

Food for Peace Monitoring and Evaluation Workshop 2015

Session 1: FFP M&E and Reporting Requirements

Presented by:

By the end of the session, participants will have ...

- **Shared** their thoughts about the benefits of M&E
- **Reviewed** the FFP M&E and Reporting Requirements and identified those that seem challenging to their projects

Session Outline

- Activity 1: Share your thoughts
- PowerPoint presentation: FFP M&E and Reporting Requirements

Binder Contents

- PowerPoint presentation: FFP M&E and Reporting Requirements

Slide 1

Food for Peace Monitoring and Evaluation Workshop for
FFP Development Food Assistance Projects

**Food for Peace Monitoring, Evaluation, and
Reporting Requirements**

January 2016
Dhaka, Bangladesh

Food and Nutrition Technical Assistance III Project (FANTA)
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 **USAID**
FROM THE AMERICAN PEOPLE

 **FANTA III**
FOOD AND NUTRITION
TECHNICAL ASSISTANCE

 **fhi360**
FOOD FOR PEACE PROJECT

Slide 2

Session Objectives

**By the end of the session, participants will
have:**

1. Shared their thoughts about the benefits of M&E
2. Reviewed the FFP M&E and Reporting
Requirements and identified those that seem
challenging to their projects

Food for Peace Monitoring, Evaluation, and Reporting Requirements

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Activity 1: Share your thoughts ...

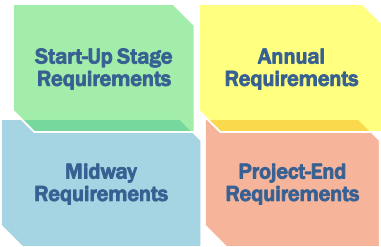
Who will benefit from your M&E work? How? Why?

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Session Objective

Review FFP project lifecycle M&E and reporting requirements:



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Start-Up Stage Requirements

Start-Up Stage Requirements

The diagram consists of four rounded rectangular boxes arranged in a 2x2 grid. The top-left box is green and contains the text 'Start-Up Stage Requirements'. The top-right box is light gray and contains 'Annual Requirements'. The bottom-left box is light gray and contains 'Midway Requirements'. The bottom-right box is light gray and contains 'Project-End Requirements'.

Food for Peace Monitoring, Evaluation, and Reporting Requirements

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Start-Up Stage Requirements

Requirement 1: Theory of Change

1. Basis for project design
2. Basis for M&E systems (LogFrame and IPTT)
3. Should address cross-cutting technical areas (gender, environment, community participation)

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Start-Up Stage Requirements

Requirement 1: Theory of Change

Diagram:

1. Illustrates pathways linking outputs/outcomes/preconditions to project goal
2. Includes outcomes/preconditions outside project scope that are necessary to achieve the goal
3. Provides greater depth for pathways within project purview
4. Includes assumptions/rationales
5. Use multiple diagrams if needed

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Start-Up Stage Requirements

Requirement 1: Theory of Change

Narrative:

1. Supplements—but does not replicate—diagram
2. Details assumptions
3. Provides evidence for less obvious pathway elements
4. Describes how preconditions/outcomes outside project scope will be achieved

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Start-Up Stage Requirements

Requirement 2: LogFrame

- A LogFrame is a matrix summarizing Theory of Change but focused on project outcomes
- Shows what project will do, how, key assumptions, and how outputs/outcomes will be monitored/evaluated
- Levels of LogFrame: Goal, Purpose, Sub-Purpose, Intermediate Outcomes, Outputs—all stated as results
- All LogFrame elements should be measurable and context-specific

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Start-Up Stage Requirements

Requirement 2: LogFrame

	Narrative Summary	Indicators (with targets)	Data Sources	Assumptions
Goal				
Project Purpose				
Sub-Purpose				
Intermediate Outcome				
Output				

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Start-Up Stage Requirements

Requirement 3: IPTT

IPTT should include all indicators for reporting:

