USAID Office of Food for Peace
Multi-Year Assistance Programs/Development Activity Programs

Annual Results Report Guidance
Fiscal Year 2007

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LIST OF ACRONYMS

ADS	Automated Directives System
CBO	Country Backstop Officer
C&F	Commodity and Freight
CBO	Country Backstop Officer
CS	Cooperating Sponsor
DAP	Development Activity Program
DCHA	Bureau for Democracy, Conflict and Humanitarian Assistance
DQA	Data Quality Assessment
ER	Emergency Resources
FAS	Free Alongside Ship
FFP	Office of Food for Peace
FFP/W	Office of Food for Peace-Washington
FFPIB	Food for Peace Information Bulletin
FY	Fiscal Year
IPTT	Indicator Performance Tracking Table
ITSH	Internal Transportation, Shipping and Handling
LOA	Life of Activity
MT	Metric Ton
MYAP	Multi-Year Assistance Program
NER	Non-Emergency Resources
NICRA	Negotiated Indirect Cost Rate Agreement
OMB	Office of Management and Budget
P.L.	Public Law
PMP	Performance Management Plan
PREP	Pipeline and Resource Estimate Proposal
PSNP	Productive Safety Net Program
PVO	Private Voluntary Organization
RFFPO	Regional Food for Peace Officer
SAPQ	Standardized Annual Performance Questionnaire
TA	Transfer Authorization
USG	United States Government
USAID	United States Agency for International Development (AID)

ANNUAL RESULTS REPORT GUIDANCE

INTRODUCTION:

Annual Results Reports provided by Title II Cooperating Sponsors (CS) provide meaningful results-oriented information to demonstrate the impact of Title II food aid on food security. CSs, USAID Missions, and Food for Peace (FFP) use this information to demonstrate progress on activities to date, share lessons learned and program best practices, and improve the design and implementation of current and future programming. It also serves as an important source of information for FFP/Washington, Missions and USAID to report on the overall impact of Title II programs, and to respond to relevant stakeholders including the U.S. Congress, the Office of the Director of Foreign Assistance (F), and the Office of Management and Budget (OMB), among others.

APPLICABLE PROGRAMS:

This Annual Results Reports guidance applies to all Title II Multi-Year Assistance Programs (MYAP) and Development Activity Programs (DAP) with activities implemented in fiscal year (FY) 2007, October 1, 2006 – September 30, 2007. In addition, while programs implemented through the Productive Safety Net Program (PSNP) in Ethiopia are Single-Year Assistance Programs (SYAP), they are multi-year in nature and should therefore submit Results Reports in accordance with this guidance.

Results Reports cover all activities *implemented* in FY 2007, regardless of when funding or commodities were provided and/or if the program began late in the FY and has few activities and results to report on. Any activities implemented and results achieved before or after FY 2007 should not be included in the FY 2007 Results Report. If no activities were implemented in FY 2007, due to late commodity arrivals, etc., CSs should provide a written statement to this effect in lieu of an actual Results Report, following the submission process detailed below, indicating that planned activities will be reported in the FY 2008 report.

Programs that ended during FY 2007 must still complete and submit a Results Report. For such programs, the Results Report will be considered the CS's final program report.

SUBMISSION:

FY 2007 Results Reports are due **no later than November 16, 2007**. Programs closing prior to the end of FY 2008, September 30, 2008, and prior to the release of the FY 2008 Results Report guidance, should follow the guidance for FY 2007 programs and submit their final report no later than 90 calendar days after the expiration of the program's Life of Activity (LOA), but no later than November 1, 2008.

CSs should submit a hard copy and an electronic copy of their report(s) to *both* the Office of Food for Peace/Washington (USAID/FFP/W) and the relevant USAID

Mission/Embassy/Regional Office(s). If the CS is reporting on a regional program, the Results Report must be submitted to all applicable USAID Missions.

The hard copy submitted to FFP/W should be sent to:

> AMEX International
> FY07 Results Report Submission
> RRB North Tower, Suite 270
> 1300 Pennsylvania Ave., NW
> Washington, DC 20004 USA

The electronic copy submitted to FFP/W should be sent to: ffpdocs@amexdc.com. CSs should include "FY07 MYAP Results Report", the CS name and country in the subject line of the email for each submission. CSs should note that zipped files may not be accepted at USAID email accounts, and should follow up with the mission to ensure all files were received.

