

USAID’s Office of Food for Peace Policy and Guidance for Monitoring, Evaluation, and Reporting for Development Food Assistance Projects

*DRAFT for public comment*

september 2015 **DRAFT**

Table of Contents

[Acronyms 3](#_Toc429994768)

[Background and Purpose 4](#_Toc429994769)

[Chapter 1: Summary of Monitoring and Evaluation (M&E) Processes 5](#_Toc429994770)

[Section 1.1: Purpose of Monitoring and Evaluation 5](#_Toc429994771)

[Section 1.2: Monitoring and Evaluation Requirements and Submission Timeline 5](#_Toc429994772)

[1.2.1: At Application 10](#_Toc429994773)

[1.2.2: Project Start Up 11](#_Toc429994774)

[1.2.3: Annually 12](#_Toc429994775)

[1.2.4: Midterm 12](#_Toc429994776)

[1.2.5: End of Award 13](#_Toc429994777)

[1.2.6: Resources 14](#_Toc429994778)

[Chapter 2: Monitoring and Evaluation Plan 15](#_Toc429994779)

[Section 2.1: Theory of Change 15](#_Toc429994780)

[2.1.1: Overview 15](#_Toc429994781)

[2.1.2: Developing the TOC 18](#_Toc429994782)

[2.1.3: Breadth, Depth, and Level of Detail of TOCs for FFP 22](#_Toc429994783)

[2.1.4: TOC Narrative 22](#_Toc429994784)

[2.1.5: Reviewing TOCs 24](#_Toc429994785)

[2.1.6: Resources 24](#_Toc429994786)

[Section 2.2: Logical Framework 24](#_Toc429994787)

[2.2.1: LogFrame Description and Definitions 24](#_Toc429994788)

[2.2.2: Indicators 27](#_Toc429994789)

[2.2.3: Resources 29](#_Toc429994790)

[Section 2.3: Indicator Performance Tracking Table (IPTT) 30](#_Toc429994791)

[Section 2.4: Performance Indicator Reference Sheets (PIRS) 32](#_Toc429994792)

[2.4.1: Resources 37](#_Toc429994793)

[Chapter 3: Annual Monitoring Strategy 38](#_Toc429994794)

[Section 3.1: Annual Monitoring 38](#_Toc429994795)

[3.1.1: Overview 38](#_Toc429994796)

[3.1.2: Data Collection 38](#_Toc429994797)

[3.1.3: Data Flow 41](#_Toc429994798)

[3.1.4: Monitoring Databases 42](#_Toc429994799)

[3.1.5: Cross-Cutting Technical Areas 43](#_Toc429994800)

[3.1.6: Resources 44](#_Toc429994801)

[Section 3.2: Data Quality Assurance, Management, and Safeguard 48](#_Toc429994802)

[3.2.1: Data Quality Assurance 48](#_Toc429994803)

[3.2.2: Data Quality Assessment (DQA) 49](#_Toc429994804)

[3.2.3: Data Management and Safeguards 50](#_Toc429994805)

[3.2.4: Resources 50](#_Toc429994806)

[Section 3.3: M&E Staffing and Capacity Development 50](#_Toc429994807)

[3.3.1: Overview 50](#_Toc429994808)

[3.3.2: M&E Staffing and Capacity Development Strategy 50](#_Toc429994809)

[Chapter 4: Evaluation Plan 52](#_Toc429994810)

[Section 4.1: Baseline Studies 52](#_Toc429994811)

[4.1.1: Requirements for All Baseline Studies 52](#_Toc429994812)

[4.1.2: Use of Baseline Study Results to Refine Project Strategies 57](#_Toc429994813)

[4.1.3: Resources 57](#_Toc429994814)

[Section 4.2: Midterm Evaluation 58](#_Toc429994815)

[4.2.1: Requirements 58](#_Toc429994816)

[4.2.2: Budget 61](#_Toc429994817)

[4.2.3: Follow-up Action Plan 61](#_Toc429994818)

[4.2.4: Guide to Key Evaluation Questions 63](#_Toc429994819)

[4.2.5: Resources 63](#_Toc429994820)

[Section 4.3: Submission Requirements for Reports and Datasets 64](#_Toc429994821)

[4.3.1: Submitting Monitoring and Evaluation Documents to USAID DEC and FFPMIS 64](#_Toc429994822)

[4.3.2: Requirements for Submitting M&E Datasets to FFP 64](#_Toc429994823)

[4.3.3: Resources 67](#_Toc429994824)

[Section 4.4: Final Evaluation 68](#_Toc429994825)

[ANNEX - 1: Baseline Study SOW i](#_Toc429994826)

[ANNEX - 2: Guidance to Develop Statements of Work for a Midterm Evaluation vii](#_Toc429994827)

[ANNEX - 3: Matrix to Guide MTE Investigation to Key Evaluation Questions xviii](#_Toc429994828)

[ANNEX - 4: IPTT Template xxv](#_Toc429994829)

# Acronyms

ADS USAID Automated Directives System

AOR Agreement Officer’s Representative

ARR Annual Results Report

CBO Community-based Organization

DEC USAID Development Experience Clearinghouse

DQA Data Quality Assessment

EMMP Environmental Mitigation and Monitoring Plan

FFP USAID’s Office of Food for Peace

FFPIB FFP Information Bulletin

FFPMIS Food for Peace Management Information System

FY Fiscal Year

IGA Income-generating Activity

IPTT Indicator Performance Tracking Table

LOA Life of the Award

LogFrame Logical Framework

M&E Monitoring and Evaluation

MTE Midterm Evaluation

PIRS Performance Indicator Reference Sheet

PREP Pipeline and Resources Estimate Proposal

R Required

RiA Required if Applicable

RF Results Framework

SO Strategic Objective

SOW Statement of Work

TOC Theory of Change

USAID U.S. Agency for International Development

USG U.S. Government

# Background and Purpose

The U.S. Agency for International Development’s (USAID) Office of Food for Peace (FFP) funds development projects with an objective to improve and sustain food and nutrition security of vulnerable populations with a continued focus on the most food insecure, and a renewed emphasis on the nutrition security. USAID applies the best available evidence to document project effectiveness and improve program design and implementation. FFP has an obligation to the federal government and the American people to ensure that resources are efficiently used to achieve the best possible food security outcomes and that, in the process, food assistance actors learn from experience how to improve programming and implementation. The *FFP Policy and Guidance for Monitoring, Evaluation, and Reporting for Development Food Assistance Projects* describes key monitoring, evaluation and reporting responsibilities of FFP development (non-emergency) food assistance project Awardees and potential Awardees.This document replaces policy, requirements, and guidance applicable to development projects in the following FFP Information Bulletins (FFPIBs):

* 07-01: USAID and Food for Peace Indicators and Reporting Systems
* 07-02: New Reporting Requirements for Food for Peace
* 09-06: Monitoring and Evaluation Responsibilities of Food for Peace Multi-Year Assistance Programs Awardees
* 09-07: Description of Food for Peace Awardee Reporting Requirements
* 11-02: Submission of Baseline/Final Evaluation Datasets by Food for Peace Awardees
* 11-03: Revision to Food for Peace Standard Indicators to be collected in Baseline Surveys and Final Evaluations

This document does not replace the policy, guidance or requirements for emergency projects that is included in these FFPIBs.

# Chapter 1: Summary of Monitoring and Evaluation (M&E) Processes

## Section 1.1: Purpose of Monitoring and Evaluation

USAID’s Automated Directives System (ADS) 203, *Assessing and Learning,* states that *“*the purpose of strong evaluation and performance monitoring practices is to apply learning gained from evidence and analysis.” USAID relies on the evidence collected through monitoring and evaluations to document and assess project processes and outcomes, learn, and make decisions.

**Monitoring** is routine collection and analysis of information throughout the life of the award (LOA) to verify that protocols are respected, implementation and outputs are on schedule, and evolving changes are consistent with the underlying Theory of Change (TOC).

**Evaluations** collect and analyze information about the characteristics and outcomes of interventions at key moments in the LOA as a basis for judging performance and/or to inform decisions about current or future interventions. Evaluations provide opportunities to review both planned and unplanned results and to re-examine the project design. For FFP projects, midterm evaluations (MTE) conducted approximately mid-way through the LOA gather evidence on the effectiveness, efficiency, and acceptability of project implementation to the beneficiaries, FFP, and the implementing partner. Results are used to identify adjustments to implementation that would improve outcomes during the project’s remaining years. Final evaluations collect data on project outcomes to measure performance against baseline values, analyze successes and challenges of the project, and achievements and inform future FFP and partner programming and learning.

## Section 1.2: Monitoring and Evaluation Requirements and Submission Timeline

This section summarizes the key M&E responsibilities of prospective and current FFP development food assistance project partners from application through program expiration. Table 1 summarizes the requirements at each milestone throughout that time period. Questions about these core requirements should be directed to the award’s Agreement Officer’s Representative (AOR).

In addition to requirements outlined in the current document, FFP award documents may include award-specific monitoring, evaluation, and reporting requirements. Awardees should thoroughly review their award documents and coordinate with the AOR and relevant USAID Missions to ensure that they fulfill all reporting requirements.

Table 1: Requirements for Submission and Revision of M&E Plan through the Award Cycle

| **Component** | **Application** | **Post-Award** | **Annually** | **Mid-term** | **End of Award** |
| --- | --- | --- | --- | --- | --- |
| **Theory of Change (TOC)** | * Diagrams including Goal, Purposes, Sub-purposes, all outputs, and key Intermediate Outcomes to make pathways understandable
* Narrative to clarify Rationales, Assumptions and associated risks
 | Refined until approved, beginning at M&E workshop  | Review, revise and submit for approval with Pipeline and Resources Estimate Proposal (PREP) or any other time the need is recognized | * MTE tests the early outcomes of the TOC
* Revised based on MTE findings
 | Final evaluation tests the TOC |
| **Logical Framework (LogFrame)** | * Must correspond with TOC and include indicators for all outputs and outcomes, including all applicable FFP indicators
* Must include final evaluation targets for baseline/final evaluation indicators for Purposes and Sub-purposes
 | Refined until approved, beginning at M&E workshop |  |
| **Indicator Performance Tracking Table (IPTT)** |  | * Submitted with Performance Indicator Reference Sheet (PIRS) for all indicators
* Must have baseline value and final evaluation target for all baseline/final evaluation indicators and required disaggregates
* Must have base value, a target for every fiscal year, and a LOA target for every annual monitoring indicator and required disaggregates
 | * Actual values added for reporting year and submitted with every ARR
* Possible modification to current and future years’ LOA and final evaluation targets with every ARR
* Possible modification to indicators or mode of collection and targets for future years’ LOA, and final evaluation targets with every PREP
 |  | Final evaluation and LOA actual values added |
| **Performance Indicator Reference Sheets (PIRS)** |  | * Submitted for custom baseline/final evaluation indicators two weeks before the baseline planning workshop
* Submitted for all indicators on the IPTT
 |  |
| **Annual Monitoring Strategy**  | * General description of planned data collection activities, methods of data capture, transmission, storage, management and safeguarding, including description and use of monitoring databases
* Identification of software and hardware requirements
 | Refined and expanded until approved, beginning at M&E workshops, including detailed: * Data collection methods and instruments
* Data flow from data collection to report and data quality assurance plans for every indicator on the approved IPTT
* Plans for Data Quality Assessments (DQA) during the first year
* Data management and safeguard plans
 | Requests for revisions, with justification, submitted with ARR, PREP or any other time for approval before changes are implemented | M&E processes and uses of data by stakeholders reviewed in MTE |  |
| **M&E Staffing & Capacity Building Strategy** | Personnel, qualifications, numbers of staff, and roles in Annual Monitoring Strategy and other M&E activities | Refined and detailed to correspond to Annual Monitoring Strategy and other M&E activities until approved, beginning at M&E workshops | * Revisions and justification submitted for approval annually with the PREP, including revisions to targets for the coming years
* Detail for capacity building for the coming year submitted for AOR approval with PREP
* Achievements of capacity building during the past year described in ARR
 | Adequacy and capacities of staff reviewed in the MTE |  |
| **Baseline study** | Basic description of baseline study plans including the anticipated timing | * FFP advises whether study will be managed by FFP or the Awardee
* Contribution to and participation in baseline planning workshop, including identification of additional indicators to be collected in the baseline and endline surveys and finalization of PIRS for custom baseline/final evaluation indicators
* When Awardee-managed:
* Contract third-party firm
* Final report and related documents uploaded to the USAID Development Experience Clearinghouse (DEC) and data sets submitted to AOR within 30 days of approval of the final report
 | * Baseline values and final evaluation targets entered into IPTT and FFPMIS with Annual Results Report (ARR) for the year in which the baseline survey is completed
* Upload baseline study report to FFPMIS with the ARR for the year in which it is approved
 |  |
| **Mid-term evaluation (MTE)**  | Basic description of MTE plans, with proposed timing |  | * Obtain approval for timing of MTE within 15 months of award
* Draft Statement of Work (SOW) submitted for approval within 18 months of award
* Upload final MTE report to FFPMIS with the ARR for the year in which it is approved
 | * Contract team to complete the MTE
* Final report submitted within 36 months of award
* Final MTE report uploaded to FFPMIS and DEC and data sets submitted to the AOR within 30 days of approval of the final report
 |  |
| **Final evaluation** | Basic description of final evaluation plans, including timing | * FFP advises whether evaluation will be managed by FFP or the Awardee
* When Awardee-managed:
* Contract third-party firm
* Final report and related documents uploaded to DEC and data sets submitted to AOR within 30 days of approval of the final report
 | * Final evaluation targets for baseline/final evaluation indicators based on baseline survey results entered into IPTT and FFPMIS as part of ARR for the year in which baseline survey is completed
* Final evaluation values entered into IPTT and FFPMIS as part of ARR for the year in which endline survey is completed
* Upload final evaluation report to FFPMIS with the ARR for the year in which it is approved
 | If Awardee-managed: Draft SOW submitted for approval at least one year before planned start of final evaluation | If Awardee-managed: Final report and related documents uploaded to DEC and data sets submitted to AOR within 30 days of approval of the final report |

### 1.2.1: At Application

FFP requires an abridged M&E Plan as part of every application. This plan should include a TOC; a Logical Framework (LogFrame); basics of the applicant’s planned M&E strategy including a broad description of the annual monitoring processes; details of M&E staffing; a basic strategy for identifying and addressing M&E staff capacity building needs; and a complete, itemized budget for M&E.

The TOC should include a set of diagrams that displays incremental steps from intervention to Goal, including the Goal, Purposes, Sub-purposes, and key outputs. Additionally, it must include sufficient Intermediate Outcomes to ensure that those unfamiliar with the project design can understand the pathways to predicted results. ([See Section 2.1 for more information and definitions of the TOC components](#TOC).)

The LogFrame should display indicators for project outputs and outcomes, including all applicable FFP indicators. Targets must be set for Purpose and Sub-Purpose level indicators measured during the baseline study and final evaluation. Since the baseline values are not available at the application stage, the final evaluation targets should be presented as percentage change ([See Section 2.2 for more about LogFrames](#LogFrame).)

The application should include a general description of strategies for collecting, transferring, managing, storing and safeguarding project M&E data; the numbers, qualifications, and roles of M&E staff (see Sections [3.1.2](#Datacollection), [3.2.1](#DATAQLTY), [3.3.2](#Staff)); and the timing for the baseline study and midterm and final evaluations.

The application’s budget should include two sections that itemize the costs of M&E. One section should detail the costs of the evaluations (baseline, midterm, and final),[[1]](#footnote-1) and the second section should detail monitoring costs (staff, logistics, supplies, and capacity building).

Illustrative ranges anticipated by FFP for evaluation costs are:

Baseline study: $250,000-300,000

Midterm evaluation: $150,000-300,000

Final evaluation: $350,000-400,000

FFP expects that applicants will budget three to five percent of the total project budget for program monitoring. The total project budget comprises the sum of all funds that will be applied to any part of the proposed project, i.e., funds from Title II (for food commodities, ITSH and 202(e)), Community Development Funds (CDF), USAID Missions, the Awardee, and other USAID and non-USAID sources.

### 1.2.2: Project Start Up

##### Complete M&E Plan

Post-award, , after the M&E plan workshop, Awardees must submit a complete M&E Plan with all of the content described in Chapter 2, 3 and 4, to the AOR. Post-award, Awardees are required to attend FFP M&E workshop(s), which will further clarify FFP’s requirements for the M&E Plans and may include technical assistance to support the Awardees’ development of the plans. The timing, duration and appropriate staff for these workshops will be communicated during the award negotiation process. The schedule for submission of the complete M&E Plan will be communicated to the Awardees during the M&E workshops.

##### Baseline Study

A baseline study is required for all FFP development projects. The purposes of the study are to collect baseline values for specific outcome and impact indicators that will be compared to values collected during the final evaluation, and to provide information to the Awardee about the project’s target population to strengthen the design and targeting of interventions.

