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AMEMBASSY ASMARA PRIORITY

AMEMBASSY PORT AU PRINCE PRIORITY

AMEMBASSY NEW DELHI PRIORITY

AMEMBASSY NAIROBI PRIORITY

AMEMBASSY ANTANANARIVO PRIORITY

AMEMBASSY LILONGWE PRIORITY

AMEMBASSY LUSAKA PRIORITY

AMEMBASSY GUATEMALA PRIORITY

AMEMBASSY MANAGUA PRIORITY

AMEMBASSY TEGUCIGALPA PRIORITY

AMEMBASSY SAN SALVADOR PRIORITY

AMEMBASSY PRAIA PRIORITY

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ADM AID

E.O. 12958: N/A

TAGS:

SUBJECT: TITLE II M&E REPORTING REQUIREMENTS

REF: A) 98 STATE 057091, B) USAID GENERAL NOTICE, 7/28/98

C) 98 STATE 236829

1. SUMMARY: THIS CABLE INFORMS USAID MISSIONS AND TITLE II IMPLEMENTING PARTNERS OF THE REPORTING REQUIREMENTS FOR DEVELOPMENT ACTIVITIES SUPPORTED BY P.L. 480 COMMODITIES USED IN DIRECT DISTRIBUTION OR FOR MONETIZATION. IT REVIEWS CURRENT BHR MONITORING AND EVALUATION GUIDANCE; IT PROVIDES GUIDANCE WHEN ADDITIONAL REPORTING REQUESTS ARE BEING CONSIDERED BY UNCLASSIFIED

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MISSIONS FOR TITLE II IMPLEMENTING PARTNERS; IT PROVIDES IMPORTANT BACKGROUND INFORMATION ON TERMINOLOGY; AND, IT ENCOURAGES CLOSE COORDINATION BETWEEN MISSIONS AND FOOD FOR PEACE (FFP) COOPERATING SPONSORS (CSS). THIS CABLE WAS DEVELOPED BY BHR AND PPC (IN CONSULTATION WITH ANE, LAC, AFR AND G/PHN) AND PVO MEMBERS OF THE FOOD AID CONSULTATIVE GROUP TO FACILITATE THE DESIGN AND IMPLEMENTATION OF DEVELOPMENT FOOD AID PROGRAMS AND TO PROMOTE CLOSER COLLABORATION BETWEEN USAID FOOD AID MISSIONS AND CSS. THIS CABLE COMPLEMENTS REFERENCES: (A) THE FEBRUARY 1998 CABLE

WHICH DESCRIBES THE GENERAL REQUIREMENTS FOR MISSION REPORTING UNDER USAID PERFORMANCE MEASUREMENT GUIDELINES; (B) THE JULY 1998 USAID ADMINISTRATOR S GENERAL NOTICE STRESSING THE NEED TO MINIMIZE THE OVERSIGHT AND REPORTING BURDEN ON COOPERATING SPONSORS; (C) THE DECEMBER CABLE WHICH PROVIDES GUIDANCE FOR FY 2001 R4S; AND (D) THE ((SOON TO BE ISSUED)) CABLE WHICH PROVIDES GUIDANCE ON DEVELOPMENT ACTIVITY PROPOSALS FOR THE FY 2000 CYCLE. BHR AND PPC COMMEND THOSE MISSIONS WHICH HAVE EFFECTIVELY INTEGRATED FOOD AID IN THEIR STRATEGIC FRAMEWORK.

2. BACKGROUND: REF. A AND REF. B REAFFIRM THE AGENCY S COMMITMENT TO RESULTS MANAGEMENT, AND AT THE SAME TIME RECOGNIZE THE NEED TO ELIMINATE EXCESSIVE DATA COLLECTION. INFORMATION COLLECTED AND REPORTED BY TITLE II IMPLEMENTING PARTNERS PROGRAMS SHOULD BE MEASURES OF RESULTS THAT ARE IN THEIR MANAGEABLE INTEREST AND SHOULD ALSO BE INDICATORS THAT ARE USEFUL UNCLASSIFIED