FORMAT AND COMPONENTS:

Format: All submissions must be:
- Completed in accordance with the formats detailed in this guidance, as applicable;
- No more than 12 pages in length for annual reports or 30 pages in length for final reports, excluding cover page (see **Annex A** for template), list of acronyms, and attachments;
- Written in 12-point font (for narrative) in English, with one-inch margins, and a page number and date on each page; and
- Prepared in MS Word (text) and Excel (spreadsheets), with print areas set to 8.5 x 11 inch, letter-sized paper. Indicator Performance Tracking Tables (IPTTs) may be provided on 8.5 x 14 inch, legal-sized paper.

Components: A complete Annual Results Report includes the timely and complete submission of narrative and corresponding attachments as listed below, provided in this order and with titles corresponding to those provided in bold, where applicable.

> **Cover Page**
> **List of Acronyms**
> **Narrative:**
> 1. **Annual Results**;
> 2. **Proposed Modifications** to the M&E Plan, IPTT, and/or Work Plan;
> 3. **Success Stories**, if applicable;
> 4. **Lessons Learned**; and
> 5. **Closeout Status**, if applicable.
>
> **Attachments:**
> 6. **Indicator Performance Tracking Table (IPTT);**
> 7. **Standardized Annual Performance Questionnaire (SAPQ)**;
> 8. **Summary Request and Beneficiary Tracking Table**;
> 9. **FY 2007 Expenditure Report**;

10. **Monetization Tables**, to include:
    a. Actual Monetization Proceeds and Cost Recovery;
    b. Analysis of Monetization Sales Transaction(s);
    c. Monetization Results Analysis;
    d. Monetization Proceeds LOA Analysis;
11. **Baseline, Mid-Term or Final Evaluation Reports**, if applicable;
12. **Proposed Modifications** to the M&E Plan, IPTT, and/or Work Plan, if applicable; and
13. **Supplemental Materials**, if applicable.

CSs should include only the information requested (state if a section is not applicable). Repetition of narrative information already presented in the relevant approved program proposal is unnecessary. Reference should be made to any sections of a proposal or previous Results Report which are relevant to an issue or point being addressed in the document (include page number and/or section references).

QUESTIONS:

Questions related to individual country programs and performance should be directed to the FFP/W Country Backstop Officer (CBO) or AMEX International support staff member responsible for the country for which you intend to submit the report. Questions about where and how to submit Results Reports should also be directed to these personnel.

Questions directly related to the SAPQ may be directed to Melissa Joy or Arielle Giegerich, AMEX International, at 202-962-0048, mjoy@amexdc.com and agiegerich@amexdc.com. Please copy Vicky Michener, AED/FANTA Project, on all email correspondence at vmichener@aed.org.

REPORT OUTLINE

NARRATIVE:

1. Annual Results

The CS's Results Report is to focus on the program's implementation, performance indicators, and progress made towards the achievement of objectives in FY 2007. CSs may briefly discuss progress to date or results achieved over the LOA, but the emphasis must be on the most recently completed fiscal year. Narrative should be clearly related to results as demonstrated in their Indicator Performance Tracking Table (IPTT), submitted as **Attachment 6 – IPTT**. CSs should also describe anticipated activities and results for the next fiscal year.

A good Results Report will:

(1) Describe progress made over the past year relative to planned activities and results with reference to the detailed implementation plan (DIP), indicators, and targets;
(2) State explicitly whether activities and indicators met, exceeded or fell short of expectations. Highlight differences between planned and actual performance. Where targets were not met or were significantly exceeded, give an explanation and describe corrective actions to be taken;
(3) Interpret significant trends;
(4) Describe any proposed revisions in out-year implementation, indicators or targets based on performance to date; and
(5) Describe CS actions taken to respond to recommendations from FFP or the Mission in previous year approval documentation (i.e., the original proposal or Pipeline and Resource Estimate Proposal (PREP)).

In cases where up-to-date performance indicator data are not available because of the timing of data collection, CSs should provide other evidence of progress toward achieving targets.

Examples of some key questions to address in the Results Report are as follows:

- What circumstances or factors led to exceeding or falling short of expected targets? Were targets too high or too low? If so, why? How will problems be corrected? How will experiences of past years be incorporated into next year's implementation to improve performance?

- Have key assumptions changed?

- How did customer (participant/beneficiary) feedback influence the CS's thinking on accomplishing the objective? Did this feedback confirm the program is on track, or are there issues which must be addressed?

- How has program management been influenced by partnering among various actors (among non-governmental organizations, governmental actors, the private sector, host government, etc.) and changes in the institutional and policy framework?

- What is the significance of what has been accomplished this year in terms of LOA food security objectives and potential for sustainability; (e.g., what is the food security impact of improved water and sanitation infrastructure, service and practices for the affected households and the region or country as a whole)?