The baseline study must:

* Include a quantitative baseline survey of households in the project area, using a probability sample at the population-level, and be designed to produce values that will be compared to results from a similar endline survey in order to measure change
* Complete data collection within the first year of project implementation, ideally during the lean season
* Be externally led. At the time of award, FFP will select one of the following options for the baseline survey:
* FFP contracts and manages a qualified third-party firm to implement the baseline study
* The Awardee contracts and manages a qualified third-party firm to implement the baseline study with limited Awardee involvement. In this case, the Awardee develops a Statement of Work (SOW) in collaboration with FFP and the relevant USAID Mission. Note that both the SOW and baseline study team members must be approved by FFP prior to contracting
* Include a three- to four-day baseline planning workshop. This workshop will be organized by the third-party firm to finalize survey and instrument designs, and discuss field logistics with participation of key members of the Awardee’s staff and FFP.

Whether managed by FFP or the Awardee, Awardees must submit baseline values and final evaluation targets based on the baseline values for each baseline/final evaluation indicator to the Food for Peace Management Information System (FFPMIS) as part of the Annual Results Report (ARR) at the end of the fiscal year (FY) in which the baseline survey was completed. For an Awardee-managed baseline study, the Awardee must also submit the final report and related documents to the USAID Development Experience Clearinghouse (DEC) and related data sets to the AOR within 30 days of approval of the final report.

Section 3.1 provides more detailed guidance about the baseline study.

### 1.2.3: Annually

Each year, the Awardee must submit a prospective Pipeline and Resources Estimate Proposal (PREP) that details the project plan for the upcoming fiscal year. PREP submission date is determined in consultation with the AOR.

At the beginning of the new fiscal year, the Awardee must submit an ARR that discusses and analyzes the project’s successes and challenges during the prior fiscal year. It is important to note that that FFP sets the ARR due date to facilitate its Congressional reporting requirements. In contrast to the PREP process, during which the Awardee simply uploads the requisite PREP materials into FFPMIS, the ARR process requires that the awardee both upload documents to FFPMIS, as well as *enter data directly* into FFPMIS. FFP posts annual guidance on the content and submission schedule for ARRs under [Implementation and Reporting](http://www.usaid.gov/what-we-do/agriculture-and-food-security/food-assistance/guidance/implementation-and-reporting) on FFP’s webpage.

ARR submission provides Awardees an opportunity to request changes to outyear targets for both annual monitoring and final evaluation indicators. Once approved, targets cannot be changed again until the following year; they serve as points of comparison to the year’s actual achievements.

All other changes to the M&E Plan may be requested with the submission of a PREP or any other time during the year. Once approved, the new M&E Plan becomes the official M&E Plan for the remaining LOA, or until another change is approved.

### 1.2.4: Midterm

##### Midterm Evaluation (MTE)

FFP requires an Awardee to manage an externally-led MTE for awards of more than four years. To maximize learning opportunities, in countries with multiple awards from the same solicitation, FFP strongly encourages Awardees to conduct joint MTEs.

The MTEs are process evaluations focused primarily on implementation methods and outputs. They should explore how well the project is following implementation plans and meeting targets, the acceptability of the methods employed to the beneficiary population, and signs of changes that beneficiaries associate with project interventions.

The MTE must take place approximately mid-way through the LOA. Because the MTE focuses on implementation, the seasonal timing for in-country data collection should correspond to a period when most interventions are active; the timing does not need to correspond with that of the baseline study and final evaluation. The Awardee, after consultation with and the approval of the AOR and the USAID Mission, must establish the timing of MTE data collection within fifteen months of the award.

Awardees must obtain AOR approval on the following MTE deliverables:

* Final SOW (the first draft should be submitted to the AOR within fifteen months of the award);
* Team leader and technical sector experts (these should be identified and submitted to the AOR no later than six months prior to data collection);
* Final MTE design before primary data collection begins
* Final report within 36 months of award

Within 30 days of final report approval, the Awardee must submit the report and related documents to the USAID DEC and related data sets to the AOR. The Awardee must also upload the final report to FFPMIS with the ARR for the fiscal year in which the report is approved.

To ensure the application of MTE results, the Awardee, in collaboration with the FFP Officer, must develop a plan of action to apply the MTE recommendations. The plan should be submitted for AOR and USAID Mission approval within 45 days of FFP approval of the final MTE report.

Section 2.9 provides more guidance related to MTEs.

### 1.2.5: End of Award

##### Final Evaluation

Final evaluations are required for all FFP development projects to assess performance against stated objectives and approved targets. The final evaluation study must be a performance evaluation that:

* Includes a quantitative, population-based, household survey comparable in design to that of the baseline survey in order to permit the comparison of values across time;
* Includes a qualitative study;
* Completes data collection approximately one year before the project ends, during the same time of year as the baseline in order to facilitate the comparison of the surveys’ results;
* Is externally led. The AOR will inform each Awardee approximately two years before the end of the award which of the following two scenarios will apply:
* FFP contracts and manages a qualified third-party firm to implement the final evaluation, or

The Awardee contracts and manages a qualified third-party firm to implement the final evaluation, with limited Awardee involvement. In this case, the Awardee develops a SOW in collaboration with FFP and the relevant USAID Mission. The SOW must then be approved by the AOR.

For evaluations managed by the Awardee, the Awardee must obtain AOR approval on the following final evaluation deliverables:

* Final SOW (the first draft must be submitted to the AOR for review 12 months before data collection begins. The AOR will provide approval of the final SOW approximately nine to 12 months prior to data collection.)
* Team leader and technical sector experts (these should be identified and submitted to the AOR no later than six months prior to data collection)
* Final Evaluation design
* Final report

Regardless of whether the final evaluation is managed by FFP or the Awardee, Awardees must record in FFPMIS final evaluation indicator values as part of the ARR data entry for the fiscal year during which the endline survey was completed. The Awardee should include the approved report in its ARR submission. In addition, for Awardee-managed final evaluations, the Awardee must submit the final report and related documents to the USAID DEC and related data sets to the AOR within 30 days of approval of the final report.

### 1.2.6: Resources

* FFP’s [Implementation and Reporting](http://www.usaid.gov/what-we-do/agriculture-and-food-security/food-assistance/guidance/implementation-and-reporting) webpage provides links to a variety of resources to assist with implementing and reporting on food assistance programs.

# Chapter 2: Monitoring and Evaluation Plan

The M&E Plan required by FFP includes:

* TOC: A set of diagrams with a complementary narrative
* LogFrame
* IPTT
* Performance Indicator Reference Sheet (PIRS) for each indicator in the IPTT
* Annual Monitoring Strategy describing procedures for:
* Data collection
* Data processing and flow from the point of collection to report
* Data quality assurance
* Data management and safeguarding
* M&E staffing and capacity building strategy
* Baseline study
* Midterm evaluation
* Final evaluation

For convenience, the annual monitoring strategy and evaluation plan are presented in separate chapters. The following sections provide guidance and outline requirements for ToC, LogFrame, IPTT and PIRS. Guidance on annual monitoring is presented in Chapter 3 while guidance on evaluations is presented in Chapter 4.

## Section 2.1: Theory of Change

### 2.1.1: Overview

Every FFP award application must include a set of TOC diagrams that illustrate pathways of change on how intervention outputs contribute to a series of outcomes that ultimately enable the project’s Goal. Complementary narrative is used to further explain and add to the plausibility of the pathways depicted in the diagrams. The TOC must show conditions that are not addressed by the project’s interventions and are outside the control of the project, but that are necessary for hypothesized changes to occur. This includes outputs and outcomes from concurrent interventions that are not part of the project, as well as contextual conditions that must exist in order for the changes to occur.

The TOC is the foundation for the LogFrame and IPTT, and the refinement of TOCs to meet FFP requirements are important parts of the post-award FFP M&E workshops.

The project’s TOC most likely will need to be modified throughout the project. At a minimum, it should be reviewed annually by program staff, and more frequently when there is new evidence or situational changes that affect assumptions or hypothesized pathways of change. A revised TOC may be submitted for approval, with justification for the changes, as part of the annual PREP or at any other time when the need is recognized. When submitting a revision, the Awardee should also describe necessary modifications to project design, implementation, and the M&E Plan resulting from the changes in the TOC.

Box 1: Definitions of TOC Terms

The following terms are immediate products of interventions implemented by a project, including training activities achieved, goods or services provided by the project, learning or advocacy events held, and communications broadcasted.

Pathways: The sequence in which outcomes are expected to occur in order to reach the long-term Goal. Pathways are depicted using connecting chains of pre-conditions and the resulting outcomes using directional arrows.

Pre-conditions: Pre-conditions are the environmental conditions, outputs and outcomes that must exist before a higher-level/later outcome can be achieved for example, outcomes stemming from the application or use of intervention outputs, policy and institutional requirements, and systemic conditions.

Outcomes: Outcomes are changes that are expected to happen when all necessary and sufficient pre-conditions are met. These might include changes in the ecologic, economic or governance environment; people’s knowledge, attitudes or practices; or communities’ or cultural standards or practices. Lower-level outcomes in the TOC are pre-conditions for higher-level outcomes.

Outputs: These are immediate products of interventions implemented by a project, including training activities achieved, goods or services provided by the project, learning or advocacy events held, and communications broadcasted.

Graphic presentation: A set of diagrams that use shapes, text, color, and directional arrows to show the hypothesized pathways of change from intervention outputs, through resulting outcomes, to the long term Goal, plus the critical Rationales and Assumptions underlying the TOC.

Rationales: The underlying logic and evidence that support the plausibility of a connection(s) in a pathway that may not be obvious to all readers. This includes facts or other information to explain why a pre-condition or set of pre-conditions is necessary and sufficient to ensure an outcome. For example, a Rationale might refer to literature that supports a pathway that shows that an infant who is in a mentally stimulating environment grows faster physically than an infant who is not. Evidence can come from multiple quantitative or qualitative sources, including academic, project-specific, or community-based research.

Assumption: The contextual or environmental conditions that are out of the control of the projects but have significant influence over the success of the overall TOC or the success of a large portion of it. For example, a Purpose to increase food production in Bangladesh may assume that during the project life the annual flooding in the project area will not exceed the 10 year flood level. Political stability that allows adequate security for Awardees to access and work in the project area is a common Assumption for the achievement of a TOC overall.

### 2.1.2: Developing the TOC

The process of defining a TOC should start from the project Goal or each Purpose (see definition of Purpose and other terms related to the LogFrame in Section 2.2) and work backward through various pathways of action to describe the series of pre-conditions that must exist before the Purpose can be achieved (see Box 1 for definitions of TOC terms).

Pre-conditions for the highest level outcomes in a TOC are typically not direct outputs of project interventions or existing conditions. Therefore, other pre-conditions are necessary before the pre-conditions to these high level outcomes can be achieved. These earlier pre-conditions, too, must be portrayed in the TOC. The process of identifying pre-conditions should continue backward, step by step, until reaching a project output or an outcome that is outside the control of the project.

To illustrate, a portion of a TOC is portrayed in Figure 1. In this illustration “Households access to nutritious food improved” is a project Purpose. Among the pre-conditions for this Purpose is an outcome: “Household cash income increased.” One way the project expects to increase household income, is by promoting household members’ involvement in new income-generating activities (IGAs). To do so, some interventions will concentrate on training women in IGA skills and other interventions will address aspects of the economic environment that limit the income of individuals with IGA skills.

All FFP projects are designed to influence changes at the population level. This means that the non-participants within the community are also expected to adopt the practices promoted by the project. ToC should show how the project will influence the changes in practices and behaviors among non-participants.

Figure 1: Example of Pre-Conditions/Outcomes in a TOC



In this example, “Household members participate in new income generating activities” is a pre-condition for “Household cash income increased.” It is also an outcome with two identified pre-conditions: “Women trained in IGA skills” and “Economic environment for IGAs improved.” Women’s training is a direct output of the project’s interventions, and so, there are no more-pre-conditions, and this output constitutes the beginning of the pathway. However, the improvement of the economic environment is too complex an outcome to rely on simple project outputs. Therefore, the TOC must continue backward from this outcome to define more levels of pre-conditions before reaching a direct output of a project intervention. In Figure 1 the broad arrows pointing upward toward a Pre-condition/Outcome indicate that more levels of pre-conditions will be added below these points before the TOC is complete.

In the TOC diagrams, FFP recommends the use of colors, numbers, fonts, shading or shapes to identify the different components of the TOC and LogFrame, and to distinguish outcomes and pre-conditions outside the project’s control from those influenced by the project (see Figure 2 as an example.) Every TOC diagram should include a key that explains the significance of the colors, fonts, shading, etc..

Figure 2: Example Showing the Use of Color and Shape to Distinguish TOC and LogFrame Elements



Assumptions and rationales should be inserted in TOC diagrams using a unique shape or color. An assumption might be depicted floating in the background of a diagram to show that it is necessary for all of the pathways depicted in the diagram. Another assumption or a rationale underlying or justifying a pathway between two outcomes should be shown in a shape that points toward the arrow that connects those outcomes. If the text needed to describe an Assumption or Rationale makes the TOC diagram too crowded, a simple identifier (for example, A1, A2, etc.) that refers to a description of the Assumption or Rationale in the TOC narrative or an attached table may be positioned on the diagram to show its relationship to the related outcome, output or pathway.

All pre-conditions, assumptions, and outcomes in the TOC, should be stated as results, not processes. For example, the results of training would be “Caretakers of children aged 6-36 months trained to prepare foods to complement breast feeding,” not “Project trains caretakers of children aged 6-36 months to prepare foods to complement breast feeding.”

Because FFP development projects are multi-sectoral and complex, a project TOC diagram may not fit legibly onto a single page. To keep it reader-friendly while maintaining detail, the TOC may comprise a set of diagrams. For example, it may have a page for each Purpose (or even Sub-purpose). In this case, pathways may cross pages. Figure 3 shows one way that a crossing might be depicted by repeating the outcome that appears on the page with the pathways leading up to it on a second page where the outcome is a pre-condition for a higher level outcome. Likewise, the higher level outcome on the second page could be repeated on the first page. Color, shape or special effects should be used to identify a pre-condition/outcome that also appears on another page.

Figure 3: Showing Pathways that Cross Diagrams in a TOC



FFP requests that, in addition to the set of Purpose or Sub-purpose Level diagrams, the awardee include a single-page, all-inclusive TOC.

Materials and tools to help develop a TOC can be found via the [Center for Theory of Change](http://www.theoryofchange.org/) website[[2]](#footnote-2).

### 2.1.3: Breadth, Depth, and Level of Detail of TOCs for FFP

A broader TOC includes more external influencing factors. The breadth of the TOC submitted with an application should demonstrate a good understanding of the proposed implementation context, and applicants should include the pre-conditions that are most likely to affect the outcomes necessary to the achievement of the project’s Goal, either positively or negatively. For example, when distributing food with the intent to improve child nutritional status in an environment where potable water supplies are unstable, the TOC should depict the necessary pre-conditions related to water supply, water access and health outcomes related to water quality and quantities – even if the project does not include interventions to stabilize the water supply.

Depth refers to how far back the TOC goes from the Goal. FFP requires greater depth for the pathways directly affected by project interventions than for those outside the control of the project. Every project output must be depicted in the TOC, and the pathways must show how every output eventually connects to the Goal. For pre-conditions outside the control of the project, the TOC diagram may stop at the highest level pre-condition, without showing how that pre-condition will be achieved. However, for these pre-conditions outside of the project’s control, the TOC narrative must identify the actors or environmental circumstances that contribute to the pre-condition, identify sources and magnitude of risk that the necessary pre-condition might not exist when needed, and describe the consequences to higher level outcomes if the pre-condition does not exist.

The TOC’s level of detail depends on the magnitude of the step between pre-condition and outcomes in the various pathways of change. The TOC submitted with an application should be at a level of detail sufficient to make clear to a reader who is not familiar with the project how changes are expected to unfold. Awardees are required to submit an updated TOC with the PREP. FFP expects that the TOC will become more detailed throughout the LOA as M&E reveals more about the processes of change.

### 2.1.4: TOC Narrative

The TOC narrative should be used, not to summarize or re-iterate what is already obvious from the TOC diagrams, but to add information that is not easily communicated graphically or expressed in a few words on a diagram. It should also help the external reader to understand the degree of certainty that the pathways portrayed in the diagrams will occur and what conditions could threaten progress along the pathways. The narrative may:

* Add detail about assumptions, for example, by describing trends or stability in conditions and sources of risk to these trends or stability throughout the LOA and highlighting which outcomes are at greater or lesser risk if an assumption fails.
* Provide text with web links or references to literature that presents evidence to support rationales for connections between a pre-condition and an outcome that is not immediately obvious. For example, the narrative might include references to studies that show that a child is more likely to be fed a more nutritious diet if both parents contribute to decisions about his/her feeding instead of just one parent.
* Identify the actors outside the project that are intervening or will intervene to produce outcomes or outputs that are pre-conditions in a TOC pathway, the scale of their intervention relative to the project’s coverage, a sense of the likelihood the pre-conditions will be achieved when necessary for the TOC and the risks to the project if they are not. It may also describe the project’s level of collaboration with the actor and how that collaboration will better ensure the pre-conditions and describe how the necessary outputs and outcomes will be monitored.
* Briefly describe and summarize the roles of key outputs or outcomes, especially if they influence multiple pathways or an especially critical pathway. For example, the narrative could describe how a new type of committee or community system promoted by the project is expected to be instrumental in mobilizing or informing the community in a variety of innovative ways and contribute to multiple outcomes and purposes.