- All applicable FFP “required” and “required if applicable” indicators
- Mission/F indicators
- Environmental indicators
- Indicators related to all levels of the LogFrame
- Indicator disaggregates and targets

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Start-Up Stage Requirements

Requirement 3: IPTT

In initial IPTT submission:

- **Submit baseline/final evaluation targets as percentage point change. Update with real values after baseline survey**
- **Submit real values for annual monitoring indicator targets**
- **Provide base year values for annual monitoring indicators**

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Start-Up Stage Requirements

Requirement 4: FFP M&E workshop

PVOs should attend the FFP/FANTA M&E workshop

- Bangladesh: January 10–21, 2016
- Mali: TBD

Two days of intro sessions followed by several days of technical assistance for each award

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Start-Up Stage Requirements

Requirement 4: Workshop Outcomes

Submit IPTT and revised LogFrame/Theory of Change (ToC) to *FFP after the M&E workshop*:

- Initial IPTT (use FFP IPTT Template)
- Revised LogFrame and Theory of Change

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Start-Up Stage Requirements

Requirement 5: M&E Plan

- Theory of Change
- LogFrame
- Indicator Performance Tracking Table (IPTT)
- Performance Indicator Reference Sheets (PIRS)
- Annual Monitoring Plan: Annual monitoring strategy, data quality assurance/management/safeguard plan, M&E staffing/capacity development plan
- Evaluation Plan: Baseline study plan, mid-term evaluation plan, final evaluation plan

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Start-Up Stage Requirements

Requirement 5: M&E Plan

Submit comprehensive M&E Plan to FFP 60 days after M&E workshop.

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Start-Up Stage Requirements **Requirement 6: Baseline Study**

USAID Evaluation Policy issued in January 2011:

- Aims to help USAID learn more systematically from its work and increases accountability
- Calls for “large” and “pilot/innovative” projects (of any size) to undergo external evaluations
- Large projects designed based on a proven Theory of Change should undergo performance evaluations, whereas “pilot/innovative” projects should undergo impact evaluations (the latter only if feasible)

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Start-Up Stage Requirements **Requirement 6: Baseline Study**

USAID Evaluation Policy issued in January 2011 (continued):

- Most FFP evaluations will be external (i.e., third-party contractor or grantee managed by USAID, not by the implementing partners)
- Decision on whether impact or performance evaluation at discretion of operating unit (FFP)
- Most FFP food security projects will likely undergo performance evaluations (not impact evaluations) for the time being

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Start-Up Stage Requirements **Requirement 6: Baseline Study**

Third-party survey firm (not PVO) to conduct baseline study

- Quantitative study must use population-based household survey (simple pre-post designs required only)
- Baseline survey must be comparable to the final evaluation survey
- Data collected for impact and some outcome indicators from IPTT; includes FFP gender indicators

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Start-Up Stage Requirements **Requirement 6: Baseline Study**

Third-party survey firm (not PVO) to conduct baseline study

- Completed within first year of implementation as early as possible (and ideally during the “lean season”)
- Baseline report will provide results by PVO and for the overall FFP program implementation areas
- Datasets also required to be submitted to comply with USG Open Data requirements

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Start-Up Stage Requirements **Requirement 6: Baseline Study**

Third-party survey firm (not PVO) to conduct baseline study

- Projects can start implementation before data collection for the baseline is complete!

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Start-Up Stage Requirements **Requirement 6: Baseline Planning Workshop**

PVOs should attend the Baseline Planning workshop

- **Bangladesh: January 25–28, 2016**
- **Mali: TBD**

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Start-Up Stage Requirements

Requirement 6: Baseline Planning Workshop

Baseline contractor will collect information to:

- Operationalize sample design
- Adapt questionnaire to country-specific context
- Clarify design and content of the qualitative study
- Gather information on ground realities to inform logistical aspects of the field work

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Annual Requirements

Annual Requirements

Start-Up Stage Requirements

Annual Requirements

Midway Requirements

Project-End Requirements

Food for Peace Monitoring, Evaluation, and Reporting Requirements

Annual Requirements **Requirement 7: Annual Results Report**

Submit annual results report (ARR)—retrospective reporting relative to US fiscal year (Oct .1–Sept. 30)—by the first Monday in November.