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FOR PROGRAM MANAGEMENT AND REPORTING PURPOSES. IMPLEMENTING PARTNERS OFTEN DEAL WITH SEVERAL DIFFERENT AGENCY OPERATING UNITS, EACH WITH ITS OWN PRIORITIES. AS A RESULT, DIFFERENT PARTS OF THE AGENCY SHOULD SEEK, WHEREVER POSSIBLE, UNIFORMITY AND CONSISTENCY IN THEIR REPORTING REQUIREMENTS AND AVOID ARBITRARY AND UNNECESSARY DATA COLLECTION FROM THEIR PARTNERS. THE ADMINISTRATOR S NOTICE (REF. B) ALSO REAFFIRMS THE AGENCY VALUE OF PARTICIPATION. THIS MEANS THAT IMPLEMENTING PARTNERS SHOULD NEGOTIATE THE DATA REQUIREMENTS PLACED ON THEM BY DIFFERENT PARTS OF THE AGENCY, ENSURING THAT EVERYONE IS AWARE OF THE TOTAL DEMAND BEING PLACED ON A PARTNER, AND THAT THERE IS AN OPPORTUNITY TO CONSOLIDATE DATA REQUIREMENTS. WHEN AN AGENCY OPERATING UNIT SEEKS INFORMATION ABOVE THE MANAGEABLE INTEREST OF THE IMPLEMENTING PARTNER, THE REQUEST FOR DATA, INCLUDING ITS COST IMPLICATIONS

SHOULD BE NEGOTIATED WITH THE PARTNER BEFOREHAND. SUCH NEGOTIATIONS WILL BE FACILITATED BY THE CSS HAVING A WELL DEVELOPED MONITORING AND EVALUATION (M&E) PLAN AT THE TIME A DEVELOPMENT ACTIVITY PROPOSAL (DAP) IS SUBMITTED.

3. THE USAID POLICY TO DEMONSTRATE THE IMPACTS OF TITLE II DEVELOPMENT FOOD AID PROGRAMS ON PROGRAM BENEFICIARIES IS AN IMPORTANT STEP TO REMEDY PAST MANAGEMENT AND REPORTING DIFFICULTIES WITH THE TITLE II PROGRAM. THE MOST IMPORTANT PART OF THIS IS ENSURING THAT ALL ACTIVITIES HAVE SPECIFIED RESULTS THAT THEY ARE INTENDED TO ACHIEVE. RESULTS MANAGEMENT REQUIRES

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THE IDENTIFICATION OF OBJECTIVES, INTERMEDIATE RESULTS AND MEASURABLE PERFORMANCE INDICATORS IN ORDER TO DEMONSTRATE SUSTAINABLE IMPACT OF THE TITLE II ACTIVITY ON FOOD SECURITY. IN SUPPORT OF THIS, ESTABLISHMENT OF EFFECTIVE M&E SYSTEMS WILL LEAD TO IMPROVEMENTS IN PROGRAM DESIGN AND MANAGEMENT, WHICH BENEFIT BOTH USAID AND THE CSS. THESE EFFORTS WILL ULTIMATELY STRENGTHEN THE IMPACT OF PROGRAMS ON THE WELL-BEING OF THEIR INTENDED BENEFICIARIES, AND THEY WILL DEMONSTRATE THE EFFECTIVENESS OF FOOD AID TO U.S. CONSTITUENCY GROUPS.

4. CURRENT BHR GUIDANCE: THE FY 1999 AND DRAFT FY 2000 TITLE II DAP GUIDELINES OUTLINE IN DETAIL THE REQUIREMENTS FOR PROPOSAL DEVELOPMENT AND RESULTS REPORTING. THE GUIDELINES PROVIDE CLEAR DIRECTION ON THE ROLE AND DESIGN OF M&E SYSTEMS IN FOOD AID PROGRAMS AND AGENCY DECISION-MAKING. FOR A GLOSSARY OF USAID DEFINITIONS OF PERFORMANCE MEASUREMENT TERMS, REFER TO THE USAID'S AUTOMATED DIRECTIVES SYSTEM (ADS), POSTED ON THE WEB AT:
[HTTP://GAIA.INFO.USAID.GOV/FTP_DATA/PUB/HANDBOOKS/GLOSSARY.HTM](http://GAIA.INFO.USAID.GOV/FTP_DATA/PUB/HANDBOOKS/GLOSSARY.HTM).