##### Cross-Cutting Technical Areas

Projects approach the integration of gender, environment and community participation in different ways. Every project’s TOC should demonstrate that the project has integrated these cross-cutting concerns, but the way this is accomplished will vary.

Some projects include specific interventions that train or involve individuals or groups to promote related attitudes or practices throughout communities and use specific interventions to build the knowledge or change practices of a specific group of beneficiaries. These beneficiaries include some who also benefit from interventions in other technical sectors. For example, the project may organize community groups who undertake specific activities to promote gender equity in a target group (e.g., counseling for married couples), in the general community (e.g., through mass media), or at sites of interventions related to a variety of sectors (e.g., performing dramas at sites of food distribution and seed fairs). For projects like these, pathways depicting the activities related to the cross-cutting Purpose may be portrayed in the TOC diagram on a page dedicated to that cross-cutting Purpose, and the diagram should show connections to other project Purposes.

Other projects integrate cross-cutting themes in the ways they implement the interventions that contribute more directly to other Purposes and sectors. For example, interventions to promote savings and loans are gender-responsive when their objectives and training consider that men and women have different objectives for saving or borrowing or different barriers to saving. In another example, a project may protect the environment by choosing eco-friendly products to protect food commodities in warehouses, approaches to animal parasite control, or materials used in the construction of community assets. Many improved agricultural practices benefit the natural environment as well as the crops. In these cases, the cross-cutting integration may be better represented in the TOC through the wording of the outcomes and outputs in the diagrams for the other Purposes, for example, by using key words like “gender-responsive,” “equitable,” “with broad community input,” etc.

### 2.1.5: Reviewing TOCs

When reviewing TOCs, the Awardee should consider what contextual factors have changed and what new evidence has come to light, including programmatic findings, since the previous review. Examples of evidence or situational factors that may prompt revision to a TOC include:

* An intervention or lower level outcome failed to influence the next level of outcome, even though all other pre-conditions in the TOC were met. (e.g., Household income increased and knowledge of child nutrition improved, but child feeding practices did not improve.
* An intervention output was applied in an unanticipated way or led to an unanticipated outcome. For example, new boreholes drilled near a village that were intended to provide water for the community’s livestock attracted a nomadic group that forcibly took control of the wells.
* Project monitoring reveals that quality or efficiency of reaching outcomes depends on additional factors not portrayed in the TOC. For example, findings may uncover unanticipated reasons why some beneficiaries are quick to adopt promoted practices, but others are not.
* New research supports previously-unknown causal pathways or refutes previously-accepted pathways portrayed in the TOC. For example, peer-reviewed literature and/or meta-analyses suggest for the first time that a factor prevalent in the project can contribute to stunting.
* Significant changes occur in the political or environmental factors in the local context.

### 2.1.6: Resources

* The Center for [Theory of Change](http://www.theoryofchange.org/) promotes best practices for the development and implementation of a TOC. It particularly emphasizes its application in the areas of international development and sustainability.
* The Annie E. Casey Foundation has a [Practical Tool for Action, Results and Learning](http://www.aecf.org/m/resourcedoc/aecf-theoryofchange-2004.pdf) that helps in the development and application of a TOC.
* A [blog](http://www.ssireview.org/blog/entry/six_theory_of_change_pitfalls_to_avoid) in the [Stanford Social Innovation Review](http://www.ssireview.org/blog/entry/six_theory_of_change_pitfalls_to_avoid) discusses pitfalls to avoid when designing and applying a TOC.
* The Overseas Development Institute offers short planning tools on [problem tree analysis](http://www.odi.org/publications/5258-problem-tree-analysis).
* The Evaluation Toolbox provides a how-to-guide for [problem tree/solution tree analysis](http://evaluationtoolbox.net.au/index.php?option=com_content&view=article&id=28&Itemid=134).

## Section 2.2: Logical Framework

### 2.2.1: LogFrame Description and Definitions

Every application and M&E Plan must include a LogFrame that is consistent with the TOC. A LogFrame uses a standard matrix format to summarize key elements of the TOC in four columns. Figure 4 provides an example of a portion of a LogFrame.

1. **Narrative Summary:** The first column of the LogFrame outlines the TOC outcomes and outputs following the same sequence and hierarchy portrayed in the TOC. The narrative summaries are clear and precise statements that describe the outcomes and match the wording in the TOC. In the LogFrame, the outcomes at the various levels in the TOC are identified according to their position in the hierarchy of the pathways as: Goal, Purpose, Sub-purpose, Intermediate Outcome, or Output (See definitions in Box 2). The sequence of presentation in the LogFrame should begin with the Goal, move to the first Purpose and then to the first Sub-Purpose, its Intermediate Outcomes, and the relevant intervention Outputs for each Intermediate Outcome. Only after the pathways related to the first Sub-Purpose have been described should the LogFrame continue to the next Sub-Purpose. When all of the pathways leading to the first Purpose’s Sub-Purposes have been described, the LogFrame should continue with the second Purpose. (See Figure 4.)
2. **Indicators:** For each outcome and output in the LogFrame, there should be at least one variable that the project will measure to show the current status. There are two broad categories for reporting: *baseline/final evaluation indicators* that measure conditions in the general population in the project area at the beginning and end of the LOA, and *annual* *monitoring indicators* that regularly measure conditions among beneficiaries to report annually throughout the LOA. In an award application, FFP requires applicants to propose final evaluation targets for the population-level Purpose and Sub-purpose indicators. These targets may be presented either as an absolute value or as a percentage change from baseline. Percentage change targets will be replaced with calculated values after the baseline survey is completed. To establish final evaluation targets at the application stage, Awardees may consider the TOC, achievements of similar projects, and existing literature. (See Section 2.2.2 for more about indicators and Section 2.3 for more about targets.)
3. **Data sources:** The data source for an indicator should specify the method and frequency with which the indicator will be measured and the sampling frame for data collection (e.g., baseline/endline survey, routine intervention report, or annual survey of beneficiary communities).
4. **Assumptions:** Factors and conditions outside the project’s influence that are necessary for an outcome/output to be achieved. This includes the assumptions in the TOC plus all pre-conditions that are identified in the TOC as being outside the control of the project.

Figure 4: Example of a LogFrame Matrix

|  |  |  |  |
| --- | --- | --- | --- |
| **Narrative Summary** | **Indicators (with targets)** | **Data Sources** | **Assumptions** |
| **Goal:** Increased food security of vulnerable male and female population in Tangail District by 2020 | Percent of people living on less than $1.25/day | Baseline and final evaluation reports |  |
| **Purpose 1:** Increased access to and household level availability of nutritious food | Depth of Poverty: The mean percent shortfall relative to the $1.25 poverty line (20 percentage point reduction over baseline)Average Household Dietary Diversity Score (30 percent increase over baseline score)….  | Baseline and final evaluation reports | Food insecurity in the country will not exceed IPC level 3Inflation rate remains at the current level (below 7 percent)Other food security investments in the region continue to be successful in achieving objectives…. |
| **Sub pupose 1.1** | …. | …. | …. |

Due to the matrix format, a LogFrame cannot reflect all pathways depicted in the TOC. For example, an Intermediate Outcome’s contribution to more than one Purpose is easily depicted in the TOC using multiple arrows in different pathways. However, in the LogFrame, the same Intermediate Outcome can only be included in a single pathway and should be positioned under the Purpose to which it has the greater contribution or the Purpose to which it is more critical. A LogFrame also cannot reflect the interdependence among outcomes at the same level. For example, it cannot show that a Purpose of “Improved use of high quality maternal and child health and nutrition services” is a pre-condition for another Purpose of “Improved nutritional status of under-5s.” The flexibility of the TOC to show inter-dependencies and multiple pathways is one reason why FFP requires a TOC for each project.

While FFP requires that ALL outputs from project interventions be portrayed in the TOC, not all are required in the LogFrame. Outputs that are limited in number and will be produced in a short period, for example during the first year (e.g., “Market analysis completed,” “30 committees formed,” and “Context-specific behavior change communication messages to promote gender equity developed”) might be excluded from the LogFrame because there is no need for an annual monitoring indicator to follow progress.

Box 2: LogFrame terminology for TOC outcomes and outputs (See Figure 5 for the relationships between the TOC and LogFrame.)

**Goal:** The highest -level outcome to which the project will contribute, but cannot fully accomplish alone during the award period. Other actors must contribute to the Goal, or achievement will take more time than the LOA. The Goal is the ultimate objective of the project and is directly linked to a FFP strategic objective and/or a USAID country Development Objective. An example of a Goal for a FFP project could be “*Food security of communities and households in [name] Province improved by [year].”*

**Purpose:** The key, high-level outcomes(s) that the project expects to accomplish during the LOA. These are the results to which the aggregated outputs and outcomes of the project’s interventions will significantly contribute. They describe desired changes in the condition or status of the population in the target area. An example of a project Purpose could be *“Nutritional status of women of reproductive age and children under 5 years improved.”*

**Sub-purpose:** Outcomes necessary for a Purpose to be achieved. These often include behavioral and systemic changes—for example, adoption of promoted techniques or behaviors; changes in response time, management systems, natural resource conditions, income, or capacities; or shifts in cultural norms. An example of a Sub-purpose could be “*Increased income from farm and off-farm sources.”*

**Intermediate Outcome:** Other outcomes that must occur before the Sub-purposes can happen. These might include changes in knowledge or attitudes, mastery of skills, and adoption of new methods. Examples include *“Increased application of an improved farming practice on own land,”* *“Increased planting or consumption of promoted foods,”* or *“Greater participation in growth monitoring.”*

**Output:** Tangible, immediate products of an intervention under the project’s control or influence. Examples include “*Number of people trained,*” “*Quantity of food rations distributed,*” “*Number of groups formed,*” “*Number of plans completed,*” and “*Number of different types of infrastructure rehabilitated or improved.*”

***Note: FFP does not require inputs in the LogFrame.***

### 2.2.2: Indicators

The project indicators in the LogFrame include:

* All required and applicable FFP indicators
* All Mission required indicators (post-award, only)
* Custom indicators selected by the Awardee
* Contextual indicators

The FFP Indicator List for projects awarded on and after FY 2014 is available at the FFP [Implementation and Reporting webpage](http://www.usaid.gov/what-we-do/agriculture-and-food-security/food-assistance/guidance/implementation-and-reporting).

FFP indicators are classified as “required (R)” or “required if applicable (RiA)”:

**R** indicators are required for all development projects.

**RiA** indicators are required when applicable, based on the project’s interventions.

Criteria for the applicability of an indicator are defined in a column in the FFP Indicator List and in the indicators’ PIRS (see Section 2.4). In addition, Awardees are encouraged to create custom indicators to measure specific aspects of the project’s programming and implementation in these technical areas.

The Frequency of Collection column on the FFP Indicator List specifies whether data collection for the indicator is required at “baseline and final evaluation” or “annually.” Those that are collected at baseline and final evaluation are referred to as baseline/final evaluation indicators, and those collected annually are referred to as annual monitoring indicators.

Projects awarded before FY 2014 may add annual monitoring indicators that were added to the FFP Indicator List after their award, but are not required to do so unless the relevant USAID Mission requests the addition to fulfill a strategic requirement. For these older awards, the indicators collected at baseline should be collected in the endline survey, i.e., new baseline/final indicators do not apply.

FFP development projects awarded in FY 2014 or later must include applicable gender indicators from the current FFP indicators list in the project IPTT and report on these indicators through the FFPMIS as part of the ARR.

FFP Indicator Handbook Parts I and II include the PIRS for all FFP gender indicators, including questionnaires and tabulation instructions*.* The [FFP Implementation and Reporting webpage](http://www.usaid.gov/what-we-do/agriculture-and-food-security/food-assistance/guidance/implementation-and-reporting) includes links to the Handbook.

Post-award, the FFP Officer at the relevant USAID Mission will inform the Awardee about required Mission indicators. These indicators are defined or selected by the Mission, and the Mission should provide the Awardee the PIRS that define the indicators. FFP does not expect applicants to include Mission indicators in their applications for an award.

Custom indicators are those selected or defined by the Awardee to measure project outputs or outcomes for which there are no corresponding FFP or Mission indicators, or the available indicators do not capture all essential project outputs or outcomes. FFP indicators are developed to meet FFP and USAID’s reporting requirements; custom indicators are important and should be carefully identified to fill gaps in FFP indicators to enable an Awardee and the MTE team to evaluate the theory of change. Custom indicators might be selected from among other U.S. Government standard indicators, created by the project M&E staff, or selected from indicators defined by others (e.g., United Nations, other donors, or professional organizations).

Contextual indicators measure factors of the project context that are not expected to be influenced by the project, but which can affect project outcomes. (Note: these factors should be among the external pre-conditions in the TOC and assumptions in the LogFrame.) For example, a project may not implement any intervention related to water or sanitation infrastructure. However, access to such infrastructure is necessary to achieve a project Purpose and the FFP development goal of food security. For this reason, FFP may require the project to add indicators related to water and sanitation infrastructure to have information to assess whether there has been any change in access that potentially affected outcome indicators related to the appropriate use of the infrastructure. In this case, actual values must be reported in the IPTT for these contextual indicators, but no targets are required. The Awardee may also define custom contextual indicators for similar reasons.

Figure 5: Relationships between TOC and LogFrame



### 2.2.3: Resources

* FFP’s [Implementation and Reporting](http://www.usaid.gov/what-we-do/agriculture-and-food-security/food-assistance/guidance/implementation-and-reporting) webpage provides links to a variety of resources to assist with the implementation and reporting on food assistance programs.
* A [USAID Technical Note on Logical Framework](http://usaidlearninglab.org/sites/default/files/resource/files/2012_12%20Logical%20Framework%20Technical%20Note_final%20%282%29.pdf) describes the rationale, theory, and essential elements of the LogFrame as it relates to USAID’s Program Cycle.
* The [USAID Program Cycle USAID Learning Guide](http://usaidlearninglab.org/learning-guide/logical-framework) provides basic information and resources related to LogFrames.
* USAID provides guidance in [ADS 205](http://www.usaid.gov/sites/default/files/documents/1870/205.pdf) on Integrating Gender Equality and Female Empowerment in USAID’s Program Cycle.
* The International Labour Organization’s [Integrating Gender Equality in Monitoring and Evaluation of Projects](http://www.ilo.org/wcmsp5/groups/public/---ed_mas/---eval/documents/publication/wcms_165986.pdf) discusses the importance of systematically integrating gender equality and a human rights perspective into monitoring and evaluation processes.
* The World Bank’s [Gender Issues in Monitoring and Evaluation](http://siteresources.worldbank.org/INTGENAGRLIVSOUBOOK/Resources/Module16.pdf) provides ideas for improving the M&E of outcomes and impacts.

## Section 2.3: Indicator Performance Tracking Table (IPTT)

The IPTT is a tool useful to follow project performance and compare against planned progress. Using the FFP IPTT template[[3]](#footnote-3) ([Annex 4](#IPTT)), all project indicators in the LogFrame and required disaggregates are presented in the IPTT’s rows. The targets and actual values for the indicators are presented in the columns.

The template contains separate tables for baseline/final evaluation indicators and annual monitoring indicators. Indicator sequence and titles in both tables must mirror the LogFrame.

In addition to targets and actual values, additional information is required for each indicator, in the designated columns in the template:

* **Source:** Indicate whether the indicator is a FFP (FFP), Mission (M), or custom (C) indicator.
* **Data Collection Method:** Indicate how data will be collected for the indicator. This may include beneficiary records, beneficiary surveys, or other appropriate methods or tools for annual data collection. Note that FFP does not consider Lot Quality Assurance Sampling (LQAS) an acceptable method to collect annual indicator data.
* **Desired Direction of Change (+/-):** Indicate whether the desired direction of change for the indicator values is positive (+) or negative (-). For example, the desired direction of change for diarrhea prevalence is negative (i.e., a successful project will reduce diarrhea prevalence), but the desired direction of change in the percentage of farmers who apply an improved technique is positive (a successful project will promote adoption of the technique among a larger proportion of farmers).
* **Cumulative (C) or Non-Cumulative (NC):** Indicate whether the indicator is cumulative ("C") or non-cumulative ("NC"). An output indicator is cumulative if it measures all outputs that have accumulated from the beginning of the project, or if it measures all beneficiaries from the beginning of the project, etc. Indicators that measure solely a reporting year’s outputs or consider only those who benefited during the reporting year are non-cumulative. An example of a FFP annual monitoring indicator that is cumulative is “Number of people gaining access to an improved drinking water source.” The PIRS explains that the number that should be reported for a given year should include the people who first gained access to a water source during the reporting year in addition to those who first gained access during previous project years and continue to have access during the reporting year.

##### IPTT Submission and Revision

Because the LogFrame includes project indicators, FFP no longer requires an IPTT with award applications. The deadline for submission of the initial IPTT for AOR approval will be specified in the award document or at the M&E Workshop.

Post-award, with every ARR submission, the Awardee must submit an IPTT updated with actual values for the reporting (i.e., just-completed) fiscal year. With each ARR, the Awardee may request changes to targets for the current year (i.e., the year following the reporting year), future years, LOA and final evaluation. However, once a target has been approved for the current fiscal year, it may not be changed. This is the value against which actual achievement will be compared in the next ARR. The Awardee may also request approval for other modifications to the IPTT (e.g., indicators; future year targets; and method of collection) with the annual PREP, or at any other time during the year.