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graph LR; A[Annual Results Report] --- B[ARR Narrative]; A --- C[Attachments to FPMIS]; A --- D[FFPMIS Data Entry]
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Food for Peace Monitoring, Evaluation, and Reporting Requirements

Annual Requirements **Annual Results Report (continued)**

1. ARR Narrative containing (max. 20 pp.):

- Annual Food Assistance Project Activities and Results
- Lessons Learned

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Annual Requirements

Annual Results Report (continued)

2. Attachments to FFPMIS:

- Success Stories
- IPTT
- IPTT Data Source Descriptions
- Detailed Implementation Plan (DIP)
- Technical Sectors Tracking Table
- Program Design and Performance Reports
- Supplemental Materials

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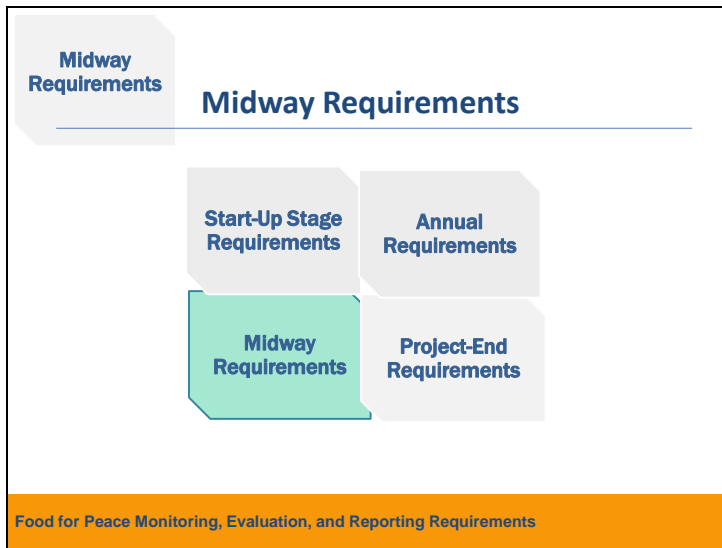
Annual Requirements

Annual Results Report (continued)

3. FFPMIS Data Entry:

- Project Participant and Resource Tracking Tables
- Monetization and Cost Recovery Tables
- Standardized Annual Performance Questionnaire (SAPQ)

Food for Peace Monitoring, Evaluation, and Reporting Requirements



Midway Requirements

Requirement 8 (PVO): Mid-Term Evaluation

Reasons for conducting MTE:

- Explore how well project follows implementation plans/meets targets
- Acceptability of methods to beneficiaries
- Signs of change associated with project interventions
- Ground-truth ToC

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Midway Requirements Requirement 8 (PVO): Mid-Term Evaluation

Methodology:

- Participatory, qualitative assessments are encouraged
- Process evaluation
- Large-scale surveys are discouraged (e.g. population-based surveys such as baseline/final evaluation)
- Not required to include quantitative component, but project data and secondary data analysis and small-scale surveys are encouraged

Food for Peace Monitoring, Evaluation, and Reporting Requirements

Midway Requirements Requirement 8 (PVO): Mid-term Evaluation

Staffing:

- Team leader must be external
- MTE team should comprise expertise in all technical sectors and cross-cutting issues addressed by project
- No MTE team members should have previous responsibility in design/implementation of project under evaluation

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Midway Requirements

Mid-Term Evaluation (continued)

Process:

- Obtain approval for timing within 15 months of award
- Draft SOW for approval within 18 months of award
- Final report submitted within 36 months of award
- Final report uploaded to FPMIS and DEC/datasets submitted to AOR within 30 days of final report approval
- Follow-up action plan submitted for AOR/USAID Mission approval within 45 days of FFP approval of final report

Food for Peace Monitoring, Evaluation, and Reporting Requirements

Project-End Requirements

Project-End Requirements

Start Up Stage Requirements

Annual Requirements

Midway Requirements

Project-End Requirements

Food for Peace Monitoring, Evaluation, and Reporting Requirements

Project-End Requirements

Requirement 9: Final Evaluation Study

- FFP advises whether evaluation will be managed by FFP or the Awardee.
- Quantitative study must use population-based household survey (simple pre-post designs required only). Can contain qualitative element.
- Final evaluation survey must be comparable to the baseline survey:
 - Same impact and outcome indicators and questionnaires
 - Same time of year (even if baseline not conducted during lean season)
- Most will be performance evaluations with pre-post designs.

