity, timeliness, and detail provided by FFP to its partners on requirements and standards for development activity proposal submissions are important factors influencing the quality of program design. Clear and detailed instructions and review criteria also reduce uncertainty for both those submitting DAPs and PAAs and those reviewing them. A brief survey was recently distributed to PVOs requesting their assessment of the usefulness, completeness, and clarity of the past year's FY 97 DAP guidance. To date, seven responses have been received. These responses can be used as a baseline for the quality of the past year's (FY 97) DAP guidance. Repeating this survey at the end of every proposal cycle would provide a means of tracking improvements in the guidance. A copy of the survey questions, the scoring system, and a summary of the survey results are provided in Appendices A to C, pages 81 to 84.

INDICATOR 1.3B. Guidance on activity design is only one area in which FFP provides support to its partners. Therefore, in addition to the DAP/PAA guidance survey, another brief survey could be drafted asking PVOs and Missions to assess the quality of support provided by FFP in other important areas, such as guidance on M&E system development and results reporting requirements, and technical assistance to country programs. A baseline for FY 97 could be established after development of the survey questions.

IR-2 Indicators and Measurement. The second intermediate result toward achieving SO2, is *improved integration of activities with other in-country activities, with Mission objectives, and with other donor strategies.* Indicators of improved integration with among PVOs/NGOs, with Missions, and with IOs, are listed below. The targets and means for verifying target achievement, are discussed in the subsection that follow. In addition, Table 7 (page 68) provides a summary of this information.

1. Indicators of integration of activities.

- Percentage of PAAs in which Missions assess that PVO has coordinated its activities and other host country, private sector and IO activities to great extent or better.
- Number of countries in which 2 or more PVOs have joint or coordinated M&E activities.

2. Indicators of integration with Missions.

- Percentage of DAPs/PAAs in which Missions assess that PVO activities contribute to Mission objectives to a great extent or better.
- Percentage of DAPs/PAAs in which Missions assess that M&E activities/indicators meet Mission results reporting needs to great extent or better.

3. Indicator of integration with other donors.

- Number of countries in which joint US-EU food security strategies are developed.
- Number of countries in which PVOs and WFP develop joint food security strategies.

Table 7. Summary of Intermediate Result 2 Indicators and Measurement.

INTERMEDIATE RESULT 2	DIMENSION MEASURED	INDICATOR	BASELINE	TARGET	MEANS/FREQUENCY OF VERIFICATION	RESPONSIBILITIES
Improved integration of activities with other in-country activities, with Mission objectives, and with other donor strategies.	INTEGRATION WITH OTHER IN-COUNTRY ACTIVITIES	Percentage of PAAs in which Missions assess that PVO has coordinated its activities and other PVO, host country, private sector and IO activities to great extent or better	TBD via Mission comments on FY 98 PAAs	TBD based on baseline	Annual Mission comments on PAAs	<i>FFP</i> includes the relevant scored question in PAA guidance. <i>Missions</i> respond
		Number of countries in which 2 or more PVOs have joint or coordinated M&E activities	0 countries as of January 1997	3 in FY 97 5 in FY 98 7 in FY 99 9 in FY 00 10 in FY 01	Annual reviews of Results Reports	<i>FFP</i> tracks number of country programs with joint/coordinated M&E systems.
	INTEGRATION WITH USAID MISSION OBJECTIVES	Percentage of DAPs/PAAs in which Missions assess that PVO activities contribute to Mission objectives to a great extent	TBD via Mission comments on FY 98 PAAs	TBD based on baseline	Annual Mission comments on PAAs	<i>FFP</i> includes the relevant scored question in PAA guidance. <i>Missions</i> respond as requested.
		Percentage of DAPs/PAAs in which Missions assess that M&E activities and indicators meet Mission results reporting needs to great extent	TBD via Mission comment on FY 98 DAPs/PAAs	TBD based on baseline	Annual Mission comments on DAPs/PAAs	<i>FFP</i> includes the relevant scored question in DAP/PAA guidance. <i>Missions</i> respond
	INTEGRATION WITH OTHER DONOR STRATEGIES	Number of countries in which joint US-EU food security strategies are developed	0 countries as of January 1997	Total of 5 by FY 98; 7 by FY 99 9 by FY 00 10 by FY 01	Annual BHR R4 reviews	<i>FFP</i> tracks number of country programs with joint US-EU strategies.
		Number of countries in which PVOs and WFP develop joint strategies	0 countries as of January 1997	Total of 3 by FY 98; 5 by FY 99 7 by FY 00 9 by FY 01	Annual BHR R4 reviews	<i>FFP</i> tracks country programs with joint PVO-WFP strategies