All requests for revisions to the IPTT must include narrative that describes and justifies the proposed changes. The addition, removal or re-definition of an indicator on the IPTT requires changes to other components of the M&E Plan, e.g., the LogFrame, PIRS and Data Flow descriptions. Awardees should prepare a package that clearly identifies and justifies all changes to the M&E Plan in a single, complete request to the AOR.

##### Baseline Values, Base Values, and Targets

For every annual monitoring indicator, the IPTT must include a base value and targets for every fiscal year and the LOA. The IPTT submitted annually with the ARR must include actual values for the reporting fiscal year and, with the final ARR of the project, the actual values for the LOA.

For all baseline/final evaluation indicators, the IPTT must have the baseline value and a final evaluation target. The actual final evaluation value must be entered in the IPTT submitted with the ARR immediately following the completion of the endline survey.

Note that in the FFP IPTT, baseline values and base values are **not** the same because they are measured using different sample frames. Baseline values, collected during the baseline survey for baseline/final evaluation indicators, reflect the situation at a population level, including households and individuals that do not directly benefit from the project. Base values are measured by the Awardee for annual monitoring indicators tracking project beneficiaries. For most output indicators, base values will be zero.

Similarly, final evaluation and LOA targets and actual values are **not** the same. Final evaluation targets and actuals for baseline/final evaluation indicators reflect the desired level of change and actual change achieved in the overall population in the project area, i.e., including both beneficiaries and non-beneficiaries. LOA targets and values for annual monitoring indicators reflect the desired and actual values measured only among the relevant beneficiary groups. The magnitude of change among beneficiaries during the LOA is expected to be greater than the magnitude of change in the population as a whole. Therefore, LOA targets should be more ambitious than final evaluation targets.

Base values are required in all IPTTs, including those that are submitted prior to the completion of the baseline study and registration of beneficiaries. The initial values may be estimated based on available resources about conditions in the project area, for example, from assessments the Awardee made prior to application or from data collected by earlier projects in the same geographic area. The sources of these initial values should be explained in a narrative that accompanies early versions of the IPTT.

As interventions begin and beneficiaries are identified, actual base values, based on data collected from the project beneficiaries, must replace the earlier estimates, and all annual and LOA targets may be adjusted and submitted to FFP for review and approval.

Before the baseline survey results are available, Awardees may enter TBD (to be determined) as baseline values on IPTTs. Once the survey results are available, Awardees must include the actual baseline values, as measured by the survey, and adjusted final evaluation targets (replacing percentage change with indicator values) in all IPTT submissions.

Awardees must also include targets for all required FFP indicators, disaggregated when applicable.

It is important to note that some FFP indicators require targets disaggregated by sex, age, etc. Awardees must disaggregate[[4]](#footnote-4) data for annual or LOA indicators when applicable; PIRS provide instruction on the break-out of data for a particular indicator

* Final evaluation targets for all required disaggregations for the FFP baseline/final evaluation indicators
* Targets for all required disaggregations of FFP annual monitoring indicators for the LOA and all years other than the fiscal year of the award
* Targets for all required disaggregations of FFP annual monitoring indicators for the first fiscal year of the award for projects awarded during the first quarter of the fiscal year

## Section 2.4: Performance Indicator Reference Sheets (PIRS)

A Performance Indicator Reference Sheet (PIRS) defines an indicator and its disaggregation in detail. It describes the methods for sampling and collecting data for the indicator, questions to use in data collection, and the calculations used to derive final values. An Awardee must submit PIRS for all indicators in the project IPTT, including FFP and Mission indicators, according to the schedule specified at the M&E workshop.

FFP and Mission PIRS standardize the meaning and derivation of an indicator within and across projects. Awardees must collect data for FFP and Mission Indicators using the definitions, questions, and instructions provided in the PIRS*.* The FFP Indicators Handbook provides a PIRS for most FFP indicators:

* The [FFP Indicators Handbook Part I: Indicators for Baseline and Final Evaluation Surveys](http://www.usaid.gov/sites/default/files/documents/1866/Part%20I_Baseline%20and%20Final%20Evaluation_04.13.2015.pdf)contains performance indicator reference sheets (PIRS) for all current FFP indicators required for collection in baseline and endline surveys.
* The PIRS for FFP annual monitoring indicators are in the [FFP Indicators Handbook Part II: Annual Monitoring Indicators](http://www.usaid.gov/sites/default/files/documents/1866/Part%20II%20Annual%20Monitoring%20Indicators_04.13.2015.pdf).

For some FFP or Mission indicators, Awardees must add project-specific information to the FFP or Mission PIRS to clarify details. For example, for the indicator, “Gross margin per unit of land, kilogram, or animal of selected product.” The project’s PIRS should identify which product(s) and unit(s) will be reported. Similarly, for the indicator “Number of farmers and others who have applied new technologies or management practices as a result of USG Assistance,” the project PIRS should clarify whether the count is of farmers or others and which technologies and practices are being applied as a result of USG assistance. For these indicators that require clarification, text should be inserted into the FFP or Mission PIRS using a different font or a different color, to clearly separate it from the standard text, and the amended PIRS should be submitted for approval.

PIRS for Mission indicators should be obtained from the FFP officer at the relevant Mission post-award.

Awardees must develop and submit a PIRS for every custom indicator following the FFP template provided below (Figure 6). PIRS for custom baseline/final evaluation indicators must be prepared in time for the baseline planning workshop. PIRS for all custom indicators in the project IPTT must be submitted to the AOR for approval with the initial IPTT.

With every request for a revision to the IPTT that involves adding or modifying a custom indicator, a PIRS reflecting the changes must be submitted to the AOR along with narrative highlighting and justifying the changes.

When an Awardee modifies a FFP or Mission indicator with regard to frequency of collection, sampling frame, or calculation, the resulting indicator is no longer a FFP or Mission indicator. A common way that Awardees have transformed a FFP indicator into a custom indicator is the adoption of a FFP baseline/final evaluation indicator for use as an annual monitoring indicator. Awardees maintain the definition and calculation defined in the PIRS, but because annual monitoring indicators measure only among beneficiaries, the sampling frame for the custom annual monitoring indicator (beneficiaries) is different from the sampling frame for the FFP baseline/final indicator (population).

The modified indicator must be identified as a custom indicator because the values no longer match those that would be produced using the FFP or Mission indicator definition. In such cases, the project must also report on the original required FFP or Mission indicator, if applicable; both the custom and FFP or Mission indicators must be in the IPTT; and a PIRS must be submitted for each.

The different sections required for custom PIRS are:

* **Indicator title.** A brief statement of what the indicator measures.
* **Definition.** A description of what the indicator is, what it represents, and how it is derived. It should unambiguously define key words, variables, or elements used in the definition and clarify:
* All data needed to calculate the indicator
* Questions or observational methods used to gather the raw data
* Sampling frame and timing for data collection.
* **Calculations:** How the data will be processed to derive the indicator values. Identify numerator and denominator for any proportions, ratios or other calculations requiring division.
* **Rationale**: An explanation for why the indicator is included and how it is relevant and useful for assessing or monitoring project performance.
* **Unit and Range.** The unit of measure in which the indicator will be presented (e.g. number, percent, kilometer, acres, coded, etc.) and, as applicable, the range of minimum or maximum indicator values or a list of the possible encoded values with their meanings.
* **Disaggregations:** A list of all the different ways the indicator values will be disaggregated (male/female, youth/adult, urban/rural, region, type of training, etc.), with explanations of why each is useful.

Note on disaggregation of percentages: The categories of disaggregation define the reduced sampling frame, i.e., it reduces both the numerator and denominator to include only those that meet the criterion of disaggregation. For example, the disaggregation of a percentage of those who adopted a technique by sex, would calculate the percentage among female farmers and then among male farmers:

Female: # of female farmers who applied a technique/# of female farmers

*and*

Male: # of male farmers who applied a technique/# of male farmers

* **Type:** Identification of the indicator as an impact, outcome, output, or contextual indicator.
* **Cumulative/Non-cumulative:** Identification of the indicator as cumulative or non-cumulative. Cumulative indicators track total output and outcomes from the beginning of the project, while non-cumulative indicators report on annual data. An output indicator is cumulative if it measures all outputs that have accumulated from the beginning of the project. An outcome indicator is cumulative if it measures among all beneficiaries from the beginning of the project, even those who are no longer beneficiaries. Indicators that measure only the reporting year’s outputs or among those who benefited during the reporting year are non-cumulative. An example of a FFP annual monitoring indicator that is cumulative is “Number of people gaining access to an improved drinking water source.” The PIRS explains that the number that should be reported for a given year should include the people who first gained access to a water source during the reporting year in addition to those who first gained access during previous project years and continue to have access during the reporting year.
* **Direction of Change:** + or - to show the direction of desired change (e.g. negative for stunting, positive for household income).
* **Data Collection Method:** The method and frequency of data collection. For baseline/final evaluation indicators, the method will always be population-based household survey and the frequency is baseline and endline. For annual monitoring indicators, the method and frequency of collection will vary (See Section 2.5).
* **Measurement notes:** Further clarification of:
* Level of collection? For baseline/final evaluation indicators the level of collection is population. For annual monitoring indicators, identify the specific category(ies) of beneficiaries or types of outputs that will be questioned or observed.
* Who collects data for this indicator? Examples include: third-party firm, M&E field monitors, external partners’ staff, community volunteer, or agriculture extension workers.
* How should data be collected? For example, using direct observation during site visits, extracted from monthly intervention reports, by administering a questionnaire to participants of farmer field school sessions, or a household survey in communities in radio broadcast area.
* Frequency of Collection? For example, baseline/endline; annually; or monthly or quarterly, but reported annually.
* **Further Guidance:** References to additional information or guidance for an indicator that has been defined elsewhere. For example, if the project is adopting an internationally-recognized indicator that has not been adopted by FFP, provide links to associated reference documents or publications here.

Figure 6: Custom Indicator PIRS Template

|  |
| --- |
| **INDICATOR: [ENTER INDICATOR # AND TITLE]**  |
| **DEFINITION:** |
| **CALCULATIONS:** |
| **RATIONALE:** |
| **UNIT:**  | **DISAGGREGATE BY:** |
| **TYPE (OUTPUT/OUTCOME/IMPACT):** | **CUMULATIVE/NON-CUMULATIVE:** | **DIRECTION OF CHANGE (+/-):** |
| **DATA COLLECTION METHOD:** |
| **MEASUREMENT NOTES:****LEVEL OF COLLECTION?** **WHO COLLECTS DATA FOR THIS INDICATOR?** **HOW SHOULD THEY BE COLLECTED?** **FREQUENCY OF COLLECTION?**  |
| **FURTHER GUIDANCE:** |

### 2.4.1: Resources

* The [FFP Indicators Handbook Part I: Indicators for Baseline and Final Evaluation Surveys](http://www.usaid.gov/sites/default/files/documents/1866/Part%20I_Baseline%20and%20Final%20Evaluation_04.13.2015.pdf) contains performance indicator reference sheets (PIRS) for all current FFP indicators required for collection in baseline and endline surveys.
* The PIRS for FFP annual monitoring indicators are in the [FFP Indicators Handbook Part II: Annual Monitoring Indicators](http://www.usaid.gov/sites/default/files/documents/1866/Part%20II%20Annual%20Monitoring%20Indicators_04.13.2015.pdf).
* The [Gender Indicators: What, Why and How?](http://www.oecd.org/dac/gender-development/43041409.pdf) brief highlights the use of gender indicators as a way of measuring change.
* Asian Development Bank’s [Tool Kit on Gender Equality Results and Indicators](http://www.oecd.org/derec/adb/tool-kit-gender-equality-results-indicators.pdf) provides information on monitoring and evaluating gender equality results.

# Chapter 3: Annual Monitoring Strategy

## Section 3.1: Annual Monitoring

### 3.1.1: Overview

The Annual Monitoring section should describe the collection and processing of data to get “actual” values for the monitoring indicators in the IPTT that the Awardee submits annually as part of the ARR. For partnership and consortium-managed awards, this section must describe how partners share responsibilities for these processes and identify where responsibility lies for finalizing the values.

Awardees may use a data flow diagram, matrix or other form of summary presentation to show when, where, how and by whom raw data are collected, aggregated, processed and disaggregated to achieve the annual reporting values. (See Figure 7 at the end of this section for two example presentations for the same indicator.) The methods, timing and responsible parties for the various steps may differ for different indicators. Accompanying narrative may provide additional detail. Relevant information in the indicators’ PIRS should be referenced rather than repeated.

Applicants must include a broad overview of the proposed Annual Monitoring activities. M&E plan should address all indicators in the approved LogFrame and all cross-cutting themes (gender, environmental compliance, and community participation) must be submitted post-award, according to the schedule specified in the award document or at the M&E Workshop. Any change to the plan for any indicator must be documented and approved by the AOR before implementation.

### 3.1.2: Data Collection

Annual indicators measure change among direct beneficiaries. Rarely, and only with clear justification and approval of the AOR, should annual results be measured in the general population of the project’s geographic project area instead of the project’s direct beneficiaries. (Note: This eliminates the possibility of relying on general clinic based data that include non-beneficiaries to measure change among direct beneficiaries.)

Direct beneficiaries include all individuals, households, communities, institutions, and groups that receive direct benefit by participating in project interventions. In addition, when an intervention employs a deliberate strategy of training a relatively small number of individuals with the intent that these trainees will deliver similar services or pass knowledge directly to other individuals or organizations (e.g., cascade training), both 1) those who are directly trained by project personnel and 2) the individuals who directly benefit from the services or training delivered by the project-trained individuals or organizations as part of that service delivery or knowledge-transfer plan are considered direct beneficiaries.

In addition, people who receive messages through mass media communications disseminated by a project or who directly benefit from a project output, such as community asset developed or rehabilitated by the project (e.g., infrastructure) are considered direct beneficiaries, even though they may have had no direct contact with any project staff or trainees of the project.

However, spontaneous spillover learning or adoption of improved practices after informal contact with individuals trained by the project or those trained by project trainees, does not count as a deliberate service delivery strategy. Neighbors and other household members who apply new practices based on observation and/or informal interactions with direct beneficiaries should not be counted for annual monitoring indicators. Values for FFP annual monitoring indicators must be based on direct beneficiaries only.

Ideally, annual indicator values should be derived from data collected for all beneficiaries, not a subset. In the case that values are based on a sample of beneficiaries, the sampling methodology must be approved by the project’s AOR after review by the responsible FFP M&E team member. In these cases the sampling frame and selection process must be described in the Annual Monitoring section.

Awardees may propose a mixture of data collection approaches for the various indicators. However, FFP strongly encourages partners to develop processes that capture and report as much data as possible throughout the year so that annual reporting values for most indicators can be derived from these data.

There are three general approaches for collecting data for annual reporting:

**Routine data collection** from all beneficiaries: This typically involves implementing staff members getting information for all beneficiaries of a given type at the intervention sites. Examples of routine data collection are:

* Extension agents or project staff collect information from trainees, participants in farmer field schools, or mothers who attend care groups. Community-based health workers, midwives, or other volunteers collect information directly from beneficiaries when they receive services or extract information from beneficiary health records during home visits or at sites of growth monitoring, food distribution, and health or nutrition education.
* Sectoral supervisors extract information from monthly reports from groups or communities, e.g., information about loans granted and repaid within savings and loan groups or the type of actions taken by community committees.
* Community early warning or disaster risk reduction plans reviewed at regular intervals by project specialists to assess whether they are complete, viable, and on schedule.

**Routine beneficiary surveys**: Another approach is to gather information at regular intervals during the year from a sample of intervention sites or from a subset of beneficiaries sampled probabilistically. To derive the annual figure, all of the data collected through the fiscal year would be analyzed as a whole. This approach is particularly useful for measuring knowledge, attitudes or practices, which generally require more time for questions, and for which questioning of all beneficiaries would be onerous. The sampling strategy must be well defined and rigorously followed to assure that the data collected represent the beneficiary group as a whole and to assure comparability from one year to the next. Examples of data collection using routine beneficiary surveys include:

* Regular visits (e.g., monthly or quarterly) by M&E staff to carefully selected samples of intervention sites to observe and record information about the implementation process or to interview a systematically selected sample of beneficiaries about their experiences or current practices to monitor knowledge, attitude and practice throughout the year.
* Surveys of community members by M&E staff of carefully selected samples of beneficiaries at regular periods (e.g., monthly, quarterly) to determine knowledge or attitudes related to messages broadcast generally in the communities (e.g., through radio, on billboards, or community meetings).

**Annual beneficiary surveys:** The third approach is to collect information for a large number of beneficiaries using surveys that consistently take place at the same time of the year. The survey may take place at intervention sites or in homes. The timing might be near the end of the fiscal year or it could relate to season. For example, annually, shortly after the planting season ends, the M&E team could select a sample of beneficiaries, from whom data collectors would ask a set of questions related to the preparation and planting of specific crops. The data collectors would have a limited time window in which to collect and report information, using a standard questionnaire, and only from the selected beneficiaries.

Most annual monitoring indicators relate to specific groups of beneficiaries based on the type of interventions in which they are involved. FFP discourages the use of large household surveys to collect information from multiple beneficiary groups because of the difficulty in sampling households to assure adequate coverage of every beneficiary group. Many FFP projects include numerous interventions, each of which benefits different individuals, households, and communities. Therefore, when designing an annual survey, a sampling frame must be developed for each set of beneficiaries. Especially if an intervention’s coverage of households in a community is low, it is difficult to find a sufficient number of beneficiaries of that intervention without biasing the selection for other beneficiary groups.