5. PERFORMANCE INDICATORS: THESE MEASURE THE EXTENT TO WHICH THE ACTIVITY RESULTS IN CHANGES IN BEHAVIOR, CAPABILITIES AND WELL-BEING AT THE POPULATION LEVEL (IMPACT INDICATORS), AS WELL AS PROGRESS IN ACTIVITY IMPLEMENTATION (ANNUAL MONITORING INDICATORS). CSS ARE REQUIRED TO IDENTIFY BOTH TYPES IN THEIR DAPS.

6 USAID REQUIRES THAT PERFORMANCE INDICATORS BE
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ESTABLISHED TO OBSERVE PROGRESS AND TO MEASURE ACTUAL RESULTS COMPARED TO EXPECTED RESULTS. ANNUAL MONITORING INDICATORS ARE OFTEN REFERRED TO AS PROGRAM OUTPUTS. IMPACT INDICATORS CORRESPOND MORE CLOSELY TO THE TERMS "PROGRAM OUTCOME" INDICATORS AND "RESULTS" INDICATORS IN OVERALL AGENCY GUIDANCE.

7. ANNUAL MONITORING INDICATORS ARE COLLECTED EVERY YEAR, OR EVEN MORE FREQUENTLY IF WARRANTED, TO MEASURE THE COVERAGE OF ACTIVITIES AND PROVIDE PRELIMINARY

INDICATIONS OF THEIR EFFECTIVENESS (E.G., RATES OF GRADUATION OR GROWTH-FALTERING AMONG PARTICIPANT CHILDREN, RATES OF ADOPTION OF IMPROVED TECHNOLOGIES AMONG PARTICIPANT FARMERS). SUCH ANNUAL INDICATOR DATA ARE ROUTINELY COLLECTED AS PART OF A CS S MANAGEMENT INFORMATION SYSTEM. IMPACT INDICATORS ARE COLLECTED LESS FREQUENTLY, AT BASELINE AND CONCLUSION OF A FIVE-YEAR DAP AND ON A LIMITED BASIS DURING MID-TERM

EVALUATIONS

8. IN TITLE II PROGRAMS CHANGES IN THE FOOD SECURITY STATUS OF THE POPULATION IN THE TARGET AREA ARE MEASURED USING IMPACT INDICATORS. THESE CAN BE FURTHER DIVIDED INTO THE FOLLOWING:

1) INTERMEDIATE IMPACTS (SOMETIMES CALLED EFFECT LEVEL INDICATORS OR OUTCOMES) SUCH AS INCREASED QUALITY OF AND ACCESS TO RESOURCES, ADOPTION OF BEHAVIORS THAT PROMOTE FOOD SECURITY, AND INCREASED INSTITUTIONAL CAPACITIES; AND 2) ULTIMATE FOOD SECURITY IMPACTS SUCH AS IMPROVEMENTS IN PRODUCTION, INCOME, CONSUMPTION,

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HEALTH, AND NUTRITIONAL STATUS

9. FOR TITLE II PROGRAMS, CSS ARE TO INCLUDE AT LEAST ONE IMPACT INDICATOR OF ULTIMATE FOOD SECURITY FOR EACH SECTOR IN WHICH THEY ARE WORKING. THIS INDICATOR IS MEASURED AS PART OF THE BASELINE, MID-TERM AND AT LEAST ONE MORE TIME AT THE END OF THE ACTIVITY. THE SELECTION OF THE IMPACT INDICATOR SHOULD BE CONSISTENT WITH THE DRAFT TITLE II GENERIC INDICATORS (REFER TO THE LIST IN APPENDIX E IN THE FY 1999 DAP/PAA GUIDANCE, WHICH CAN BE LOCATED AT [HTTP://WWW.INFO.USAID.GOV/HUM_RESPONSE/FFP](http://www.info.usaid.gov/hum_response/ffp)).

