



SUBAWARD RESOURCES & GUIDANCE

ADVANCING PARTNERS & COMMUNITIES

SUBAWARDEE GUIDANCE FOR THE
PERFORMANCE MONITORING PLAN



Advancing Partners & Communities

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ACRONYMS

APC	Advancing Partners & Communities
ER	expected results
FP	family planning
IR	intermediate results
JSI	JSI Research & Training Institute, Inc.
M&E	monitoring and evaluation
PMP	Performance Monitoring Plan
USAID	U.S. Agency for International Development

GUIDANCE FOR THE PERFORMANCE MONITORING PLAN

INTRODUCTION

This document provides USAID award recipients with information to aid in the development of their respective Performance Monitoring Plans (PMP). A PMP is to be developed on an annual basis, throughout the life of the project, and is used to guide the collection of data for monitoring and evaluation (M&E). It is a road map for monitoring and evaluating program performance and provides detailed, time-bound information that explains when and how project data will be collected and analyzed. The PMP also includes baseline values (when applicable), key output and outcome indicators, the precise definition of those indicators, data sources, and targets to link performance indicators to the achievement of the subawardee's objectives. The timely development of a PMP will ensure the efficient generation, storage, and use of project data to inform the implementation of the subawardee's project objectives.

In summation, the specific purposes of a PMP are to:

- Provide timely information for monitoring progress around project design, implementation, supervision and management
- Report results of implemented activities/interventions as a form of accountability to USAID, and meet the required project reporting standards
- Use data to advocate for support and expansion of effective approaches uncovered in the course of the project implementation
- Continuously monitor and assess progress and generate lessons learned for improving implementation and design of strategies and approaches.

REQUIRED PMP SECTIONS

The PMP template can be found in Annex I. Each Plan should include the following sections:

1. Title Page
2. Project Overview
3. Intermediate/Expected Results (IR/ER)
4. PMP Table

Title Page

The title page serves as the cover page for the PMP. Information on the title page should include the organization and project name, the PMP's date of submission, the awardee's agreement start and end dates, and the contact information of the person to contact in case any questions arise.

Project Overview

The Project Overview is a brief synopsis of the project activities that also includes the organization's overall objectives and how the project will address the problem at hand. The content of this section is similar to the narrative included in the awardee workplan.

Intermediate/Expected Results (IR/ER)

IR/ER are the results or outcomes to be achieved through the awardee activities. IR/ER are to be further broken down into subgroups, termed sub-IR/sub-ER. Awardees are to refer to their project's original solicitation to determine the appropriate terminology for their specific awards.

PMP Table

The PMP table (Annex 2) is designed to capture quantitative information about activities and will be used to measure project performance and progress.

PMP QUALITY CHECKLIST

The two main components of the PMP are as follows:

- List of Intermediate/Expected Results (IR/ER)
- PMP Table

To assist awardees in the development of these main components, the MEASURE Evaluation Population and Reproductive Health Project (PRH)¹ quality checklist has been adopted. The PMP Quality Checklist is designed to help awardees decide whether or not their PMP includes the basic characteristics of a good M&E plan. It should be used as a discussion tool, led by the awardee's M&E lead, in consultation with program and technical staff. Missing items may signal a need for further review of the awardee's PMP.

PMP Quality Checklist for Subawardees	
1. Is the PMP clear and well-organized?	
2. Does the PMP deal mostly with results and indicators, rather than strategy or operations?	
3. Is there an indicator table, with targets and baseline estimates where relevant?	
4. Is the information on data flow and reporting responsibilities complete?	
5. Are the indicators closely aligned with project activities and objectives, and clearly defined?	
6. Is there enough information in the PMP to judge the quality of the indicators?	

¹ MEASURE Evaluation PRH (<http://www.cpc.unc.edu/measure/prh/performance-management-plan-checklist-developed>)

7. Do the indicators reliably measure what is intended, and is their collection and use feasible?	
8. Is the number of indicators adequate to reflect project results, but also manageable?	
9. Are indicators sufficiently disaggregated to meet project information needs?	

1. Is the PMP clear and well-organized?

Keeping the PMP concise can sometimes be a challenge, but a bigger document is not always better. Ideally, your PMP should not exceed 20 pages, including attached appendices. For many projects, 10 or fewer pages should be sufficient. A clear, easy to follow PMP is more likely to be implemented correctly, and will help ease project management.

2. Does the PMP deal mostly with results and indicators, rather than strategy or operations?

The PMP is designed to describe and outline how results will be measured. While it should be closely aligned with your project’s workplan, a good PMP is centered on the indicators themselves. Readers unfamiliar with a project should be able to readily ascertain from the PMP what indicators and indicator benchmarks will be used for monitoring activities and evaluating success. They should also be able to draw informed conclusions about the advantages and weaknesses of these indicators as measures of project performance.