INDICATORS OF INTEGRATION OF ACTIVITIES. FFP recognizes the importance of integrating Title II activities with each other and with other resources. To this end, it encourages coordinated activities and monitoring among cooperating sponsors, host countries, WFP, private sector participants, and other donors. Two indicators will be used to assess such integration—Mission assessments of how well activities are integrated with other activities, and the number of country programs with joint or coordinated monitoring and evaluation systems among Title II PVOs.

INDICATOR 2.1A. This indicator would entail Missions assessing how well Title II PVOs integrate their activities with other in-country development activities, by including a scored question in the section of the annual DAP/PAA guidance regarding Mission comments on PAA submissions. Specifically, the question would be:

The Cooperating Sponsor has worked with and coordinated its activities with other PVO, host country, private sector and international organization development activities in country.

- _____ 1= *Not True*
- _____ 2= *True to some extent*
- _____ 3= *True to a great extent with a few exceptions*
- _____ 4= *True without exception or qualification*

A baseline would be generated from FY 98 PAA reviews and targets determined based on the baseline.

INDICATOR 2.1B. Coordination of M&E activities among PVOs engaged in similar activities in the same country is an area where better integration among PVOs could be of great benefit, particularly considering the great expense of M&E activities and the limited technical capacity PVOs currently have in this area. Not only could joint M&E activities (e.g., joint baseline data collection, joint midterm evaluations) increase M&E efficiency, but also they can encourage better coordination of programs overall. The number of countries in which 2 or more PVOs have joint or coordinated M&E programs will thus be another indicator of integration among activities.

The target for FY 97 is three countries, with Title II PVOs working in Mozambique, Peru and Haiti having already committed to initiating joint M&E activities for their programs beginning in FY 97. The targets would be to increase the total countries to five by FY 98, seven by FY 99, nine by FY 00, and a total of 10 by FY 01. Special emphasis will be placed on encouraging joint M&E plans in countries where 2 or more PVOs are submitting new DAPS (e.g., Ethiopia in FY 98). The means of verification for this indicator would be through annual reviews of DAPs, PAAs, Results Reports and/or evaluation reports.

INDICATORS OF INTEGRATION WITH MISSIONS. PVO Title II programs may operate in countries without a USAID Mission, or in countries whose USAID Missions do not have food security as a strategic objective. In such cases, integration of Title II program objectives with USAID Mission objectives is not expected. However, where PVOs are operating in countries with USAID Missions that do have food security objectives, it is

desirable that Title II objectives be integrated with the USAID Mission objectives. This follows from the Agency Food Aid and Food Security Policy Paper which states that food aid “should be integrated to a greater extent with other USAID assistance resources.” Also, in these cases, PVO results monitoring and reporting activities should conform as much as possible with Mission results reporting needs.

As Missions are in the best position to assess how well activities support their objectives and reporting needs, the two indicators here would entail Missions assessing PVOs in this regard by including scored questions in the sections of the DAP/PAA guidance requesting Mission comments. The means of verification for both indicators would be through annual reviews of DAPs and PAAs, with targets set after a baseline is established in the FY 98 DAP/PAA reviews.

INDICATOR 2.2A. This indicator would be measured by Missions responding to the following question in their comments accompanying *DAP* and *PAA* submissions:

For Missions that have a food security-related strategic objective or IR, the PVO Title II activities contribute to achievement of the Mission objectives and results framework.

- _____ 1= *Not True*
- _____ 2= *True to some extent*
- _____ 3= *True to a great extent with a few exceptions*
- _____ 4= *True without exception or qualification*
- _____ N/A= *Mission does not have food security-related SO or IRs*

INDICATOR 2.2B. This indicator would be measured by Missions responding to the following question in their comments accompanying *DAP* and *PAA* submissions:

For Missions that have a food security-related strategic objective or IR, the PVO's monitoring and evaluation plan and indicators address the Mission's results reporting needs.

- _____ 1= *Not True*
- _____ 2= *True to some extent*
- _____ 3= *True to a great extent with a few exceptions*
- _____ 4= *True without exception or qualification*
- _____ N/A= *Mission does not have food security-related SO or IRs*

INDICATORS OF INTEGRATION WITH DONORS.