10. FOOD SECURITY IS A CROSSCUTTING ACTIVITY THAT CAN BE MEASURED IN MANY WAYS. IF USING ONE OF THE DRAFT TITLE II GENERIC INDICATORS IS DEEMED UNSUITABLE FOR CS PROGRAM MANAGEMENT OR DEMONSTRATION OF PROGRAM IMPACT, THE CS IS TO PROVIDE A JUSTIFICATION, AND AN ALTERNATIVE PERFORMANCE INDICATOR SHOULD BE IDENTIFIED AND CLEARLY LINKED TO BOTH THE FOOD SECURITY PROBLEM BEING ADDRESSED AND THE INTERVENTIONS SELECTED. FOR ACTIVITIES IN AREAS NOT CURRENTLY COVERED BY THE DRAFT TITLE II GENERIC INDICATORS LIST (E.G., EDUCATION OR INCOME GENERATION ACTIVITIES) CSS ARE ENCOURAGED TO CONSULT THE LIST "PERFORMANCE INDICATORS FOR FOOD SECURITY" INCLUDED AS APPENDIX F IN THE FY 1999 DAP/PAA GUIDELINES (REFER TO ABOVE WEB SITE).

11. FOR TITLE II HEALTH AND NUTRITION ACTIVITIES, CSS ARE TO REPORT ON THE IMPACT ON NUTRITIONAL STATUS USING AT LEAST ONE OF THE GENERIC ANTHROPOMETRIC INDICATORS

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(I.E., HEIGHT-FOR-AGE AND/OR WEIGHT-FOR-AGE), IN ADDITION TO INDICATORS THEY MAY CHOOSE FOR CHANGES IN CHILD FEEDING BEHAVIOR. WHERE APPROPRIATE, BHR/FFP

ALSO ENCOURAGES THE USE OF CHILD NUTRITIONAL STATUS INDICATORS, ESPECIALLY STUNTING, TO MEASURE THE IMPACT OF ACTIVITIES IN OTHER SECTORS.

12. AS DESCRIBED ABOVE, CSS ARE TO CARRY OUT QUALITY BASELINE, ACTIVITY MEASUREMENT AND ANALYSIS EFFORTS. THE FREQUENCY AND NUMBER OF THESE MEASUREMENTS ARE SPECIFIED IN THE GRANT AGREEMENT. OBTAINING NECESSARY DATA WILL INVOLVE USING APPROPRIATE STATISTICAL TECHNIQUES, WHICH MAY REQUIRE USE OF SAMPLING TECHNIQUES ON COMMUNITIES OR PARTICIPANTS SERVED BY THE CS AND, IF POSSIBLE AND APPROPRIATE, INCLUDE SIMILAR MEASUREMENT AMONG CONTROL GROUPS IN NON-INTERVENTION AREAS FOR MORE PRECISE ATTRIBUTION OF IMPACT. CS PROGRAM MANAGERS ARE GIVEN SOME DISCRETION IN HOW BEST TO BALANCE THE TRADE-OFF BETWEEN M&E SYSTEMS COST AND THE RIGOR OF CONCLUSIONS WHICH VARIOUS LEVELS OF INVESTMENT IN INFORMATION SYSTEMS CAN SUPPORT. BECAUSE THE CONDUCT OF A GOOD EVALUATION IS A COMPLEX TECHNICAL UNDERTAKING, CSS ARE ENCOURAGED TO CONDUCT JOINT EVALUATIONS WHERE APPROPRIATE.

13. INTEGRATION OF TITLE II ACTIVITIES INTO MISSION STRATEGIC PLANS: TO THE EXTENT POSSIBLE, BHR ENCOURAGES CSS TO DEVELOP ACTIVITIES WHICH COMPLEMENT MISSION STRATEGIES, AND ENCOURAGES MISSIONS TO INTEGRATE TITLE II INTO THEIR STRATEGIES. THE IDEAL IS TO HAVE PROGRAMS WHICH ARE MUTUALLY SUPPORTIVE. HOWEVER, IN

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ACCORD WITH THE 1996 FARM BILL, DAPS CANNOT BE DISAPPROVED SOLELY ON THE BASIS OF LACK OF INTEGRATION WITH THE USAID COUNTRY STRATEGIC PLAN.