3. Is there an indicator table, with targets and baseline estimates where relevant?

The indicator table should be organized by result (i.e., intermediate/expected results or IR/ER) and list each indicator along with a short definition. For service delivery projects, baseline estimates and annual or other targets should be displayed across each row in the indicator table for quick reference and comparison. Targets should be reasonable and ideally set at the beginning of the project. (See Annex 2 for the PMP Table Template)

4. Is the information on data flow and reporting responsibilities complete?

The PMP should include basic details about who is responsible for collecting and working with the indicator data, when data collection will take place, and what reporting standards will be used. This information should be presented in a table format. The flow of information should be clearly defined, so that everyone involved understands how and by whom results will be collected, recorded, and submitted for review after each reporting period.

5. Are the indicators closely aligned with project activities and objectives, and clearly defined?

The best indicators reflect outcomes that are central to a project’s work, most of which should be activity-specific. Indicators that are minimally impacted by the changes a project is trying to achieve should be avoided in favor of more sensitive ones. These indicators should be clearly and comprehensively defined (if more space is needed, a more detailed definition of the indicator may be included as an appendix to the PMP).

6. Is there enough information in the PMP to judge the quality of the indicators?

Basic information about the source and data collection methods for the indicator will help demonstrate the quality of the indicators as measures of performance. You should include information that illustrates the representativeness of the source data. An example of this is the inclusion of information on how a

particular indicator will be measured (e.g., using probability sampling), or statement that a measurement is approximate but not precise.

A good PMP will also list indicators free from obvious sources of measurement error, and include acknowledgement of any measurement issues that may be unavoidable or justified. Abiding by the following criteria can help lessen measurement error and enhance data quality:

- validity (data represent the intended result)
- integrity (data are not intentionally manipulated)
- precision (data reflect specific population of interest, with a small margin of error)
- reliability (data are collected and analyzed using consistent methods)
- timeliness (current data are available with adequate frequency)

7. Do the indicators reliably measure what is intended, and is their collection and use feasible?

The feasibility of valid, reliable data collection is a critical component of indicator quality. The indicators listed in the PMP should be meaningful and understood by wide audiences. In order to accomplish this, it is good practice to use established indicators.

Most of you will be able to use common indicators instead of needing to develop your own. Examples of established indicators include the US Government Standard Foreign Assistance Indicators (F-Indicators)² or MEASURE Evaluation indicators³. Commonly used indicators can be found through research and through consultation with the APC M&E Officer. Collecting and using established indicators to monitor program performance translates to less time and effort invested in developing new definitions and calculation procedures.

8. Is the number of indicators adequate to reflect project results, but also manageable?

The number of indicators included in a PMP should be based on your needs and resources. A mix of indicators reflecting reach and coverage as well as the effects of the project is usually ideal. Too few indicators will not provide adequate data to capture project performance broadly across activities. Too many indicators will result in a very high burden of information collection with little added value. Including too many indicators on a PMP can also overwhelm a person's ability to see the "big picture" when examining results.

9. Are indicators sufficiently disaggregated to meet project information needs?

Disaggregation can be defined as the separation of "things" into component parts. It responds to the need to look for differences between subgroups in a population. Person-level indicators in a PMP should be disaggregated by sex, at the very least, for baseline and target estimates. Most indicators should be disaggregated by age, and others by parity, ethnicity, geographic area, or other relevant characteristics. Some facility-level indicators benefit from disaggregation by facility type.

Disaggregation is not the same as defining a population of interest: If source data are intended to represent a particular group, such as women or children, that group should be explicitly defined in the earliest stages of the sampling or data collection strategy, ***not after data collection is over.***

² <http://www.state.gov/documents/organization/213265.xlsx>

³ <http://www.cpc.unc.edu/measure>

The decision on the levels of disaggregation should be based on what is standard in the content area. For example, in family planning programs, age disaggregation is based on reproductive age, and may thus be segmented as follows: 10-14 years; 15-19 years; 20-24 years; 25+ years.

ANNEX I: PERFORMANCE MONITORING PLAN (PMP) TEMPLATE

I. TITLE PAGE

Create a cover page for the PMP including key information such as the organization and project name, the PMP's date of submission, the subawardee's agreement start and end dates, and information for a point of contact.

II. PROJECT OVERVIEW

Provide a narrative description of the project's overall goal and objectives and an outline of the planned activities that will help the organization achieve the stated goal.

III. INTERMEDIATE/EXPECTED RESULTS

Provide a detailed description of the IRs/ERs to be achieved through the subawardee activities. This section should also include applicable subgroups, i.e., sub-IRs/sub-ERs. The sub-IRs/sub-ERs are the specific milestones that lead to the accomplishment of the stated IR/ER. Each sub-IR/sub-ER should also include information about the "target" that subawardees plan to achieve. These targets are generally stated in the form of a count, but may also be stated in other applicable forms such as a percentage.