INDICATOR 2.3A. USAID and the European Commission, the two largest food aid donors in the world, agreed in September 1995 to the development of joint food security strategies in five pilot countries, namely Ethiopia, Eritrea, Malawi, Angola, and Bolivia. Successful development and implementation of these joint strategies would be a good indicator of improved integration among these two key food aid donors. Strategies for these five countries are expected to be developed by FY 98, and joint strategies for additional countries are anticipated in subsequent years. The targets for subsequent years are: a cumulative total of seven countries by FY 99, nine by FY 00, and 10 by FY 01.

INDICATOR 2.3B. The World Food Program is another large food donor with programs in the same countries as Title II PVOs. Improved integration between WFP and PVO programs needs to also be encouraged. Such integration will be measured by the number of countries in which FFP's partners develop joint food security strategies. It should be noted here that, in response to FAO/WHO initiatives resulting from the International Conference on Nutrition (1992), the WFP is in the process of working with governments in more than 100 countries worldwide to develop national plans of action for health and nutrition. FFP's partners will be strongly encouraged to meld, wherever feasible, their efforts into these plans. Targets for PVO-WFP integration are: joint food security strategies in 3 countries by FY 98; a total of five countries by FY 99; seven by FY 99; and nine by FY 01.

Performance Tracking Matrices for SO2 Indicators and Title II Impacts. As a first step in operationalizing the SO2 Strategic Plan, Tables 8 and 9 (pages 72 and 73) provide suggested matrices for tracking activity impacts and Framework indicators over the duration of the Strategic Plan.

ANNUAL RESULTS OF TITLE II DEVELOPMENT ACTIVITIES. Food for Peace SO2 focuses FFP's manageable interests on the increased effectiveness and capacity building of its partners—field Missions and cooperating sponsors—as the primary mechanism for facilitating improvements in food security. These food security objectives of improved household nutrition and agricultural productivity among vulnerable groups will be reported annually to FFP by cooperating sponsors through their “Results Reports” (RR) and “Previously Approved Program” (PAP) documents. FFP's FY 1998 guidance to cooperating sponsors instructs them to develop measurable objectives, data collection systems, and track the use of food aid and dollar resources in a uniform manner. This, in turn, will allow FFP to “roll-up” the results of all Title II development assistance programs worldwide (see Figure 7, page 53). In USAID-presence countries, where the Title II program is integrated into the Mission strategy, Mission R4 reporting and comments on cooperating sponsor program documentation will assess the food security impact of Title II activities; the contribution of Title II to the Mission's own strategic objectives, i.e., the effectiveness and breadth of integration of Title II resources with other Mission activities; the quality of cooperating sponsors' joint monitoring and evaluation systems; and the effectiveness of coordination among all cooperating sponsors. Where Title II is not integrated into the Mission strategy, cooperating sponsors' reports will suffice. Similarly, in USAID nonpresence countries, FFP will rely solely on the reporting systems established by their cooperating sponsors and the REDSO food aid management personnel.

Table 8 (page 72) is an illustrative example of a matrix that can be used for tracking activity impacts and SO2 indicators on an annual basis. In this example, the FY 95 Results Report for the Bangladesh/CARE program was used. This kind of matrix can be used for each activity as a way to summarize and aggregate the information that relates to monitoring and evaluation indicators of field activities, as well as for the SO2 indicators.

Table 8. Illustrative Annual Results Tracking Matrix. (Source: CARE/Bangladesh FY 95 Results Report)