14. SUPPLEMENTAL GUIDANCE: THE DIVERSITY OF PROGRAM TYPES, DEVELOPMENT ENVIRONMENTS, AND CS APPROACHES REQUIRES FLEXIBILITY IN THE IDENTIFICATION OF INDICATORS AND THE DESIGN OF DATA COLLECTION SYSTEMS AND ANALYTICAL PLANS. BECAUSE OF THE ABSENCE OF CLEAR "BEST PRACTICES" IN M&E DESIGN AT THIS TIME, BHR RECOGNIZES THAT THERE MAY BE CONSIDERABLE VARIABILITY IN M&E SYSTEMS. MISSIONS SHOULD BE AWARE THAT THE M&E SYSTEMS IN APPROVED DAPS DO VARY AND WILL CHANGE IN NEW DAPS AS THE STATE OF THE ART IMPROVES. CURRENT TITLE II GUIDANCE (PARA 8 ABOVE), RECOGNIZES THAT, WHILE A SET OF COMMON INDICATORS FOR ALL CS PROGRAMS IN ALL SECTORS MAY BE DESIRABLE FOR ECONOMY AND CONSISTENCY OF REPORTING, THIS MAY NOT BE PRACTICAL IN SPECIFIC SITUATIONS.

15. THIS POTENTIAL VARIABILITY UNDERSCORES THE NEED FOR EFFECTIVE NEGOTIATIONS BETWEEN CSS AND USAID MISSIONS AT THE DESIGN STAGE TO ENSURE THAT M&E SYSTEMS MEET THE INFORMATION REQUIREMENTS OF BOTH IN A COST-EFFECTIVE

FASHION. IN THOSE SITUATIONS WHERE MISSIONS OR BUREAUS REQUIRE ADDITIONAL INFORMATION BEYOND THE PROCESS AND IMPACT REPORTING THE CS WOULD NORMALLY DO ON ITS PROGRAM, MISSION AND OR BUREAU RESOURCES SHOULD BE PROVIDED TO SUPPORT THE COST OF ADDITIONAL INFORMATION OR STUDY.

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16. CSS SHOULD BE SENSITIVE, TO THE EXTENT POSSIBLE, TO THE PLANNING HORIZON OF A MISSION'S STRATEGIC PLAN IN DEVELOPING THEIR ACTIVITIES AND SEEKING INTEGRATION THEREIN. FOR EXAMPLE, A MISSION WITH A RECENTLY APPROVED FIVE-YEAR STRATEGIC PLAN IS LIKELY TO BE MORE RECEPTIVE TO ACTIVITIES WITH LONGER TERM IMPACTS THAN A MISSION WITH A STRATEGIC PLAN WHICH IS TO END IN TWO YEARS. ON THE OTHER HAND, CSS SHOULD NOT BE PRESSURED TO FOCUS ONLY ON THOSE PROGRAMS WHICH HAVE MORE DIRECTLY MEASURABLE SHORT-TERM IMPACTS, AT THE EXPENSE OF THOSE WITH PERHAPS MORE SUSTAINABLE LONG-TERM IMPACTS, FOR WHICH THE ULTIMATE RETURNS TO INVESTMENT MAY BE MUCH GREATER. AT THE STRATEGIC OBJECTIVE LEVEL, IT MAY TAKE FIVE OR EVEN TEN YEARS TO ACHIEVE SOME AMBITIOUS RESULTS. HOWEVER, THIS MAY BE SHORTER FOR PROGRAMS OPERATING UNDER SHORT TERM TRANSITIONAL CIRCUMSTANCES OR UNDER CONDITIONS OF UNCERTAINTY. CSS SHOULD SET GOALS AND HAVE M&E SYSTEMS THAT ARE APPROPRIATE TO THE EXTERNAL ENVIRONMENT, AND REALISTICALLY ACHIEVABLE IN THAT SETTING.

17. BHR AND PPC APPRECIATE THE EFFORTS OF MISSIONS TO FULLY INTEGRATE FOOD AID INTO THEIR STRATEGIC FRAMEWORK AND TO WORK CLOSELY WITH CSS AS DEVELOPMENT PARTNERS. WE ARE HOPEFUL THAT THE GUIDANCE CONTAINED IN THIS MESSAGE WILL HELP MISSIONS AND CSS TO WORK TOGETHER MORE EFFECTIVELY ON MONITORING AND REPORTING ON THIS IMPORTANT AGENCY RESOURCE.

18. CSS ARE ENCOURAGED TO SHARE THIS MESSAGE WITH THEIR
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FIELD STAFF.

19. MINIMIZE CONSIDERED FOR MONROVIA
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