Annual surveys for multiple beneficiary groups are useful when a large proportion of the population benefits from multiple interventions (e.g., they receive messages via radio broadcasts, benefit from a general change in governance systems or infrastructure), and for interventions that take a facilitative approach in multiple sectors, relying of a few members of the community to disseminate messages and promote practices to the general public.

FFP will only approve annual surveys for those indicators for which data collection through routine monitoring is determined as not feasible or unreliable. When the Awardee chooses to conduct a large-scale annual beneficiary-based survey to collect information from numerous beneficiary groups, the AOR must approve the survey SOW prior to implementation of the survey and prior to contracting, if the survey will be done by an external party. The beneficiary-based survey SOW must include:

* Justification for using this type of survey
* The indicators to be measured and the beneficiary groups each represents
* Justification of the sampling, and how many from each beneficiary group will be included
* Methodology
* Awardee and/or External contractor responsibilities
* Awardee staff and/or External contractor qualifications
* Timeline for activities and deliverables.

##### Data Collection Tools

Data collection tools should be standardized, to the extent possible, to ensure consistency of data. Reasons for non-standardized tools, e.g., if different tools are used by sub-partner or at different locations, must be explained in the Annual Monitoring section of the M&E plan.

Awardees must attach examples of all available data collection tools to the M&E Plan and provide the AOR with additional or updated tools as they are available. FFP recognizes that data collection tools may not be fully developed or refined at the time the M&E Plan is first submitted. Nevertheless, draft tools (identified as such) should be included with the initial submission, and revised, final tools should be submitted to replace earlier versions before they are generally used by project staff.

##### Additional Guidance for Data Collection

For the following four agricultural indicators, FFP encourages Awardees to refer to the [Feed the Future Agricultural Indicator Guide](http://agrilinks.org/sites/default/files/resource/files/FTF_Agriculture_Guide_Jan2014.pdf) for data collection guidance:

* Indicator #8 (4.5-16, 17, 18): Gross margin per hectare, animal, or cage of selected product
* Indicator #9 (4.5.2-5): Number of farmers and others who have applied improved technologies or management practices as a result of USG assistance
* Indicator #15 (4.5.2-2): Number of hectares under improved technologies or management practices as a result of USG assistance
* Indicator #16 (4.5.2-23): Value of incremental sales (collected at farm level) attributed to Feed the Future implementation

### 3.1.3: Data Flow

To ensure accurate values, data collection, aggregation, disaggregation, and other data processing of raw data should follow standardized, well-documented procedures. Indicators with similar data flow should be grouped together and the Annual Monitoring section should include data flow diagrams, matrices or other form of visual summary for each group of indicators to show the flow of data from the point of collection, through the various offices or individuals where it is verified, aggregated, disaggregated, entered data into electronic devices, and otherwise processed to derive the values that are finally reported in the IPTT. Accompanying narrative should add details about the nature of processing accomplished at each point and the frequency and timing of movement between points.

The data flow should begin by describing the location, process, timing and actors involved in collection. It should note whether the raw data are recorded on physical media, such as intervention registers, beneficiary logs, or M&E data collection sheets that are maintained at intervention sites or field offices. The flow should continue by describing how these data, in raw or aggregated form, are transferred, digitally or in hard copy, in reports or data sets to a regional or national office, and with what regularity (e.g., monthly, quarterly - preferably, more frequently than annually) for further processing – addressing what, when, where, and who – up to the point of report on the IPTT. The data flow diagram should identify which data are entered and maintained in monitoring data bases and how information from the data bases feed into annual reporting. See Figure 7, below, for two different ways to present the data flow for the same indicator.

If within a consortium, the data flow differs by partner, the presentation of the data flow in the Annual Monitoring section must clearly identify the flow for each partner.

### 3.1.4: Monitoring Databases

FFP strongly recommends that projects create and maintain monitoring databases to capture and track beneficiary (individual, household, community) and intervention level data needed to calculate values for all indicators reported to FFP annually and other indicators useful for project monitoring. Data that is captured in databases is available at all times for analysis by project staff to answer questions about beneficiary participation and differences in beneficiary response and project outputs and outcomes across geographic locations. Data entered regularly into monitoring data bases are useful for identifying trends during the year. For example, a database that records periodic anthropometric measures of beneficiary children during their enrolment in a curative nutrition project would enable analyses of weight gains during their treatment, and periodic recording of monthly income of micro-finance group members would allow project staff to monitor the rate of increase while participating in the intervention.

The project monitoring databases may be created using any database management software, (e.g., CsPro, MS Access, MS Excel, or SPSS). FFP encourages Awardees to create relational databases with unique community, household, and individual level identifiers that enable accurate connections among the different beneficiary units, (e.g., connecting multiple household members who benefit from different interventions to their common household, and connecting multiple beneficiary households to their common community). These connections ensure the accuracy of reporting, avoid double counting of beneficiaries or households that benefit from multiple interventions, and are important to demonstrate the degree of integration achieved through the project’s targeting. The databases are a resource that also allows the Awardee to develop sampling frames for annual monitoring.

Before developing a new database system from scratch, an Awardee should review existing systems that were developed using FFP resources to evaluate whether one of these can be adapted to fit the project’s needs. [McAID](https://www.spring-nutrition.org/sites/default/files/2.6d-nazmul.kalam.pdf) and [SAMI](http://sami.stcapps.org/general/default.aspx) developed by Save the Children and [I-SMART](http://acdivoca.org/resources/newsroom/news/i-smart-v20-launched-food-peace-projects) developed by ACDI/VOCA are examples of such database systems.

The Annual Monitoring section should describe the basic structures and contents of monitoring databases, the data entry process, and database and data processing applications and versions that will be used.

### 3.1.5: Cross-Cutting Technical Areas

In the Annual Monitoring section, Awardees must describe how the project’s M&E system will monitor and measure the frequency and quality of efforts to assure that all project activities consider the three cross-cutting Purposes of gender-integration, environmental protection, and community participation. Awardees are also encouraged to employ qualitative methods to assess and monitor the degree to which these themes are integrated into project operations and progress towards integration. The Annual Monitoring section should highlight all of the methods the M&E system will employ beyond the use of FFP indicators in sections designated to these themes, including descriptions of the staff members involved, methods used, frequency, locations and types of informants.

#### 3.1.5.1: Monitoring Community Participation and Involvement

FFP expects Awardees to include members of the target communities as plans and decisions are made at various stages of the project, and the M&E system should monitor the extent and quality of community participation and benefits of involvement at each stage. FFP has not yet developed indicators to measure community participation. Nevertheless, Awardees are required to describe in the M&E Plan how the project’s M&E system will measure the frequency and quality of community input and project-community interaction throughout the life of the project. The strategy and tools to measure community participation must be context specific, consider cultural norms and practices, project Purposes, and interventions. This process may be largely qualitative, from which quantitative indicators may or may not be derived.

Methods to measure community involvement might include:

* Numbers and characteristics (e.g., leaders and common members, men and women, different socio-economic groups, youth, disabled, beneficiaries and non-beneficiaries) of community members involved in information exchanges, analyses of project challenges and results, and input to and timely information about project decisions
* Nature of information received from and delivered to communities and degree or consistency of follow up to/by the communities
* Community members’ and project staff members’ perceptions about the quantity and quality of information exchanged between them
* Community members’ perceptions about the project’s responsiveness to the information they provide
* Knowledge of the project and community about one another

#### 3.1.5.2: Community-Based/Participatory M&E

In conventional monitoring, community members are important informants for M&E, for example, with regard to:

* 1. *Intervention selection, targeting and implementation:* Relevance, acceptability, consistency, cultural appropriateness, effectiveness, consideration and use of community members’ capacities.
1. *Accountability and Cross-checking*: Perceptions about staff interaction and responsiveness; accuracy of staff reports.
2. *Learning and adapting*: What worked, and what did not? Why do some adopt certain behaviors while others don’t? Perceived benefits of interventions, outputs, and outcomes? Unanticipated results (positive and negative)?
3. *Communication*: Knowledge of the interventions, roles of the implementing staff and USAID, information that is meaningful to, and desired by the target population, accessibility of formats and media used.

In community-based or participatory monitoring, community members become involved in the M&E as data collectors, reporters, and analysts. Community leaders, volunteers, groups supported by the project, or even the whole community get involved in collecting and reporting information related to intervention outputs and outcomes. Communities engage in discussion to analyze and plan responses to the collected information. FFP does not recommend any particular methodology or tools for participatory M&E. A plethora of guidance and tools are available that could be applied.

Details of how the project involves community members contribute to collection or analysis of data reported in the project IPTT should be described the Annual Monitoring (Chapter 3.0) and the M&E Staffing (Section 3.2). Details about how the project ensures the quality of these data through supervision and verification should be covered in the Data Quality Assurance (Section 3.3).

### 3.1.6: Resources

* [Feed the Future Agricultural Indicator Guide](http://agrilinks.org/sites/default/files/resource/files/FTF_Agriculture_Guide_Jan2014.pdf) provides guidance on the collection and use of data for selected Feed the Future agricultural indicators.
* [McAID](https://www.spring-nutrition.org/sites/default/files/2.6d-nazmul.kalam.pdf) and [SAMI](http://sami.stcapps.org/general/default.aspx) developed by Save the Children and [I-SMART](http://acdivoca.org/resources/newsroom/news/i-smart-v20-launched-food-peace-projects) developed by ACDI/VOCA are examples of database systems for monitoring.
* An issue of [Participatory and Learning Notes](http://pubs.iied.org/pdfs/6131IIED.pdf) provides articles related to participatory monitoring and evaluation.
* The World Bank’s webpage on [Participatory Monitoring and Evaluation](http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTSOCIALDEVELOPMENT/EXTPCENG/0%2C%2CcontentMDK%3A20509352~menuPK%3A1278203~pagePK%3A148956~piPK%3A216618~theSitePK%3A410306%2C00.html) offers basic information and key readings.
* The World Bank’s [Sleeping on our Own Mats: An Introductory Guide to Community-Based Monitoring and Evaluation](http://siteresources.worldbank.org/INTPCENG/214574-1116505633693/20509339/communitybased.pdf) offers an approach for projects and tools.
* The Food and Agriculture Organization of the United Nations offers a short [Training Module on Participatory Community M&E](http://www.fao.org/docrep/006/ad346e/ad346e0e.htm#TopOfPage).
* The USAID Center for Development Information and Evaluation offers a brief on [Conducting a Participatory Evaluation](http://pdf.usaid.gov/pdf_docs/PNABS539.pdf)

Figure 7: Examples Showing Data Flow for Indicator: Number of individuals who have received USG supported short-term agricultural sector productivity or food security training

##### Example 1: Using a Diagram

**COUNTRY OFFICE**

**M&E Officer**:

* Runs routine against Training and Beneficiary Tables in Monitoring DB to aggregate numbers of beneficiaries of agricultural and food security training during the quarter and year in all districts to report: **Number of individuals who have received USG supported short-term agricultural sector productivity or food security training** disaggregated by sex and type of individual\*
* Reports indicator quarterly to project management disaggregated by training module
* Reports indicator annually to FFP on IPTT and in ARR in FFPMIS

**Quarterly & Annually**

*\*Disaggregation: Producers, People in government, People in private sector firms, People in civil society*

**DISTRICT SUB-OFFICES**

**Data entry clerks** update central Training and Individual beneficiary tracking tables in Monitoring DB with:

* Trainees’ IDs and post-test scores
* Trainer ID (Training table)
* Training session ID (Both tables)
* IDs of training type(s) and module(s) covered in the training

File Training forms in central files by module

**Data entry software** adds indicator to show when beneficiary has completed all modules of a training type**.**

**Within 1 week after training**

**COUNTRY OFFICE**

**Agriculture Training Officer** runs routines against Training and Beneficiary Tables in Monitoring DB to:

* Aggregate information from all training across the district within the quarter to determine M/F ratios by training module
* Calculate the numbers of individual beneficiaries who completed all modules of improved techniques by crop and district
* Calculate average post-test scores of trainees, by training module and trainer

**ALL TRAINING SITES**

**Trainer** records and sends to sub-office (Form# T3):

* IDs of trainees\*
* Training type(s) and module(s) IDs
* Training dates
* Post-test scores

**At close of training**

*\*Trainee information**captured at registration prior to training: name, sex, village;**type of individual, and**beneficiary group (See data flow diagram B1)*

1

##### Example 2: Using a Matrix

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|   | **WHO** | **WHAT** | **HOW** | **WHEN** | **WHERE** |
| **Collection** | All Trainers | * Fills Form#T3 (paper) with:
* Trainees’ beneficiary IDs and post-test scores
* Training session information:
	+ Trainer
	+ Training dates
	+ Type(s) and module(s)
* Sends completed form to sub-office via fax, scan, or courier
 | * Paper form provided by Agricultural Training Officer
* Email of filled form to Sub-offices
 | Within three days of end of training session | Training sites/Trainers’ offices |
| **Entry** | Sub-office data entry clerks | * Enters into Training Table in Monitoring DB:
* Trainees’ beneficiary IDs and post-test scores
* Training session information:
	+ Trainer
	+ Training dates
	+ Type(s) and module(s)
* Paper Form# T3 filed in sub-office training file by training type and trainer
 | Training Table data entry system | Within one week of end of each training | District Sub-offices |
| **Storage** | Database management staff | Maintains and safeguards Monitoring DB and data entry system |  | Indefinite | Cloud based  |
| **Processing** | M&E Officer | * Aggregation of training data across districts
* Disaggregation by sex, module
* Disaggregation by sex, type of individual and type of training Annually
 | * Computing module T1 Annually
* Computing module T2 quarterly
 | Quarterly and Annually | Country Office |
| Ag Training Officer | * Aggregation of training data by district
* Calculation of :
	+ M/F ratios by module by district
	+ Numbers of beneficiaries who completed all modules of improved techniques by crop, sex, and district
	+ Average post-test scores by module and trainer
 | * Computing module T3
 | Quarterly | Country Office |
| **Report** | M&E Officer | **Number of individuals who have received USG supported short-term agricultural sector productivity or food security training** | Manual transfer of numbers to IPTT and entry to ARR in FFPMIS | Annually | Country Office |

## Section 3.2: Data Quality Assurance, Management, and Safeguard

M&E Plans must describe how the Awardee will ensure data quality and protect data throughout the processes of collection, transfer, processing, reporting, and storage.

### 3.2.1: Data Quality Assurance

The M&E Plans for all FFP development projects must describe the routine measures Awardees will take to ensure the quality of data collected and generated by their M&E systems. The sub-section should illustrate how the Awardee will ensure that data possesses the five key attributes of high quality (validity, reliability, timeliness, precision, and integrity). It must include strategies in routine monitoring to reduce biases and errors in measurement, transcription, and processing.

To ensure data quality, in addition to clearly defining each indicator, Awardees must describe measures to protect and verify data quality by assuring:

1. Precise PIRS with all critical terms defined
2. Clear and easy-to-use data collection instruments
3. Complete, detailed documentation of methods and protocols for every process related to data collection, cleaning, recording, aggregation, disaggregation, documentation, access, safeguard, and reporting, written in easily-understood language, and readily available to the collectors and processors at the sites of collection and processing
4. Regular verification and cross-checking that all data collectors and processors are following the documented methods and protocols consistently. Cross-checking and verification methods include measures such as:
* Visits by supervisors or M&E officers to a sample of farmers, mothers, or households to verify the information previously collected by community volunteers or implementing staff
* Inclusion of photographs, video or audio recordings, or other evidence to allow others to verify observations, transcriptions, and interpretations by the collector
* Triangulation of findings by asking the same thing in different ways or in different contexts
* Systematic review of collected data to compare values collected across time and location to flag outliers or reversals of trends that should be investigated
* Incorporation of reasonability checks and comparisons into data collection, entry and processing software; double keying of data in entry procedures; use of drop-downs and conditional entry fields, and developing filters, macros and scripts to identify data outside reasonable parameters or data that contradict each other
* Adequate staffing by individuals who receive regular supervision, training and support to build and maintain their capacity, and who are held accountable for good performance, considering: clarity of task descriptions of the specific functions related to data collection, recording and processing
* Adequate financial resources and logistical support to ensure timely performance, e.g., for travel, training, and procurement/reproduction of instruments and tools, etc.

The Awardee must describe measures for ensuring data quality in detail in the M&E Plan. The Awardee may prepare a stand-alone section in the M&E Plan to describe all data quality assurance measures for all annual monitoring indicators. Alternatively, descriptions of some or all of the data quality assurance measures may be incorporated into indicator PIRS or the data flow description in the Annual Monitoring section of M&E plan. Similarly, descriptions of staff functions and capacity building to ensure data quality may be included in the M&E Staffing.

### 3.2.2: Data Quality Assessment (DQA)

DQAs are periodic reviews of the data collected and reported by the project’s M&E system, including consideration of the adequacy of its data quality assurance strategy. The purpose of the DQA is to assess data quality based on the five standards provided in [USAID’s ADS 203](http://www.usaid.gov/sites/default/files/documents/1870/203.pdf): validity, integrity, precision, reliability and timeliness, and to identify factors contributing to lower quality and ways to improve quality.