INTERVENTION	INDICATORS IDENTIFIED	IMPACT/MONITOR	TARGETS DEFINED	ADEQUATE DEFINITION	TITLE II GENERIC	MISSING GENERICS	METHODS DEFINED?	BASELINE?	METHODS ADEQUATE?	FY 95 TARGETS	FY 95 ACTUAL	TARGET ACHIEVED	
72	RURAL ROAD NETWORK TO IMPROVE ACCESS TO HEALTH	H/A 6-59 months	Impact	FY 99	N	Y	(None)	N	N/A	??	N/A	N/A	N/A
	W/A	Impact	FY 99	N	Y		N	N/A	??	N/A	N/A	N/A	N/A
	W/H	Impact	FY 99	N	N		N	N/A	??	N/A	N/A	N/A	N/A
	Food consumption	Impact	FY 99	N	??		N	N/A	??	N/A	N/A	N/A	N/A
	Road use for health/ed	Impact	FY 99	N	N		N	N/A	??	N/A	N/A	N/A	N/A
	Traffic volumes	Impact	FY 99	Y	Y		N	N/A	??	N/A	N/A	N/A	N/A
	Transport costs	Impact	FY 99	Y	Y		N	116	??	N/A	N/A	N/A	N/A
	No. employed	Monitor	Annual	Y	N		N	0	??	525,000	513,258	No	No
	Roads made passable	Monitor	Annual	Y	Y		N	0	??	2,608	2,612	Yes	Yes
	Systems tested	Monitor	Annual	N	N		N	0	??	1	1	Yes	Yes
	No. trained	Monitor	Annual	N	N		N	0	??	7,750	6,590	No	No
DISASTER PREPAREDNESS	Access disaster relief supplies	Impact	FY 99	N	N	(None)	N	7.0%	??	N/A	N/A	N/A	N/A
	Post-disaster sales/loans	Impact	FY 99	N	N		N	21.0%	??	N/A	N/A	N/A	N/A
	Post-disaster malnutrition	Impact	FY 99	N	Y		N	4.6%	??	N/A	N/A	N/A	N/A
	Disaster management system	Monitor	Annual	Y	N		N	0	??	0	N/A	N/A	N/A
	Flood proofing pilots	Monitor	Annual	Y	N		N	0	??	10	0	No	No
	No. trained	Monitor	Annual	N	N		N	0	??	40	43	Yes	Yes

Table 9. Illustrative Matrix for Tracking SO2 and IR Indicators.

INDICATOR	BASELINE	FY 97 TARGET	FY 97 ACTUAL	FY 98 TARGET	FY 98 ACTUAL	FY 99 TARGET	FY 99 ACTUAL	FY 00 TARGET	FY 00 ACTUAL	FY 01 TARGET	FY 01 ACTUAL
SO2.1	TBD 3/97	100%		100%		100%		100%		100%	
SO2.2	TBD 5/97	TBD									
SO2.3	TBD 5/97	TBD									
IR1.1a	TBD 3/97	TBD									
IR1.1b	TBD 5/97	TBD									
IR1.2a	TBD 5/97	TBD									
IR1.2b	0	3		5		7		9		10	
IR1.3a	71, 14, 00, 71	75,75 75,75		80,80 80,80		85,85 85,85		90,90 90,90		90,90 90,90	73
IR1.3b	TBD 5/97	TBD									
IR2.1a	TBD 5/97	TBD									
IR2.1b	0	3		5		7		9		10	
IR2.2a	TBD 5/97	TBD									
IR2.2b	TBD 5/97	TBD									
IR2.3a	0	0		5		7		9		10	
IR2.3b	0	0		3		5		7		9	

Assumptions and Constraints.

A major assumption of this Strategic Plan is that the U.S. will remain a major provider of development food aid, and will not allow budget constraints to push food aid disproportionately into emergency allocations. It is noted that a number of European donors have taken the position: “emergency and relief assistance only to the extent unavoidable, development food aid activities as soon and as many as possible.”

Another assumption is that a number of countries in which FFP is providing emergency Title II assistance will be transitioning to development assistance. Currently, for instance, there have been increasing signs that Angola and Malawi may be reaching the stage where PVOs can begin to implement development programs. Assuming favorable trends continue, FFP staff will thus have to become engaged in facilitating programs there, including providing guidance on developing DAPs, as well as ISG and 202e grants.

There are numerous difficulties and constraints to increasing the effectiveness of Title II development activities in achieving food security impacts. A list of key constraints, and steps to address these constraints include:

1. Administering FFP resources in countries where AID Missions are closing, or will exist with a limited capacity. The SO2 Team is addressing this constraint by proposing in its annual budget submission the addition of a full-time FFPO with responsibility for nonpresence countries.
2. Avoiding disincentive effects on local agricultural production. The SO2 Team is addressing this by assessing more formally the quality of Bellmon Analyses inactivity proposals.
3. The implementing capacity of USAID's PVO partners. The SO2 Team is addressing this through technical assistance and financial support to its partners in order to build their capacity.
4. Higher commodity prices and less tonnage available for development activities in the face of increasing global food aid needs. The SO2 Team is addressing this by heightening its efforts to make the most effective use of its scarce resources through its “managing for results” strategy that emphasizes the need to measure and demonstrate the impacts of USAID activities.
5. The exemption of the WFP from the monitoring and reporting requirements placed on PVOs as outlined in *USAID Regulation 11: Transfer of Food Commodities for Use in Disaster Relief, Economic Development and other Assistance; Final Rule*. The SO2 Team is addressing this by encouraging greater integration between WFP and PVO programs including the development of joint PVO-WFP food security strategies within countries where both are engaged in development activities.