IV. PMP TABLE

Include a table outlining all IRs/ERs and sub-IRs/sub-ERs (see Annex 2 for a template). The table should capture the quantitative information about activities; this information is used to measure project performance and progress. The table should include the following:

- List of indicators that will be used to measure performance/progress
- How and when the indicator data will be collected
- Who is responsible for collecting and reporting data
- Baseline and target figures for each indicator.

Additional key elements of the PMP table are as follows:

Key Elements of the PMP	
Baseline (if applicable)	Include any baseline figures from analyses conducted at the <i>beginning</i> of the project or other baseline information available.
Data Collection Method(s)	Identify how the data will be collected (e.g., survey, client record review).
Data Source(s)	Identify from whom or where the data will be collected (e.g. clients, patients, community health workers, patient record).
Definition of indicator	A clear definition of the indicator that describes precisely what the indicator is measuring.
Disaggregated By (Type of Disaggregation)	List all the ways the data for the indicator will be broken down when collected and reported (e.g., by age range, by sex, by contraceptive method). If a particular type of disaggregation is not applicable to the indicator being described, the space should be left blank.
Frequency & Schedule	State how often and when data collection will occur (e.g., monthly, quarterly).
Party Responsible	List the person(s) responsible for collecting and reporting the data by name and/or staff position.
Progress (Quarter, Year)	<p>Complete data reflecting what was achieved in the given quarter (i.e., Quarter 1, 2, 3 or 4) and the respective year. The target information entered under the “Progress” column should reflect projected target for the given project year. Data entered should reflect disaggregation unit.</p> <p>Please note that data should be collected monthly. This monthly data will be reported into the database on a quarterly basis.</p>
Target	List the targets for each project year, disaggregating by relevant factors.
Unit of Measure	Insert the unit of analysis that will be used to measure the indicator (e.g., number, percentage).

ANNEX 2: PMP TABLE TEMPLATE

(The following template can be provided in Excel format upon request)

Performance Monitoring Plan									
submitted: (insert date of submission)									
Organization Name:		(insert awardee name)							
Award Number:		(insert award number)							
Project Dates:									
Definition of indicator	Unit of Measure	Disaggregated By	Data Source(s)	Data Collection Method(s)	Frequency & Schedule	Party Responsible	PROGRESS (Q ^X , Year ^X)		
IR/ER 1: describe Intermediate Result / Expected Result							achieved	target	
1.1: insert indicator description.									
1.2: insert indicator description.									
1.3: insert indicator description.									
IR/ER 2: describe Intermediate Result / Expected Result							achieved	target	
2.1: insert indicator description.									
2.2: insert indicator description.									
2.3: insert indicator description.									
IR/ER 3: describe Intermediate Result / Expected Result							achieved	target	
3.1: insert indicator description.									
3.2: insert indicator description.									
3.3: insert indicator description.									
IR/ER 4: describe Intermediate Result / Expected Result							achieved	target	
4.1: insert indicator description.									
4.2: insert indicator description.									
4.3: insert indicator description.									

Performance Monitoring Plan

submitted: (insert date of submission)

Organization Name: (insert awardee name)

Award Number: (insert award number)

Project Dates:

IR/ER 5: describe Intermediate Result / Expected Result							<i>achieved</i>	<i>target</i>
5.1: insert indicator description.								
5.2: insert indicator description.								
5.3: insert indicator description.								
5.4: insert indicator description.								
IR/ER 6: describe Intermediate Result / Expected Result							<i>achieved</i>	<i>target</i>
6.1: insert indicator description.								
6.2: insert indicator description.								
6.3: insert indicator description.								
6.4: insert indicator description.								
IR/ER 7: describe Intermediate Result / Expected Result							<i>achieved</i>	<i>target</i>
7.1: insert indicator description.								
7.2: insert indicator description.								
7.3: insert indicator description.								
7.4: insert indicator description.								
IR/ER 8: describe Intermediate Result / Expected Result							<i>achieved</i>	<i>target</i>
8.1: insert indicator description.								
8.2: insert indicator description.								
8.3: insert indicator description.								
8.4: insert indicator description.								
IR/ER 9: describe Intermediate Result / Expected Result							<i>achieved</i>	<i>target</i>
9.1: insert indicator description.								
9.2: insert indicator description.								
9.3: insert indicator description.								

Performance Monitoring Plan

submitted: (insert date of submission)

Organization Name: (insert awardee name)

Award Number: (insert award number)

Project Dates:

9.4: insert indicator description.								
9.5: insert indicator description.								
IR/ER 10: describe Intermediate Result / Expected Result							<i>achieved</i>	<i>target</i>
10.1: insert indicator description.								
10.2: insert indicator description.								
10.3: insert indicator description.								
10.4: insert indicator description.								
10.5: insert indicator description.								



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