USAID Missions conduct DQA for a few selected indicators, and typically only the indicators used by the Mission for their annual reporting. This does not replace the need for Awardees to conduct DQAs to test the adequacy of their data quality assurance functions.

Each DQA reviews the quality of a sample of indicators. Reviewers reconstruct the flow of data for each indicator to verify its quality beginning from the initial point of collection through to the highest level of reporting and use.

The DQA process may examine:

* M&E structure, functions, and capabilities
* Indicator definitions and reporting guidelines
* Data collection tools and reporting forms
* Processes of data verification, aggregation, processing, management, storage and safeguarding
* Data use and dissemination practices
* Links with national reporting systems (where relevant)

In the initial submission of the project M&E Plan, the Awardee must describe the timing and processes of DQAs planned for the first twelve months of the award implementation. With each PREP submission, the Awardee should describe all DQAs planned for the following 12 months.

The description of project’s DQAs must include:

* A list of indicators to be reviewed, and justification for the selection
* Timeframe: timing and duration
* Any particular focus of the review
* Who will participate in the DQA: roles and qualifications

For each fiscal year, reports of the DQAs completed during the year, including a description of the DQA, the assessment findings, and actions taken in response to the findings, must be uploaded to FFPMIS as part of the annual ARR.

### 3.2.3: Data Management and Safeguards

The submitted M&E Plan must describe the Awardee’s plans for protecting data from unintended change, misuse, loss or destruction, when it is collected and as it flows between and through the various sites of processing to its final storage location, including:

* Measures that will be taken to ensure and safeguard beneficiary confidentiality and protect personal identity information, both of hardcopy and digital files
* Systems to store/maintain original data files/project records: Where original data will be stored, how they will be protected, who can access them, how long the Awardee will retain them, and procedures and timeline for their destruction
* Methods, frequency and locations of file and data base backups and who is responsible for making backups; measures to prevent and detect unauthorized data access for data entry, editing, processing or retrieval; virus protection of digital data; and security measures to protect the physical location of hard copies, databases and data backups
* For consortium or partnership projects, the M&E plan must describe how data management will be coordinated across partners

### 3.2.4: Resources

[USAID’s ADS 203: Assessing and Learning](http://www.usaid.gov/sites/default/files/documents/1870/203.pdf) provides guidance on five standards: validity, integrity, precision, reliability, and timeliness.

## Section 3.3: M&E Staffing and Capacity Development

### 3.3.1: Overview

It is essential that the M&E Plan demonstrate that the project has adequate personnel with sufficient capacity to achieve all of the processes of data collection, processing and reporting; to ensure Data Quality Assurance; and to manage and safeguard the data.

### 3.3.2: M&E Staffing and Capacity Development Strategy

The M&E plan should identify the positions of all staff members and external actors who will contribute to data collection, processing, management and reporting in the Annual Monitoring section. This includes not only individuals whose time is fully or largely dedicated to M&E, but also field staff; sectoral specialists; staff members of partner organizations and government agencies; consultants; and volunteers and other members in beneficiary communities who contribute to any M&E function.

The subsection should describe the monitoring roles/responsibilities for each position, and the percentage of time incumbents will devote to each M&E function/responsibility.

The plan must include an organogram that graphically displays the lines of supervision and reporting among the identified actors. In the case of partnerships or consortium-managed projects, the plan must identify the organization for each position in the descriptions and on the organogram.

Awardees should present the M&E staffing and capacity development strategy in the award application. The M&E budget should identify the M&E costs related to capacity-building.

Awardees may use a variety of approaches and modalities for developing staff capacity, such as formal or on-the-job training, mentoring, distance learning, and rotations.

With every ARR, the Awardee must upload a document that describes the M&E capacity building activities supported by the project during the reporting year, identifies who benefited, and explains differences between what was actually accomplished and the plan submitted with the relevant PREP(s). This may be presented in a tabular or narrative form.

# Chapter 4: Evaluation Plan

The evaluation plan must include:

* Baseline studies
* Midterm evaluation
* Final Evaluation

## Section 4.1: Baseline Studies

### 4.1.1: Requirements for All Baseline Studies

A baseline study is required for all FFP development projects. The purposes of the study are to collect baseline values for specific outcome and impact indicators that will be compared to values collected in the final evaluation and to provide information to the Awardee about the project’s target population that can help improve the design and targeting of interventions.

The baseline study must include a population-based household survey and collect data for:

* All current R and RiA FFP baseline/final evaluation indicators. These must be collected and tabulated exactly as described in the [FFP Indicators Handbook Part I: Indicators for Baseline and Final Evaluation Surveys](http://www.usaid.gov/sites/default/files/documents/1866/Part%20I_Baseline%20and%20Final%20Evaluation_04.13.2015.pdf)
* No modifications or substitutes will be accepted
* Additional custom indicators, as agreed and approved by the AOR after consultation with the responsible FFP M&E team member

The baseline survey must use the questions included in the FFP Indicators Handbook for Baseline and Final Evaluation Surveys, with only contextual adjustments permitted. The survey design must follow the sampling plan, sample size calculation formula, suggested level of statistical precision and power, and respondent selection procedures presented in the [FANTA Sampling Guide (with 2012 Addendum)](http://www.fantaproject.org/sites/default/files/resources/Sampling-1999-Addendum-2012-ENG_0.pdf).

In the case that the baseline study covers multiple awards, the baseline study report should provide both aggregate FFP country implementation area and stratified Awardee-specific results.

The final report must adhere to the requirements of the [USAID Evaluation Policy](http://www.usaid.gov/sites/default/files/documents/1868/USAIDEvaluationPolicy.pdf).

##### Timing

The baseline study must be completed within the first year of project implementation. Ideally, data should be collected during the agricultural lean season to obtain the most meaningful information for critical indicators related to food access (e.g., Household Hunger Scale and Household Dietary Diversity) and poverty (expenditures, mean depth of poverty, prevalence of poverty). To ensure data comparability, the baseline and endline surveys for the project must be collected at the same time of year.

##### External Baseline Study

In the interest of objectivity, FFP policy mandates that a third-party firm lead the baseline study; Awardees may not conduct the baseline study for their own projects. The third-party firm should be selected through a competitive bidding process, based on the proposal’s technical merit; overall cost; and past experience with large-scale household surveys, baseline studies, and final evaluations.

As per the USAID Evaluation Policy, all baseline study team members must provide a signed statement attesting to a lack of conflict of interest or describing an existing conflict of interest relative to the projects for which the baseline study is being conducted.

There are two possible scenarios for management of a baseline study:

* FFP will contract a third-party firm to conduct the study and will oversee and manage the process.[[5]](#footnote-5) In countries with multiple awards from the same FFP solicitation, the firm will implement a joint study.
* The Awardee will contract and manage a third-party firm, approved by FFP, to implement the baseline study with limited Awardee involvement. In this scenario, FFP must approve the SOW prior to solicitation, and prior to contracting the third-party firm and specific members of the baseline study team. In countries with multiple awards from the same FFP solicitation, FFP encourages Awardees to collaborate and hire a single firm to implement a joint study.

Through the RFA, FFP will communicate whether FFP or the Awardee will manage the baseline study. Whether contracted by FFP or the Awardee, the selected firm must implement the study in accordance with FFP requirements.

##### Awardee Involvement in the Baseline Study

For both FFP-managed and Awardee-managed baseline studies, the third-party firm must independently hire a local data collection firm or engage enumerators and supervisors to collect baseline data. To manage the perception of an unbiased study and to assure that the initiation of project activities advances efficiently, the third-party firm must not use project staff as enumerators or supervisors nor use project vehicles.

Awardee staff members must not participate in the development of the survey sampling frame, sample selection, or data collection, and may not accompany enumerators during the survey. However, the Awardee is responsible for providing a list of the project’s implementation communities so that the firm can develop the survey sampling frame. Awardees may be invited to observe some or all training sessions for enumerators and supervisors.

At the third-party firm’s request, Awardees’ may assist in obtaining permissions and introducing the firm to the communities where data will be collected.

Awardees must review the draft baseline study report and provide comments to the third-party firm, if Awardee-managed, and to the AOR and the baseline study’s Contracting Officer’s Representative (COR), if FFP-managed. The third-party firm has the right to agree or disagree with any comment. An Awardee may submit an addendum for the baseline study report to record points of disagreement or concern with the report contents with the basis for a different perspective.

Awardees will be invited to participate with the USAID Mission and, as appropriate, government representatives, in an in-country briefing organized by the third-party firm before finalizing the baseline report.

##### Baseline Planning Workshop

The Awardee(s) must send representatives to a planning workshop organized by the third-party firm to discuss the scope of the baseline, data collection timeline, survey sampling frame and logistics; contextualize the survey questionnaire; and review custom baseline/final evaluation indicators. Typically, this workshop would be conducted within three months of the FFP M&E Workshop and last three to four days. Awardees should submit the PIRS for custom baseline/final evaluation indicators to the AOR for review by the responsible FFP M&E team member at least two weeks before the start of the baseline planning workshop. Awardees may be tasked with additional follow-up action(s) required to launch the study.

To facilitate baseline implementation, during or following the baseline planning workshop, Awardees will be responsible to provide the third-party firm the following:

* FFP-approved PIRS for custom baseline/final evaluation indicators
* Inputs and information related to sampling:
* A complete list of all communities where the project will implement interventions during the life of the project, including geographic location and number of households in each community. (Awardees may refer to pre-existing sources, such as national census data or DHS, provided these sources are collected within the previous two to three years. The accuracy of this list is extremely important to construct the sampling frame. An incorrect or incomplete list will compromise the quantitative measurement of project performance.)
* A description of the prevalence, typical composition and living arrangements of polygamous households
* Similar or related interventions that overlap with the FFP project areas and beneficiaries (e.g., Feed the Future)
* Information to contextualize the survey instruments
* Foods commonly available and eaten, including brand names
* Crops and livestock commonly raised
* Titles of local government service providers
* Sources of household income
* Common household non-food expenditures
* Common arrangements for accessing land and financing or renting housing
* Gender rolesand norms
* Techniques, knowledge and practices that will be promoted by the project
* Information related to data collection timing:
* Cropping calendar
* Periods unfavorable to data collection due to holidays, security concerns, and road conditions
* Migration calendar
* Planned food distribution and project activities
* Advice on logistics:
* Best and worst times of day to find people at home
* Sites of lodging, restaurants and other sources of food available in or near the survey area
* Travel times among survey communities and sites of accommodation. Road conditions and suggested modes of travel
* Available infrastructure and services (e.g., electricity, Internet, ATMs)
* Security issues and sources of updates regarding security conditions
* Inputs and information relating to data collection instruments and methods:
* Languages into which questionnaires need to be translated, including any non-written languages
* Feedback on the sampling strategy, data analysis and treatment plan, field implementation manual, quantitative survey instrument, qualitative site selection strategy, key questions, and methods
* Advice on the data collection team composition:
* Gender considerations
* Mix and balance of language skills
* Ethnic/religious/political or other identifying issues that should be considered
* Advice related to introductions and permissions:
* Local protocols for obtaining permissions to operate within the country and study area, accessing and introducing the study and enumerators to communities and households
* Contact information, introductions to and information about relevant stakeholders (i.e., government and local authorities)

##### Collaboration Across Projects

In countries with multiple awards from the same FFP solicitation, when a single firm implements a joint baseline study, common survey questionnaire instruments will be used to collect FFP indicator data across all project areas. However, a number of FFP indicators depend on local context and award-specific interventions for full definition, and the contextualization of these questions may differ across the individual Awardees’ project areas. For example, the indicator “Percentage of farmers who used at least [a project-defined minimum number of] sustainable agriculture (crop, livestock, and/or NRM) practices and/or technologies in the past 12 months” requires each Awardee to define the [minimum number of] practices/technologies and the specific types of practices/technologies that will be counted.

In addition to the required FFP baseline/final evaluation indicators, each Awardee may request the inclusion of a limited number of custom baseline/final evaluation indicators, approved by the AOR in consultation with the responsible FFP M&E team member. The inclusion of these custom indicators could result in minor differences in the questionnaires used in the different Awardees’ project areas.

Careful considerations should be given to the selection of custom indicators for baseline and final evaluations as a) a large number of indicators is not required to measure goals and purposes, b) additional indicators add to data collection time and may result in poor quality data due to respondent-fatigue; and c) for FFP-managed baseline studies, the third-party firm’s budget may already be established based on FFP’s required indicators, which limits the time for collection.

#### *Reporting Baseline Values and Final Evaluation Targets*

After the baseline survey is completed and estimates for baseline values are available, Awardees must:

* Submit a revised IPTT that includes for each baseline/final evaluation indicator the actual baseline values and final evaluation targets adjusted based on the baseline values
* Enter the baseline values into the FFPMIS as part of the ARR submitted after the end of the fiscal year in which the values become available

These requirements hold even when the baseline study is led by FFP.

#### *Sharing Baseline Report Across the Field Teams*

FFP expects that the Awardees will share the baseline study report with all staff and implementing partners. A best practice to widely communicate the key findings from the baseline study is to hold workshops to share the results as well as asking the staff and partners to identify potential implications to the project strategies, and targeting.

##### Additional Guidance for Awardee-Managed Baseline Studies

Awardee-managed baseline studies must follow FFP guidance as stated in the overall requirements described above. The third-party firm(s) and key personnel must be approved by the AOR and may not involve an employee or affiliate of the Awardee who contributed to the project’s design of the study. Before starting data collection, the final study design and survey questionnaire must be approved by the AOR, with advice from the responsible FFP M&E team member. The third-party firm will lead the study implementation and prepare the final report.

#### *Baseline Study SOW*

Within three months of award, the Awardee must submit a draft SOW for the baseline study to the AOR for approval before beginning the solicitation process. This SOW should outline Awardee expectations and requirements of the third-party firm. Guidance on developing a baseline study SoW is provided in [Annex 1](#BASELINESOW).

### 4.1.2: Use of Baseline Study Results to Refine Project Strategies

##### FFP expects that the Awardees will use the baseline study results to refine the project strategies. The baseline study results provide an opportunity to review the project design against the food and nutrition security conceptual framework and the project’s theory of change. Many of the contextual indicators included in the baseline study provide information on conditions that are necessary to achieve food security outcomes. For example, the baseline results may identify that just 20% of the population surveyed has access to improved sanitation. With that knowledge of the operating context, the Awardee can review its project design to assess if incorporating activities on improved sanitation are essential to achieving project purpose.

##### In addition to the quantitative survey results, qualitative information can provide valuable insights and can be used to refine the project strategies. For example, the quantitative results may reveal poor prevalence of exclusive breastfeeding practices while the qualitative information may indicate the source of the issue, whether it would be lack of knowledge or other barriers preventing mothers from practicing exclusive breastfeeding. Awardees can use this information to conduct formative research to understand the barriers or to develop strategies to influence behavior change.

### 4.1.3: Resources

* The [FFP Indicators Handbook Part I: Indicators for Baseline and Final Evaluation Surveys](http://www.usaid.gov/sites/default/files/documents/1866/Part%20I_Baseline%20and%20Final%20Evaluation_04.13.2015.pdf) contains all current required indicators for collection in baseline and endline surveys.
* Sampling guidance for baseline and final performance evaluation surveys is provided in the [FANTA Sampling Guide (with 2012 Addendum)](http://www.fantaproject.org/sites/default/files/resources/Sampling-1999-Addendum-2012-ENG_0.pdf).
* The [USAID Evaluation Policy](http://www.usaid.gov/sites/default/files/documents/1868/USAIDEvaluationPolicy.pdf) provides information on the purposes of evaluation, the types of evaluations that are required and recommended, and the approach for conducting, disseminating, and using evaluations.
* [USAID ADS 579: USAID Development Data](http://www.usaid.gov/sites/default/files/documents/1868/579.pdf) provides guidance for complying with the requirement for all quantitative data to be stored in a central database.
* Ethical guidelines for an evaluation team are outlined in the [American Evaluation Association’s Guiding Principles for Evaluators](http://www.eval.org/p/cm/ld/fid%3D51).

## Section 4.2: Midterm Evaluation

### 4.2.1: Requirements

FFP requires an externally-led MTE for all awards of more than four years. The MTEs are process evaluations designed to gather evidence about the efficiency and acceptability of project implementation and to develop recommendations for adjustments that will improve the project’s final outcomes.

The MTE must take place approximately mid-way through the implementation period, and the MTE report should be final within 36 months of the award so that results can be applied during the final years.

Normally, the MTE is managed by the Awardee. In countries with multiple awards from the same FFP solicitation, FFP encourages Awardees to collaborate and hire a single MTE team to implement a joint evaluation for all awards.

Awardees must gain FFP approval on the following deliverables:

* Final SOW: First draft submitted to the AOR within fifteen months of the award.
* MTE team: The individuals selected to serve as team leader and sectoral experts, approved at least five to six months before data collection will begin.
* Final MTE plan: before primary data collection begins.
* Final report: within 36 months of award.

Awardees should not disseminate the SOW or advertise for evaluators until the AOR has approved a final SOW and should not contract evaluators before the MTE team members have been approved.

Awardees should submit the draft MTE reports to the AOR who will review and provide feedback for the MTE team before the report is finalized.