PART IIIB: SO2 RESOURCE REQUIREMENTS

This section describes the personnel and financial resources that would be required for FFP to achieve the SO2 and IRs proposed in this SO2 Strategic Plan. More specifically, it addresses the Operating Expense and Development Assistance resources that the SO2 Team will require to achieve its objective of increasing the effectiveness of its Title II partners in achieving its results targets. This section does not address resources needed for program implementation by PVOs and Missions. This is consistent with the SO2 Strategic Plan's approach that FFP/DP's role is to increase the effectiveness of its PVO and Mission partners in achieving people-level impact targets that *they* set. Presumably the levels of resources available to PVOs and Missions would be reflected in the levels of targets they set.

Operating Expense Workforce Requirements.

USAID has been extremely vulnerable on the issue of P.L.480 management, due to an inadequate number of staff available to manage P.L. 480 activities. Food aid, and Title II resources in particular, represent USAID's most widely recognized international resource, and the one foreign assistance program with the greatest public recognition and support within the United States. Yet, while food aid constitutes more than one-quarter of the Agency's resources, the staff resources available to manage food aid are negligible. This situation continues to jeopardize the integrity of the P.L. 480 program, leaving the Agency vulnerable to criticism.

To adequately administer its Title II resources, and achieve the results in the SO2 Strategic Plan, the SO2 Team will need an increase in staff levels. Such an increase has been long overdue, given the high level of resources for which FFP is responsible. In addition, a number of countries currently receiving emergency Title II assistance are expected to transition to development programs during the next few years. Therefore, in the Bureau Budget Request (BBS), FFP has requested that the SO2 Team be allocated an additional four "Full-Time Equivalents" (FTEs) beginning in FY 1997, and a fifth additional FTE beginning in FY 1998. The four new FTEs in FY 1997 would include three full-time project officers, and 50 percent of the time of two other direct hires. In FY 1998, 50 percent of the time of another two direct hires has been requested. This would bring the total SO2 Team direct hire staff to 11 full-time and 13 part-time in FY 1997, and 11 full-time and 15 part-time from FY 1998 through FY 2001. A summary of the workforce requirements, based on the FY 97 BBS, is provided in Table 10 (page 77).

The three new full-time project officers in FY 1997 would provide backstopping support and oversight for programs in:

- Nonpresence countries;
- Kenya, Uganda and GHAI; and
- Peru and Bolivia.

The two half-time officers added in FY 1997 would be:

- A Grants Officer, responsible for oversight of the ISG and 202(e) Grant funds that will play a key a role in increasing PVO capabilities; and
- A Monitoring and Evaluation Specialist responsible for managing the results monitoring and reporting system for the SO2 Strategic Plan activities.

For the Grants Officer and Monitoring and Evaluation Specialist, the other half of their time will be allocated to the SO1 Team. In FY 1998, the two half-time direct hires would be:

- A Development Coordinator who would be a critical part of the SO2 team and ensure that all budgetary and operational issues for development activities are resolved; and
- An Information Officer responsible for maintaining and disseminating all Title II programmatic information.

Table 10. SO2 (Development) Workforce Requirements.