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Resources

Resources

FFP Request for Applications <http://www.usaid.gov/what-we-do/agriculture-and-food-security/food-assistance/programs/development-programs>

FFP ARR Guidance <http://www.usaid.gov/what-we-do/agriculture-and-food-security/food-assistance/guidance/implementation-and-reporting>

USAID Evaluation Policy <http://www.usaid.gov/evaluation/>

FFPMIS <http://www.fsnnetwork.org/food-peace-management-information-system-ffpmis-resources>

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Food for Peace Monitoring, Evaluation, and Reporting Requirements

Summary of FFP M&E Requirements–Schedule of Deliverables and Timelines

STARTUP STAGE

PVOs:

- Revised Theory of Change and Logframe and draft IPTT: due to FFP 30 days after end of FFP M&E Workshop.
- M&E Plan and Detailed Implementation Plan: due to FFP 60 days after end of FFP M&E Workshop.
- Performance Indicator Reference Sheets (PIRS) for custom baseline/final evaluation indicators submitted to external contractor before baseline study workshop.
- Baseline Study: PVOs to enter baseline values and final evaluation targets into IPTT and FFPMIS with Annual Results Report (ARR) for the year in which the baseline survey is completed. PVOs to upload baseline study report to FFPMIS with the ARR for the year in which it is approved.

External Contractor:

- Conduct baseline study – in first year of program implementation, ideally during lean season.

ANNUAL

PVOs:

- Annual Results Report (ARR)
 - Due 12:00 p.m. Eastern Standard Time on the 1st Monday in November.
 - Reported in relation to fiscal year just ended (retrospective).
 - Includes (all reported relative to US fiscal year – Oct 1-Sept 30):
 - ARR Narrative containing:
 - Annual Food Assistance Project Activities and Results
 - Lessons Learned
 - Attachments to FFPMIS:
 - Success Stories
 - Indicator Performance Tracking Table (IPTT)

- IPTT Data Source Descriptions
- Detailed Implementation Plan (DIP)
- Technical Sectors Tracking Table
- Program Design and Performance Reports
- Supplemental Materials
- FFPMIS Data Entry:
 - Project Participant and Resource Tracking Tables
 - Monetization and Cost Recovery Tables
 - Standardized Annual Performance Questionnaire (SAPQ)
- Pipeline and Resource Estimate Proposal (PREP)
 - Due date negotiated with AOR
 - Reported in relation to upcoming fiscal year – Oct 1–Sept 30 (prospective)
 - Includes DIP, any modifications to M&E system (reported in relation to US fiscal year), number of direct beneficiaries targeted

MIDWAY

PVOs:

- Midterm evaluation – internally managed and conducted:
 - Obtain approval for timing within 15 months of award
 - Draft SOW for approval within 18 months of award
 - Final report submitted within 36 months of award
 - Final report uploaded to FFPMIS and DEC/data sets submitted to AOR within 30 days of final report approval
 - Follow-up action plan submitted for AOR/USAID Mission approval within 45 days of FFP approval of final report

PROGRAM END

External Contractor or PVO (TBD):

- Conduct final evaluation study – as close as possible to end of award, final evaluation survey in same month as baseline survey, ideally during lean season, using same questionnaires and indicators as at baseline.
- Note: If PVO-managed:
 - PVO to submit draft SOW for approval at least one year before planned start of final evaluation.
 - PVO to upload final report and related documents to DEC and submit datasets to AOR within 30 days of final report approval.