The Awardee must submit the final MTE report to the DEC within 30 days of FFP approval and upload it to FFPMIS as part of the ARR for the fiscal year in which the report was approved (see Section 2.10). Also within 30 days of FFP approval, the Awardee should provide the AOR digital transcripts of interviews and discussions conducted as part of the MTE and datasets created or used by the evaluators, including copies of the monitoring data base tables or other project data, as analyzed by the evaluators. FFP will review and submit the files to the Data Development Library, as appropriate, in accordance with USAID [ADS 579: USAID Development Data](http://www.usaid.gov/sites/default/files/documents/1868/579.pdf)and the award’s standard provisions. Section 2.10 describes the requirements for submissions. Awardees should review these requirements to prepare the data sets and provide the requested information.

Within 60 days of FFP’s approval of the final report, the Awardee and FFP will develop and agree to a plan of action in response to the MTE results and recommendations.

##### Process Evaluation

An MTE should focus on implementation processes, including project management, monitoring, the application of results of project studies, and intervention protocols and processes, outputs and inputs. The MTE’s purposes are to determine how successfully the project implementation matches the proposed plans approved by FFP; to explain why delays, accelerations, or deviations from the strategy have occurred; to identify the strengths of and challenges to the ways the interventions are implemented; and to recommend adjustments to improve the effectiveness and acceptability of interventions in the targeted communities.

The MTE should assess how various stakeholders (e.g., implementing staff members, beneficiaries, other community members, local experts, external partners, etc.) perceive the interventions and implementation methods to understand what they think is working, what adjustments should be made, and why. This should include understanding how well beneficiary communities believe the chosen interventions match household and community priorities. To identify strengths of and challenges to implementation, evaluators should compare implementation details and stakeholders’ perceptions across purposively selected sites to assess the relationships of contextual and implementation factors with acceptance, efficiency, and output quality.

In addition, the MTE seeks evidence of early outcomes – changes in beneficiaries’ lives or communities that they associate with the project interventions – and compare across locations to understand factors that may be affecting the types and rates of changes. When looking for early outcomes, evaluators should look for any change, not just the anticipated change. This is an opportunity to spot unintended results of the project’s implementation – both positive and negative – and make adjustments to implementation to either promote or deter these changes. The evaluators should also compare the perceived outcomes to the project’s TOC or Results Framework (RF)[[6]](#footnote-6) to validate, refute, or refine the pathways of change.

#### *Timing of the MTE*

By the end of the first year of an award (preferably as part of the first PREP), FFP and the Awardee should establish when the MTE will take place. The optimal time is one that maximizes the evaluation team’s opportunities to directly observe project outputs and interventions as they are implemented. For example, the team member who will evaluate the quality of asset development interventions should collect data while the associated labor is taking place (e.g., while workers are constructing an asset) or when s/he can best observe the benefit of the assets (e.g., some period of time after water pans have filled). If demonstration fields are an important component of the agricultural intervention, then the agricultural expert would learn the most if s/he visits during the season when crops are growing in the fields.

There is no need for data collection for the MTE to match the seasonal timing of the baseline study or final evaluation.

#### *MTE Timeline*

Preparation for an MTE should begin at least one year before the results are needed. For example, for a five-year development project, which should be evaluated in the third year, preparation should start at the beginning of the second implementation year. This is based on the following illustrative timeline of 11-15 months:

* Drafting and approval of SOW: 3-4 months
* Procurement of evaluators: 3-4 months
* Secondary data review and MTE work plan preparation: 4-6 weeks
* Data collection: 6-8 weeks, excluding travel time
* Data analysis and drafting of report: 6-8 weeks
* Feedback from USAID and finalization of MTE report: 4-8 weeks

An early start increases the likelihood for ideal timing of data collection and a wider selection of well-qualified consultants, who are often booked months ahead, and allows for the possible need to re-advertise for a consultant.

Guidance regarding the contents and preparation of SOWs follows in [Annex 2.](#MTESOW)

#### *Evaluation Team Composition*

The MTE team will consist of a team leader plus technical specialists. No member of the MTE team should have had any responsibility in the design or implementation of the project under evaluation. The team leader must be external to the project and all agencies involved in project implementation.

The team as a whole should comprise expertise in all of the project’s technical sectors and cross-cutting themes. All technical specialists must be external to the project, but a qualified individual who is affiliated with an implementing agency but never worked directly on the project’s design or implementation (e.g., a regional advisor, headquarters staff member, or a specialist working on a project in another country) may participate as a technical specialist. Similarly, a USAID staff member who meets the competency criteria and never had direct oversight responsibilities for the project implementation may participate as a technical specialist on the MTE team.

To manage the perception of an unbiased evaluation and to avoid disruption of project implementation that could affect the evaluation results, the MTE team must not use project staff as translators, enumerators, or supervisors. During data collection and analysis, the primary roles of project staff members, the responsible FFP Officer, AOR, and any other USAID or Awardee staff member with a direct stake in the project, are as informants and observers. They may review and provide comments on data collection tools and instruments before they are finalized. They may observe some of the MTE processes, but they must not collect primary data, or participate in translation, analysis or interpretation of these data.

### 4.2.2: Budget

At application, Awardees should allocate a minimum of $150,000-300,000 within the project budget to cover costs associated with MTEs. This would include the cost of contracted MTE team members, international and local travel, and in-country lodging and per diem. Salary for technical specialists who are members of the Awardee’s organization may be charged for the days that they are directly involved with the evaluation. Other related costs that would be in the budget might be hiring of local personnel (drivers, translators, enumerators, local technical experts, etc.), translation of reports, and rental of meeting rooms for presentations.

### 4.2.3: Follow-up Action Plan

Within 30 days of FFP’s approval of the MTE final evaluation report, the Awardee, in collaboration with the FFP officer, must develop a plan of action to apply the MTE recommendations and submit it for AOR and USAID Mission approval. Prioritization of actions (e.g., Essential, High, Moderate, Low, Impractical) should be based on the potential of each action to influence the project’s final outcomes positively (e.g., Major, Significant, Minor, or Negligible), and available resources (time, material, money).

Once FFP and the Awardee agree to follow-up actions, they should establish a timeframe and means of measuring progress and achievement for each action and assign responsibility for each. The Awardee, using the agreed means of measuring progress, must describe progress in subsequent Annual Results Reports. See Table 3 for a template designed by FFP to describe and track progress of these actions.

Table 3: Template for Action Plan to Follow-up Midterm Evaluation Recommendations

|  |
| --- |
| **Name of the Project:**  |
| **Country:** | **Name of Awardee (Prime):**  | **Fiscal Year:**  |
| **List of recommendations** | **Priority level** | **Resources required** | **Anticipated level of influence on outcome** | **List of activities** | **Timeframe** | **Person responsible** | **Measurable milestone** |
| (Example) Beneficiaries for Strategic Objective (SO) 2 (Ag and NRM) interventions should be selected from among SO3 (MCHN and 1000 days) beneficiaries.  | High | $$ | Major | Agree on revision to targeting criteriaModify written protocols and train staff to use the revised criteriaSelect all future beneficiaries using the revised targeting criteria…. | By xx/xxxx | Deputy CoPSO2 LeadSO2 field supervisors | Percentage of new SO2 beneficiaries that are also SO3 beneficiaries.  |
|  |  |  |  |  |  |  |  |

### 4.2.4: Guide to Key Evaluation Questions

A detailed guidance on developing key evaluation questions is presented in [Annex 3](#MRWQS).

### 4.2.5: Resources

* Ethical guidelines for an evaluation team are outlined in the [American Evaluation Association’s Guiding Principles for Evaluators](http://www.eval.org/p/cm/ld/fid%3D51).

## Section 4.3: Submission Requirements for Reports and Datasets

### 4.3.1: Submitting Monitoring and Evaluation Documents to USAID DEC and FFPMIS

For both Awardee- and FFP-managed baseline studies and evaluations, the Awardee is responsible to upload the final report to FFPMIS as part of the ARR for the fiscal year in which the report was finalized. If a final report is not available at the time of ARR submission, Awardees should note this in the ARR narrative and request to upload it at a later date.

For Awardee-managed baseline studies, MTEs and final evaluations, the Awardee must also submit the final report to the DEC within 30 days of FFP approval. For a FFP-managed baseline study or final evaluation, FFP will ensure that the third-party firm submits the report to the DEC.

When submitting to the DEC, the Awardee should:

* Select the appropriate Document Type, i.e., “Final Evaluation Report” for final evaluation repots; “Other USAID Evaluation” for MTE reports, and “Other USAID Supported Study/Document” for baseline study reports and ARRs
* Select “Food Aid Programs” as the Primary Subject
* Include the following text as Additional Information: “Add the following USAID Thesaurus Terms: Food for Peace Title II, Food Security, Malnutrition, Child Nutrition, Maternal Nutrition, Agriculture, and Development Assistance”
* Depending on the project’s interventions, add to the list in the text in Additional Information, above, the following thesaurus terms: Maternal Child Feeding Programs, Maternal Child Health Care, Sustainable Agriculture, Livelihoods, Family Planning, Orphan and Vulnerable Children, Sanitation, Hygiene, Humanitarian Assistance, Disaster Recovery, Disaster Relief and Response, Displaced Persons, Natural Resource Management, Vulnerable Groups, or Poverty Reduction
* Upon submission, send the link of the uploaded document(s) to the AOR and the responsible FFP M&E team member

For more information on DEC submission requirements, please refer to [ADS 540: USAID Development Experience](http://www.usaid.gov/sites/default/files/documents/1868/540.pdf) Information and the [Development Experience Clearinghouse](https://dec.usaid.gov/dec/home/Default.aspx) website.

### 4.3.2: Requirements for Submitting M&E Datasets to FFP

For Awardee-managed baseline studies and final evaluations, data sets and supporting documents must be submitted electronically to the AOR by email or through a secure website within 30 days of FFP’s approval of the final report. The files in the submission must be organized into sub-directories and include a “Readme File” in the root directory.

FFP will review and submit the files to the [Development Data Library](http://www.usaid.gov/data) in accordance with USAID [ADS 579: USAID Development Data](http://www.usaid.gov/sites/default/files/documents/1868/579.pdf)and the award standard provisions.

The requirements for submission include:

1. **Introduction to the dataset:** A brief description of the project for which the data was collected, including background, context and purpose.
2. **Data:** Raw and cleaned data sets with computed variables (e.g., anthropometric Z-scores), one copy CSV and a second copy in SPSS. ***Please note that because USAID will make the data available to the public, the datasets should not contain any identifier that would enable users to identify a survey respondent****.*
3. **Metadata:** Provide details about the data set contents and properties. The description of the dataset should supplement the title by providing additional information about the dataset information to help potential users to determine the relevance of the dataset to their particular interests and to facilitate the use of the data sets.
4. **Other associated files (pdf format preferred, except as noted) including:**
	1. A “Readme File” that explains the contents of the submission and file organization in an easily read text format (e.g., MS Word, MS Notepad), and includes:
5. Country, name of Awardee, and beginning and end of LOA
6. Dates of data collection
7. Data native format of the data sets, including software/version
8. Subfolder content description
9. Name of the person(s) and/or firms who collected and processed the data, with full reference information
	1. Documentation of the process and rules followed to clean the data sets and the results of cleaning, including data losses and inconsistencies uncovered.
	2. Syntax files detailing all processing steps followed to prepare the data. This includes syntax used to create variables and transform raw data into variables.
	3. Weight files including final sampling weights and sampling weights at each selection stage. This file must include:
		1. All the sampling weights that were created and used
		2. Description of and rationale behind the weighting (i.e., how and why they were created)
		3. A detailed description of how non-responding households were treated and individual non-response as a percentage of total expected sample size
		4. Indications of where final sampling weights were adjusted
	4. Sampling Frame used to select sample clusters and associated size measures (such as number of households in each cluster).
	5. Survey questionnaires and enumerator/supervisor field manuals that describe quantitative survey question administration; field manuals that describe qualitative data collection techniques, data quality controls, and other relevant field procedures; qualitative collection tools (e.g., interview guides, observation checklists). If the questionnaire was written for an iPad, smart phone or tablet, the software name and program file developed to carry out the survey must be included. If a paper quantitative questionnaire(s) was used, the final version(s) must be submitted in Word.
10. **Privacy Protection:**Data should be cleared of privacy considerations. Awardees must remove the personal identifiers such as individuals’ names, birthdates, sex and addresses and community level geocodes. However, cluster distinctions should be maintained through non-identifiable labeling, and the members of a household should be linked to the household and children to caretakers within households through non-identifiable identifiers. If removal of personal and geographic information makes the data meaningless, an alternative approach is ‘pseudonymization’, i.e., the replacement of recognizable identifiers with artificially generated identifiers, such as a codes or pseudonyms. With pseudonymization the information that identifies the individual or community is maintained separately, often in different datasets that can be merged together using the identifier without the consequence of direct identification of the individual.
11. **Human Subjects Research:** Indication of whether or not the dataset contains information on human research subjects as defined in ADS 200.
12. **Creation/Collection Date:**The date the dataset was created.
13. **Date of Last Update:** Most recent date the dataset was updated or modified.
14. **Temporal-Start:** The start date of the applicability of the dataset. For surveys or a census, the temporal-start is the date that data collection began.
15. **Temporal-End:** The end date of the applicability of the dataset. For a survey or census the temporal-end is the final date of data collection.
16. **Data Quality:**Indicate whether this data meets USAID’s quality standards outlined for performance monitoring data in [ADS 203.3.11](http://www.usaid.gov/sites/default/files/documents/1870/203.pdf).
17. **Data Quality Notes:**Descriptions of known issues with or limitations of the quality of the data.
18. **Spatial:**The range of spatial applicability of the dataset. This could be a place name (e.g., Uttar Pradesh, India) or a geographic location expressed using longitude/latitude pairs. See the [Common Core Metadata Schema v1.0](https://project-open-data.cio.gov/schema/) for further information.
19. **Data Dictionary:**A complete data dictionary, including for each variable: name, label, value labels, format (alphabetic, numeric, currency, percent etc.), type (dichotomous, categorical, continuous), and size (number of characters or format of numeric data). Also, please submit references of other documentation that would facilitate proper use of the data by others.
20. **Landing Page:**Where the user can find additional contextual information about the dataset when selecting this resource from the [Development Data Library](http://www.usaid.gov/data) user interface.
21. **Language:**Must be English.

### 4.3.3: Resources

* USAID’s [ADS 540: USAID Development Experience](http://www.usaid.gov/sites/default/files/documents/1868/540.pdf) provides policy directives, required procedures, and roles and responsibilities governing the submission of materials to the DEC.
* USAID’s [Development Experience Clearinghouse](https://dec.usaid.gov/dec/home/Default.aspx) website is the largest online resource for USAID-funded technical and project materials.
* USAID’s [Development Data Library](http://www.usaid.gov/data) is a public repository of USAID-funded, machine readable data.
* USAID’s [ADS 579: USAID Development Data](http://www.usaid.gov/sites/default/files/documents/1868/579.pdf) provides guidance for complying with the requirement for all quantitative data to be stored in a central database.
* USAID’s [ADS 203.3.11](http://www.usaid.gov/sites/default/files/documents/1870/203.pdf) provides information on data quality.
* Project Open Data’s [Common Core Metadata Schema v1.0](https://project-open-data.cio.gov/schema/) provides guidance to support the use of common core metadata to list datasets.

## Section 4.4: Final Evaluation

Forthcoming

# ANNEX - 1: Baseline Study SOW

Within 90 days of award, the Awardee must submit a draft SOW for the baseline study to the AOR for approval before beginning the solicitation process. This SOW should outline Awardee expectations and requirements of the third-party firm.

#### *Baseline Study SOW*

Within three months of award, the Awardee must submit a draft SOW for the baseline study to the AOR for approval before beginning the solicitation process. This SOW should outline Awardee expectations and requirements of the third-party firm.

Below are sample SOW contents:

1. Introduction
	1. Overview
	2. Project Background
2. Purpose and Objectives of the Baseline Study
3. Indicators for Collection
4. Baseline Study Design and Methodology
	1. Representative, Population-based Household Survey
		1. Sampling Design
		2. Field Procedure Manuals for Enumerators and Supervisors
		3. Anthropometry
		4. Data Entry, Treatment and Analysis Plan
	2. Qualitative Study *(Optional)*
5. Deliverables, Timeline and Report Outline
6. Contractor Responsibilities/Tasks
7. Contractor/Firm Qualifications
	1. Contractor qualifications
	2. Sub-contractor qualifications
8. Team Composition and Qualifications
	1. Key Personnel
		1. Baseline study team leader
		2. Senior survey specialist
		3. Field operation manager(s)
		4. Anthropometry specialist
	2. Other Team Members
9. Baseline Study Management
	1. Logistics
	2. Schedule
10. Evaluation Criteria for Proposals
11. Price Quote/Budget from Contractor/Firm
12. Intellectual Property
13. Ethical Guidelines

After identifying a potential third-party firm the Awardee must submit for AOR approval the firm’s proposal with information about the key personnel and their background and capabilities with regard to baseline studies and a profile that describes the relevant experience and capacities of proposed sub-contractor(s), including local firms that will be engaged for data collection and data entry.