Final Reports: Should FY 2007 be the last fiscal year of implementation, the Results Report will be considered the program's final report, and should include a discussion of activities and results not only for FY 2007, but for the entire LOA as well. While the Annual Results Report provides information on implementation and indicator performance for the fiscal year, the final report should address information that is more results-oriented in nature. Accordingly, CSs should discuss overall achievement during the program's LOA versus objectives established in the original proposal, IPTT, etc. It should provide a cumulative discussion on why such results were or were not achieved, overall program impact and future implications, capturing lessons learned from activities as well as subsequent evaluations, etc. (Lessons learned during the program's LOA should be captured in Section 4 of the narrative below). Final reports may be up to 30 pages in length.

2. Proposed Modifications to the M&E Plan, IPTT, and/or Work Plan

Modifications for which the CS is seeking USAID approval should be brought to USAID's attention in the cover letter to the Results Report. Per section 1.9 ("Substantial Involvement") of the Transfer Authorization, USAID must approve changes to Annual Work Plans and Monitoring and Evaluation plans.

a. Summarize the key findings or recommendations of any evaluations, audits, or studies conducted in FY 2007 (or attach a copy of the Executive Summary) and state what the CS is doing to address them. CSs should provide the status of any outstanding recommendations from previous years. The list of evaluations conducted in FY 2007 should be provided in the table provided below.

b. Describe how monitoring and evaluation findings or other lessons learned from FY 2007 will influence implementation in FY 2008. What implementation modifications are proposed for FY 2008?

c. Describe any proposed changes to the M&E system. If the CS is proposing to modify the USAID approved monitoring and evaluation plan, include the proposed revised plan as **Attachment 12**. Out-year targets should be revised upward when prior-year targets have been consistently exceeded, unless the CS provides an explanation that unanticipated factors that may not be repeated contributed to exceeding targets. A downward revision of an out-year target requires a full explanation and FFP approval. Revised IPTTs should be included as **Attachment 6 – IPTT**.

FY 2007 Evaluation Table

Name of Evaluation *(Includes all evaluations, including Mid-Term and Final Evaluations; if no evaluations were performed in FY 2007, state "Not Applicable")*	FY07 Cost *(U.S. Dollars)*	Total Anticipated Cost *(U.S. Dollars)*	# USAID Mission Employees Involved *(leave blank if not applicable)*	Submission Location *(FFP/W, applicable mission, etc.)*	Submission Date *(actual or anticipated)* *(MM/DD/YY)*

3. Success Stories, if applicable

Where possible, CSs should include a few brief narrative examples of success stories or people-level impacts that can be used for reporting program successes to a wider audience. Although individual and household examples are welcome, community- and program-level examples are most useful for reporting program successes.

4. Lessons Learned

The CS should describe lessons learned from program activities implemented during the fiscal year. Programs ending in FY 2007 should also capture lessons learned throughout their LOA. CSs should relate how these lessons learned apply to the specific activity(ies) and overall program objectives and progress. Emphasis should be placed on information useful to future programming and interventions that might be shared within the CS, with other Title II partners and FFP, and the wider development community.

5. Closeout Status, if applicable

Programs that closed during or at the end of FY 2007 should provide a description of the current status of closeout. While the program and its activities must have terminated with the end of the TA, subsequent follow-up may remain that must be completed in line with FFP's Closeout Guidance. This may include the completion of final audits, reports, mission directives, the provision of future reporting on redirected funds, etc.

REQUIRED ATTACHMENTS:

6. Indicator Performance Tracking Table (IPTT)

CSs should include as **Attachment 6 – IPTT** a complete Indicator Performance Tracking Table with information updated for FY 2007, including any proposed changes to the IPTT as detailed in the narrative Sections 1 and 2 above.

7. Standardized Annual Performance Questionnaire (SAPQ)

All Title II programs are required to complete a Standardized Annual Performance Questionnaire (SAPQ) and include it with their Results Report as **Attachment 7 – SAPQ**. The SAPQ is a reporting tool used by FFP to collect standard data across countries and programs so that FFP can report against its Performance Management Plan (PMP) indicators and demonstrate progress made against its Strategic Objective (SO) of "Reducing food insecurity among vulnerable populations." The SAPQ is *not* used by FFP to ascertain an individual program's performance or for monitoring a particular PVO's program; rather, the Results Report narrative and the IPTT are FFP's tools for monitoring individual program performance. Accordingly, CSs need only complete those questions *that apply to their specific programs* and provide only the information that is asked for in the SAPQ form. Please do not add additional indicators to the SAPQ. MYAPs awarded in FY 2007 forward are required to report (each year) on all of the annual indicators that are applicable to their programs and on the applicable impact indicators in the appropriate years. MYAPs awarded prior to FY 2007 are asked only to provide the data if they have them available.