FFP/DIVISION	POSITION DESCRIPTION	PERCENT OF TIME (DIRECT HIRE)					POSITION IS:	
		FY 97	FY 98	FY 99	FY 00	FY 01	EXISTING	NEW
FFP/D	Director	40%	40%	40%	40%	40%	x	
FFP/D	Dep. Dir.	40%	40%	40%	40%	40%	x	
FFP/D	Sp. Asst.	25%	25%	25%	25%	25%	x	
FFP/D	Grants Officer	50%	50%	50%	50%	50%		x
FFP/D	Secretary	5%	5%	5%	5%	5%	x	
FFP/D	Secretary	20%	20%	20%	20%	20%	x	
FFP/DP	Chief	100%	100%	100%	100%	100%	x	
FFP/DP	FFP Officer (4)	100%	100%	100%	100%	100%	x	
FFP/DP	FFP Officer	80%	80%	80%	80%	80%	x	
FFP/DP	FFP Officer (3)	100%	100%	100%	100%	100%		x
FFP/DP	FFP Officer, M&E	50%	50%	50%	50%	50%		x
FFP/DP	Secretary	100%	100%	100%	100%	100%	x	
FFP/POD	PA (Dev Coord)	100%	100%	100%	100%	100%	x	
FFP/POD	Budget Analyst	50%	50%	50%	50%	50%	x	
FFP/POD	PA (Proj/Policy)	—	50%	50%	50%	50%		x
FFP/POD	PA (Info Officer)	—	50%	50%	50%	50%		x
FFP/POD	Prgm Ops Spl	100%	100%	100%	100%	100%	x	
FFP/POD	Prgm Ops Asst	90%	90%	90%	90%	90%	x	
FFP/POD	Secretary	38%	38%	38%	38%	38%	x	
FFP/ER	FFP Officer	20%	20%	20%	20%	20%	x	
BHR/PPE	Prog Analyst	30%	30%	30%	30%	30%	x	

TOTAL FULL-TIME DIRECT HIRE: 11 11 11 11 11

TOTAL PART-TIME DIRECT HIRE: 13 15 15 15 15

Operating Expense Travel and Miscellaneous Requirements.

In addition to these workforce requirements, an increase is needed in the level of OE funds for travel and support services. FFP has taken previous reductions in OE to the point that its ability to provide effective support and oversight to Title II programs is in serious jeopardy. Currently, the resources available for site visits, participation in international conferences and seminars, and consultations with implementing partners, international organizations and other donors are insufficient for effectively achieving the SO2 Strategic Plan's objective of increasing the effectiveness of its Title II partners.

A total of \$537,000 has been requested for travel and support services requirements for FY 1998, with this number increasing by approximately 2 percent per year in subsequent years. It is important to note that while this is an increase over previous years, it represents *less than 0.1 percent of total appropriated funds* for Title II development activities in FY 1997 for which the SO2 Team has management responsibility. The breakdown for these required travel and support services funding requirements is summarized in Table 11, below. Appendix D (page 85) presents a summary of OE requests to the FFP Office.

Table 11. SO2 (Development) Operating Expense Budget Request.

		(THOUSANDS OF DOLLARS)				
		FY 97	FY 98	FY 99	FY 00	FY 01
TRAVEL						
	TRAINING TRAVEL	25.0	25.0	25.5	26.0	26.5
	SITE VISITS	150.0	150.0	153.0	156.1	159.2
	CONFERENCES/SEMINARS/RETREATS	50.0	50.0	50.0	50.0	50.0
	ASSESSMENT TRAVEL	10.0	10.0	10.2	10.4	10.6
	OTHER OPERATIONAL TRAVEL	2.0	2.0	2.0	2.0	2.0
	TRAVEL SUBTOTAL	237.0	237.0	240.7	244.5	248.3
SERVICES						
	MANAGEMENT & PROFESSIONAL SERVICES	200.0	200.0	206.0	212.2	218.5
	OTHER MISCELLANEOUS SERVICES	100.0	100.0	102.0	104.0	106.1
	SERVICES SUBTOTAL	300.0	300.0	308.0	316.2	324.6
TOTAL		537.0	537.0	548.7	560.7	572.9

Development Assistance Requirements.

DA funding requirements would include funding for:

- Technical support to the SO2 Team;
- Institutional support grants for strengthening PVO capacities;
- Activity performance monitoring and evaluation, including refinement and analytical review of performance indicators;
- Food security analysis and planning, with particular emphasis on joint strategy development efforts with the EU and WFP; and
- Environmental impact assessments through a buy-in to access Global Bureau expertise.

A summary of the funding requirements for each of these categories is provided in Table 12, below. Appendix D (page 85) contains summary tables for development assistance requests for both SO1 and SO2. In addition, FFP will explore possibilities for accessing global and regional bureau resources in order to fund technical assistance needs. Estimates of the level of such possible funding arrangements have not been made at this time. □

Table 12. SO2 (Development) Request for Development Assistance.