When reporting via the SAPQ, CSs should provide data only for the exact indicators described in the SAPQ form (provided as **Annex B**). These indicators must be measured exactly as they are formulated. No modifications or substitutes will be made as FFP wants to collect standard data across programs.

For additional information on this new reporting requirement, please see Food for Peace Information Bulletin (FFPIB) 07-02: New Reporting Requirements for Food for Peace. French and Spanish translations of the SAPQ will also be available on FFP's web site in mid-October 2007.

All USAID operating units, including FFP, are required to conduct Data Quality Assessments (DQA) on information that is reported outside of the Agency in accordance with ADS 203.3.5.2 and 203.3.8.3. Data submitted through the SAPQ, as with other reporting mechanisms, such as the IPTT and Results Report, are therefore subject to a DQA conducted by FFP in the months following receipt of the CS's Annual Results Report submission. CSs may be requested at that time to provide information as to the quality of the FY07 data provided, regardless of whether the program continues to be active or not. See the Performance Management Toolkit, worksheet 7, for additional details on the information typically requested of CSs selected as part of the annual DQA process.

8. Summary Request and Beneficiary Tracking Table

Provided as **Attachment 8**, the CS should summarize the total resources allocated to the DAP/MYAP in FY 2007 (commodities, support funds, cost share, etc.) and total number of direct program beneficiaries reached, as well as targeted beneficiaries for program outyears, as applicable. Beneficiary totals should be disaggregated by technical sector(s), including beneficiaries of direct distribution and activities funded with monetization proceeds, as appropriate. This information will allow FFP to project how Title II resources were and will be

programmed to targeted groups, compare beneficiary projections with final results, and respond to U.S. government reporting requirements. The Summary Request and Beneficiary Tracking Table template is provided as **Annex C**.

HIV Disaggregation: In recent years, FFP has increasingly been requested to report on HIV-related activities and results. Within the table, space is provided for CSs to briefly describe activities implemented in FY 2007 aimed at HIV-infected and/or affected populations. When denoting costs per technical sector, CSs should capture HIV activities implemented through, and costs associated with, both direct distribution and monetization, including prevention activities that are part of an HIV program component, as well as dollar resources assigned to these activities (Section 202(e), ITSH, complementary funds, etc.).

9. FY 2007 Expenditure Report

CSs are asked to provide a report of actual expenditures in FY 2007 as **Attachment 9** of the Results Report, using the template provided in **Annex D**. CSs should maintain consistency in budget presentation as they move from the original program proposal submission through all subsequent PREPs and Annual Results Reports.

10. Monetization Tables

Unlike in previous years, FFP is requesting CSs to provide all information related to monetization sales transactions, results and proceeds separate from the Results Report narrative, to be provided as **Attachment 10 – Monetization Tables**. CSs should complete the tables for "actual" cost recovery for FY07 and provide applicable analysis and justification as needed. Should the data not be considered final at the time of Results Report submission, CSs should note so in the table and provide an updated table as part of their FY09 PREP submission. The monetization tables template is provided as **Annex E**.

11. Baseline Survey, Mid-Term or Final Evaluation Reports, if applicable

Per Food for Peace's Title II guidelines, baseline surveys are conducted during the program's first FY, and mid-term evaluations approximately half-way through the program period. Final evaluations are conducted in the penultimate year of the program for DAP/MYAPs of four years or more, and by the first quarter of the third year for three-year programs. Note: If the DAP/MYAP was extended beyond its original LOA, CSs should modify the timing and scope of their midterm and final evaluation schedules to reflect the longer life of the program. If the DAP/MYAP was reduced in length, please discuss the timing and coverage of such evaluations with the appropriate CBO.

Copies of reports from the baseline survey and/or evaluations conducted during the FY should be included as **Attachment 11 – Reports**. If already submitted to FFP, please provide the date of submission and the name and location of the person(s) to which they were sent.

12. Proposed Modifications to the M&E Plan, IPTT, and/or Work Plan, if applicable

If the CS is proposing to modify the USAID approved monitoring and evaluation plan, IPTT, and/or work plan, include the proposed revised plan as **Attachment 12 – Proposed Modifications**.

13. Supplemental Materials, if applicable.

CSs should provide supplemental information as **Attachment 13 – Supplemental Materials** only if it directly supports information requested in this guidance. This may include additional evaluations, reports, and/or case studies, or Executive Summaries of such, source data, photos, etc.