	(Thousands of Dollars)				
	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001
FFP INSTITUTIONAL SUPPORT GRANT	628.0	649.2	728.4	750.5	773.0
PVO INSTITUTIONAL SUPPORT GRANTS	5,700.0	5,700.0	5,700.0	5,700.0	5,700.0
MONITORING PERFORMANCE & EVALUATION	600.0	500.0	500.0	500.0	500.0
FOOD SECURITY ANALYSIS & PLANNING	750.0	1,750.0	1,750.0	1,750.0	1,750.0
ENVIRONMENTAL IMPACT ASSESSMENT (BUY-IN)	250.0	500.0	500.0	500.0	500.0
TOTAL	7,928.0	9,099.2	9,178.4	9,200.5	9,223.0

APPENDICES

APPENDIX A. DAP REVIEW SCORING SYSTEM

Country/PVO _____ Reviewer _____ Date _____

For the following statements, provide written comments and rate according to the following scale:

- 1 = Not True of this DAP;
- 2 = True to some extent;
- 3 = True to a great extent with a few exceptions; and
- 4 = True without exception or qualification.

NOTE: *The scores are a tool for tracking and improving the quality of DAP submissions and will NOT be used as the basis for accepting or rejecting proposals. Leave blank any statements that you are not able to comment on.*

1. The DAP provided a convincing rationale for the country and the target population chosen, including an assessment of their relative food security needs.

					SCORES
country:	1	2	3	4	_____
target group:	1	2	3	4	_____

2. The DAP provided specific objectives and intermediate results consistent with food security.

					SCORES
specific objectives and IRs:	1	2	3	4	_____
consistent with food security:	1	2	3	4	_____

3. The DAP identified performance indicators and targets that (as defined in attached guidance): are objectively measurable, include specific measurement units, address people-level effects and impacts in addition to monitoring indicators, have clear links to program activities, and include FFP Title II Generic Indicators where possible.

					SCORES
objectively measurable:	1	2	3	4	_____
specific measurement units:	1	2	3	4	_____
effect and impact indicators:	1	2	3	4	_____
monitoring indicators:	1	2	3	4	_____
linked to program activities:	1	2	3	4	_____
generic indicators if appropriate:	1	2	3	4	N/A _____

4. THE PROGRAM INTERVENTIONS ARE DESCRIBED IN SUFFICIENT DETAIL TO ASSESS TECHNICAL FEASIBILITY, AND _____ HAVE A CLEAR RELATIONSHIP TO THE PROGRAM OBJECTIVES; AND A CONVINCING CASE IS MADE THAT THESE _____ INTERVENTIONS, AND THE LEVEL OF RESOURCES DEVOTED TO THEM, ARE LIKELY TO ACHIEVE THE PROPOSED _____ IMPACT TARGETS.

					SCORES
sufficient detail:	1	2	3	4	_____
tied to objectives:	1	2	3	4	_____
likely to achieve targets:	1	2	3	4	_____

5. The DAP provides a convincing rationale for the proposed ration size and composition (nonmonetized programs only).

						SCORES
ration size:	1	2	3	4	N/A	_____
ration composition:	1	2	3	4	N/A	_____

6. The DAP demonstrates the likelihood that intended benefits will be sustainable, including measures of cost recovery, financial commitment of partners, and capacity of government/NGO partners for continued management/maintenance.

						SCORES
cost recovery:						_____
financial commitment:	1	2	3	4		_____
partner capacity:	1	2	3	4		_____

7. The DAP described clearly how the proposed activities are integrated with each other, with food security-related activities of other PVOs/donors/host government, with food security objectives of Missions, and with nonfood resources, where applicable.

						SCORES
with each other:	1	2	3	4		_____
with other PVOs:	1	2	3	4	N/A	_____
with other donors:	1	2	3	4	N/A	_____
with host country:	1	2	3	4	N/A	_____
with Mission:	1	2	3	4	N/A	_____
with nonfood resources:	1	2	3	4	N/A	_____

8. The DAP provided a realistic logistics plan with sufficient information on port, storage and inland transport facilities, including logistical problem areas and steps to address them.

						SCORES	
port and storage:						N/A	_____
inland transport:	1	2	3	4	N/A	_____	
problems addressed:	1	2	3	4	N/A	_____	

9. The DAP described specific plans for monitoring and evaluation, including the collection of baseline data, and including monitoring of Title II Generic Indicators, where relevant.

						SCORES
M&E plans:	1	2	3	4		_____
baseline data:	1	2	3	4		_____
Title II generic indicators:	1	2	3	4	N/A	_____

10. The DAP included a complete, documented analysis of the impact of commodities on local production to satisfy the Bellmon Amendment.

						SCORE
Bellmon analysis:	1	2	3	4		_____

11. Overall, the DAP was sufficiently clear and concise.

						SCORES
clear:	1	2	3	4		_____
concise:	1	2	3	4		_____

APPENDIX B. DAP GUIDANCE QUALITY SURVEY

This survey is to be distributed annually to PVOs to solicit their assessment of the quality of FFP DAP/PAA guidance and to track their assessments over time. As a baseline, this survey, in a slightly modified form, was sent to PVOs to assess the FY 97 DAP/PAA.

To assist PVOs in designing high-quality DAPs and PAAs, which satisfy Title II program design requirements, and avoid the need for substantial revisions, FFP intends to make its DAP/PAA guidance for FY __ as clear and as helpful to PVOs as possible. To this end, FFP would appreciate your providing feedback on the quality of this year's (FY __) guidance, and areas where improvements are needed, by answering the following brief survey.

1. Did the FY 97 DAP/PAA guidance provide sufficient clarity and detail regarding what is expected in each section of the DAP/PAA? If not, which sections were inadequate and why?

_____ 1= No
_____ 2= Somewhat
_____ 3= Generally yes (yes with exceptions)
_____ 4= Yes

2. Were the criteria for accepting or rejecting proposals sufficiently clear? If not, why not?

_____ 1= No
_____ 2= Somewhat
_____ 3= Generally yes (yes with exceptions)
_____ 4= Yes

3. Was the DAP/PAA guidance issued in a timely manner to allow sufficient time to develop DAPs/PAAs?

_____ 1= No
_____ 2= Somewhat
_____ 3= Generally yes (yes with exceptions)
_____ 4= Yes

4. On a scale of 1 to 4, how would you rate the FY 97 DAP guidance in terms of the level of clarity and detail it provides in describing what is expected in DAP submissions and the criteria for approval or rejection? (Mark with an X)

_____ 1= Poor (mostly unclear and lacking detail)
_____ 2= Mediocre (somewhat unclear and lacking detail)
_____ 3= Good (mostly clear and well-detailed)
_____ 4= Excellent (very clear and detailed)

5. What changes in the guidance would you recommend to increase its helpfulness to you in designing DAPs/PAAs?

APPENDIX C. INITIAL BASELINE RESULTS FOR FY 97 DAP GUIDANCE
(with seven PVOs Responding to Date)

Question Number 1: Clear and Detailed Instructions

Individual Scores: 3 3 1 4 2 4 3

AVERAGE SCORE: 2.86

PERCENT > OR = 3: 71.4

Question Number 2: Review Criteria Explained

Individual Scores: 1 1 1 2 4 1 1

AVERAGE SCORE: 1.57

PERCENT > OR = 3: 14.3

Question Number 3: Timely Distribution

Individual Scores: 1 1 1 1 2 1 1

AVERAGE SCORE: 1.14

PERCENT > OR = 3: 0.0

Question Number 4: Overall Quality

Individual Scores: 3 2.5 3 3 3 2 3

AVERAGE SCORE: 2.79

PERCENT > OR = 3: 71.4

**APPENDIX D. SUMMARY TABLES SO1 AND SO2: OPERATING EXPENSE
AND DEVELOPMENT ASSISTANCE BUDGET REQUESTS**

Office of Food for Peace, FY 1997 to FY 2001. Summary Operating Expense Request.

		(THOUSANDS OF DOLLARS)				
		FY 97	FY 98	FY 99	FY 00	FY 01
SO1		507.0	507.0	515.7	524.5	533.5
SO2		537.0	537.0	548.7	560.7	572.9
TOTAL		1,044.0	1,044.0	1,064.4	1,085.2	1,106.4

Office of Food for Peace, FY 1997 to FY 2001. Summary Development Assistance

		(THOUSANDS OF DOLLARS)				
		FY 97	FY 98	FY 99	FY 00	FY 01
SO1		3,078.0	3,099.2	3,178.4	3,201.0	3,223.0
SO2		7,928.0	9,099.2	9,178.4	9,200.5	9,223.0
TOTAL		11,006.0	12,198.4	12,356.8	12,401.5	12,446.0