The Awardee may not contract a firm until the AOR has approved the proposal and personnel, after receiving input from the responsible FFP M&E team member. If FFP does not approve, the Awardee must identify another firm to submit for AOR approval. To maintain the perception of an independent and unbiased baseline survey, a firm or key personnel involved in the design of the project in any way will not be approved to carry out the baseline study.

Before commencing the quantitative survey, the third-party firm must submit a survey design to the Awardee that includes:

* The sampling plan including: sample design, sampling frame, sample size calculation, level of statistical precision and power, and respondent selection procedures
* Training and field manuals for supervisors, enumerators, and anthropometry
* Plans for: supervisor, enumerator, anthropometry and data entry training; questionnaire translation, back-translation, pre-testing and finalization; and questionnaire piloting
* Data analysis and treatment plan, including estimation procedures (sample weighting and other adjustments) and indicator tabulation and subgroup analysis

Awardees must submit the survey plan for approval by the AOR, who will consult the responsible FFP M&E team member. The survey may commence only after FFP has approved the plan.

After the study is complete, the third-party firm will submit a draft study report to the Awardee for comment by the Awardee and USAID. After responding to the comments, the third-party firm will submit the final report for approval by the Awardee and FFP. Once approved by the AOR, the firm must submit the report, supporting documents and all related data sets to the Awardee in time for submission to FFP and the DEC within 30 days (See Section 2.10).

#### *Baseline Survey Design*

In most cases, FFP requires a baseline survey for a simple, pre-post evaluation design, and Awardees are encouraged to adhere to a similar design. A pre-post evaluation design allows detection of statistically significant changes in outcome and impact indicators by measuring them before (at baseline) and after (at final evaluation) project implementation.

If more complex designs are warranted, FFP will notify the Awardee. Awardees wishing to implement final evaluations that control for confounding effects or allow attribution of effects to project interventions must consider a more complex design that statistically controls for confounders and/or includes control groups for comparison. Controlling for confounders requires advanced statistical proficiency and including control groups is costly and logistically complex. Before pursuing more complex evaluations, an Awardee should consult their AOR.

#### *Comparability with Final Evaluation*

Awardees must implement a baseline survey in a way that a comparable survey is feasible as part of the project’s final evaluation. To ensure comparability, baseline and endline surveys should:

* Be implemented at the same time of year
* Use the same questionnaire and collect the same indicators in the same way

Factors that can compromise the comparability between pre- and post- results include:

* Changes in project coverage area over project lifetime
* Changes in indicators or indicator definitions between baseline and final evaluation
* Inadequate sample size at baseline or final evaluation or both

Sample sizes for the baseline and final evaluation surveys do not have to be identical. However, the sampling designs must be the same, and the samples must represent the same population for the surveys to be comparable.

#### *Baseline Survey Sampling*

For FFP baseline surveys, sample size should be sufficient to detect a six percentage point, statistically significant reduction in stunting among children less than five years of age between baseline and final evaluation surveys.

FFP requires sample sizes derived following the processes described in the [FANTA Sampling Guide and 2012 Addendum](http://www.fantaproject.org/sites/default/files/resources/Sampling-1999-Addendum-2012-ENG_0.pdf), using the following parameters:

* 95 percent confidence level for one tailed test
* 80 percent power
* 6 percentage point reduction in the prevalence of stunting
* Design effect of 2

The sample should be appropriately inflated to account for non-response among sampled households and the uneven distribution of children less than five years of age among households in the sample area. Survey implementers should refer to the Addendum to the FANTA Sampling Guide, 2012 for the latest guidance on sample size inflation.

To draw a representative sample, the third-party firm must use probability-based methods, where every unit in the population has a known, non-zero probability of selection and where selections are made using well-established random mechanisms such as Probability Proportional to Size Sampling (PPS) or SRS Simple Random Sampling (SRS). Sample frames should ideally include every cluster (e.g., village or community) in the FFP project implementation area. The third-party firm may be able to source information about the clusters from national census or DHS data.

To reduce logistical efforts and reduce cost, FFP recommends a baseline survey that uses multi-stage, cluster sampling. Recommended sampling stages are:

* First stage: random selection of clusters (e.g., villages, communities, or enumeration areas) from all clusters in the sampling frame using Probability Proportional to Size (PPS) sampling.
* Second stage: systematic selection of dwellings within clusters after canvassing and listing all dwellings in the sampled clusters. Methods, such as “random walk,” that do not qualify as probability-based methods are discouraged.
* Third stage: random selection of a single household within each selected dwelling.
* FFP advises against a fourth stage selection of individuals within households. Data should be collected for all eligible individuals in the selected household for indicators related to individuals (e.g. all children under five for stunting, all women of reproductive age for Women’s Dietary Diversity, etc.).

#### *Qualitative Components*

FFP does not require a qualitative component in the baseline study. However, an Awardee may propose a qualitative component for an Awardee-managed baseline study. When proposing a qualitative component, the Awardee should describe the purpose, methods and timing in the draft baseline study SOW that is submitted for AOR approval.

If a qualitative component is approved, the selection of the individual who will lead the qualitative work must be approved by the AOR, with advice from the responsible FFP M&E team member. The third-party firm must submit a plan for the qualitative component to the Awardee that includes the:

* Component design and sampling frame
* Site Selection and Sampling methods
* Inquiry Topical Outlines

The Awardee must submit the plan to the AOR for review and approval before the firm begins the qualitative work.

#### *Intellectual Property*

The SOW must clearly indicate the Awardee, USAID, and third-party firm’s rights to intellectual property produced under the baseline study. Unless otherwise provided in the award’s provisions, the Awardee may retain the rights, title and interest to data that is first acquired or produced under the award. In addition, the SOW should state the following: “USAID reserves a royalty-free, worldwide, nonexclusive, and irrevocable right to use, disclose, reproduce, prepare derivative works, distribute copies to the public, and perform publicly and display publicly, in any manner and for any purpose, and to have or permit others to do so.”

#### *Ethical Guidelines*

The SOW must clearly state that every member of the evaluation team must adhere to ethical guidelines as outlined in the [American Evaluation Association’s Guiding Principles for Evaluators](http://www.eval.org/p/cm/ld/fid%3D51). A summary of these guidelines is provided below.

1. *Systematic Inquiry*: Evaluators conduct systematic, data-based inquiries.
2. *Competence*: The evaluation team possesses the education, abilities, skills and experience appropriate to undertake the tasks proposed in the evaluation. Evaluators practice within the limits of their professional training and competence, and decline to conduct evaluations that fall substantially outside those limits. The evaluation team collectively demonstrates cultural competence.
3. *Integrity/Honesty:* Evaluators display honesty and integrity in their own behavior, and attempt to ensure the honesty and integrity of the entire evaluation process.
4. *Respect for People*: Evaluators respect the security, dignity and self-worth of respondents, project participants, clients, and other evaluation stakeholders. Evaluators regard informed consent for participation in evaluation and inform participants and clients about the scope and limits of confidentiality.
5. *Responsibilities for General and Public Welfare*: Evaluators articulate and take into account the diversity of general and public interests and values that may be related to the evaluation.

##### Baseline Survey Budget

FFP recommends a baseline survey budget in the range of $200,000 to $250,000. Typically, personnel comprise the largest part of the budget. In addition to enumerators, anthropometric measurement staff, supervisors, team leaders and data entry staff, a baseline survey will require a survey specialist, data analyst, anthropometric specialist, database developer and survey coordinator. The example provided in Table 2 provides some general guidance on developing a budget for the baseline. This budget is illustrative. Timing and costs will vary significantly according to context. FFP may accept costs outside the recommended range, with justification.

Table 2: Example of Baseline Survey Budget

|  |  |
| --- | --- |
| **Required technical expertise** | **Approximate level of involvement**  |
| Survey specialist with extensive experience and expertise in survey design, management and implementation  | Sixteen weeks |
| Data analyst to complement survey specialist’s skills  | Six weeks |
| Anthropometry specialist with practical experience in anthropometry measurements, training, standardization, supervision and guidance | Eight weeks |
| If using computer-assisted personal interviewing (CAPI), a CAPI programmer  | Five weeks |
| Database developer skilled in CSPro/MS Access/SPSS database or other database applications | Three weeks |
| Field operations manager to coordinate survey implementation and data entry, particularly with supervisors, anthropometry teams, headquarters, Government officials, Awardee staff, and data entry staff, and sub-contractor  | Twelve weeks |
| Qualitative researchers, if qualitative is planned, to carry out qualitative research, analyze qualitative information and draft sections of report | Eight weeks  |

# ANNEX - 2: Guidance to Develop Statements of Work for a Midterm Evaluation

Typical SOW components include:

1. Introduction
	* Overview
	* Project background
2. MTE Objectives
3. MTE Methods
	* Key Evaluation questions, focus areas, and illustrative methods
4. Contractor Responsibilities:
	* Deliverables
	* Pertinent permissions, approvals, insurance and other required permits.
	* Timeframe
	* Logistics
5. MTE Team Composition, Qualifications and Roles
6. Project Responsibilities
7. Intellectual Property
8. Ethical Guidelines

The process of developing a SOW to fit the design and needs of a specific project should be a cooperative activity involving USAID and the Awardee. While the Awardee is preparing background material and gathering input from implementing staff and collaborating partners, including the host government, the AOR will engage the relevant USAID Mission, FFP M&E team member, and FFP technical experts to collect input for objectives, key evaluation questions, and special requirements for the evaluation team, content or timing. Once the AOR and the Awardee have shared their requirements, an iterative process of refinement is expected until the AOR, with agreement from the responsible FFP M&E team member, approves the SOW that is acceptable to both the Awardee and USAID.

#### A. Introduction

The Introduction should outline the project objectives (including cross-cutting) and briefly describe the implementation setting, interventions, and factors that have significantly affected implementation so far. It should highlight new or unconventional approaches taken in the project’s implementation and particular concerns or interests of either the Awardee or USAID. The description should include a diagrammatic presentation of the project’s TOC or RF, with supportive narrative. Because the evaluation will focus on processes, this description must include key aspects of the project management and operations, including M&E.

The primary aims of a process evaluation are to assess how well the delivery of an intervention matches the original, approved plans and to identify factors that contribute to greater/lesser efficiency and quality of outputs and to the greater/lesser acceptance of the interventions by targeted communities.

The secondary purpose is to examine evidence of early changes in the target communities, both positive and negative, and compare them to the changes anticipated by the TOC or RF. The evaluation also should seek to identify the factors in the project’s implementation or context that appear to promote or impede the changes.

The SOW must include the following as stated objectives for the MTE:

1. To evaluate the strengths and weaknesses of project implementation and the quality of outputs, in terms of adherence to terms agreed by FFP and of their acceptability and perceived value to target communities, identifying factors that appear to enhance or detract from the quality, acceptability and usefulness of implementation and outputs.
2. To present evidence of changes (intended and unintended) associated with project interventions and outputs, assess how well the observed changes reflect the TOC or RF, and identify factors in the implementation or context that impede or promote the observed and intended changes.
3. To recommend adjustments to the TOC or RF, project design, resource allocation, project management, M&E Plan, or implementation that could improve the likelihood of achieving desired results by the project’s end – based on the evidence collected and conclusions drawn for the evaluation objectives above.

Additional objectives, specific to the project, may be added to address questions or concerns of the Awardees or USAID.

To accomplish Objective 1, evaluators should examine not only the technical interventions but also all other project implementation processes and approaches. For example, they must examine the internal project management of staff and resources, consortium management, internal and external communication and coordination, community participation, problem solving, the M&E system, and partnerships with other projects, among others. Measures taken to protect the local ecology, ensure gender integration, conform to FFP regulations, and avoid unintentional harm must be considered.

Regarding Objective 2, given the short period that a project has operated before an MTE, FFP does not anticipate that evaluators will find large or widespread changes in behavior and circumstances. Nevertheless, evaluators should look for evidence of whether and how members of target groups have changed their ideas, attitudes, intentions, or practices in any way since project initiation and seek to understand why some beneficiaries have started to apply learning from the project or use project outputs, while others have not. They should also observe the local ecology for signs of change. Based on what they find, they should consider the accuracy and relevance of the pathways and critical Assumptions of the project’s TOC or RF.

Note that, because the MTE is a process evaluation, in the MTE design and report, more time and emphasis should be devoted to Objective 1 than to Objective 2. The Awardee should emphasize this strongly in the SOW and to the evaluation team as they make their plans for the MTE.

#### C. MTE Methods

This section of the SOW should guide the evaluators’ choice of methods. A mixture of qualitative and quantitative methods is recommended. However, the SOW should specify that the collection of primary data should involve mostly qualitative methods, especially unstructured or semi-structured interviews and observation, and that a large scale quantitative survey to collect primary data is not expected.

To help orient applicants, the SOW may identify key stakeholder groups, e.g., various target groups and beneficiaries, implementing partners, government partners and other external collaborators, who should be included among MTE informants. The SOW should emphasize to the evaluators that informants must include individuals who live in targeted communities but have not directly benefited from any project intervention. The MTE team should seek non-beneficiaries’ perspectives to gather information necessary to assess intervention coverage of intended beneficiaries (looking both for evidence of inclusion and exclusion errors) and to get outsiders’ impressions of the interventions’ implementation and relevance. Also, learning about non-beneficiaries’ practices and changes during the project implementation period will help evaluators to distinguish which reported and observed changes might be associated with project interventions and which are related to general shifts in the context.

Generally, FFP will not support costs for a large-scale, population-based quantitative survey as part of MTE primary data collection. Under exceptional circumstances, an Awardee may request approval from the AOR and responsible FFP M&E team member for such a survey, but the request must include compelling justification for the expenditure. However, the evaluation team may use small-scale surveys to collect primary data to test a hypothesis, to capture beneficiary or non-beneficiary perceptions, or to cross-check local findings.

As part of the Methods section, the SOW should alert applicants to factors in the project context that could limit the use or effectiveness of certain methods or hinder investigation of certain topics, e.g., due to limited access, cultural practices, or seasonality.

The Methods section should reference a list and descriptions of secondary data resources that the Awardee will provide the MTE team (found in the Project Responsibilities section of the SOW) and indicate how far in advance of primary data collection the resources will be available to the team. These resources should include documentation describing the project’s M&E processes, including monitoring data bases; all reports from formative research, gender analysis, barrier analyses, and other special studies; and the data sets, analyses and results of beneficiary surveys.

The Methods section should describe expectations and requirements for in-country review and validation of the evidence collected by the team with various stakeholders, including USAID, before drafting their report.

#### *Key Evaluation Questions, Focus Areas, and Illustrative Methods of Investigation*

All MTEs for FFP-funded projects should use the following five categories of key evaluation questions to guide the inquiry for the required Objectives (See part B, above):

For Objective 1:

1. *How well have the project’s interventions met planned schedules, beneficiary numbers, and outputs? What factors promoted or inhibited adherence to schedules? How were problems and challenges managed?*

For this first question, the evaluators may use secondary data from the project proposal, Detailed Implementation Plans, intervention reports and other project resources to compare plans to actual start dates and achievement of outputs. To understand promoting and inhibiting factors, the evaluators can interview members from various stakeholder groups and compare and contrast achievements across different intervention sites, beneficiary groups, implementing partners, administrative units, geographic regions, etc.

1. *What are the strengths of and challenges to the overall project design, implementation, management, communication and collaboration so far? What factors appear to promote or challenge the project operations or effective collaboration and cooperation among the various stakeholders?*

The SOW should emphasize that, as MTE team members identify the strengths and challenges in the ways the project is being managed or monitored at different locations or the way information is communicated among different stakeholders, they should investigate why. Investigation may involve review of project records that describe the design and results of processes; primary data collection at purposively sampled sites implemented by different agencies, supervised by different individuals, collaborating with different partners, or showing greater and lesser performance; and interviews with a variety of stakeholders, including staff at various levels; direct, indirect, and non-beneficiaries in targeted communities; community leaders; project collaborators; USAID Mission staff and others.

1. *In each technical sector, what are the strengths of and challenges to the efficiency of interventions’ implementation and their acceptance in the target communities? How well do implementation processes adhere to underlying principles and project protocols? What factors in the implementation and context are associated with greater/lesser efficiency in producing outputs of higher/lower quality? Which interventions and implementation processes are more or less acceptable to members of the target communities and why?*

To answer these questions, the technical experts must examine the technical quality of interventions and outputs; consider how well they meet national and international standards of good practice and match the priorities and contexts of the target communities; assess the level of satisfaction of beneficiaries with implementation methods, timing, location, etc.; assess environmental compliance and gender integration; and consider how well the sector is integrated with the project’s other sectors.

In addition to a review of records and M&E data provided by the project, answering these questions will require direct observation at a purposively selected sample of intervention sites and outputs and discussions with members of a variety of stakeholder groups, including direct, indirect and non-beneficiaries in targeted communities, local sectoral experts, and implementing staff.

For Objective 2:

1. *What changes do community members and other stakeholders associate with the project’s interventions? What factors appear to promote and deter the changes? How do the changes correspond to those hypothesized by the project’s TOC or RF?*

By the time of an MTE, there should be early signs of change apparent, especially among individuals and households who directly benefit from project interventions. ARRs and routine monitoring reports and data will be helpful in assessing quantitative outputs and some outcomes, but the evaluators must observe and talk with community members, project staff, local leaders, and other stakeholders to gain perspectives about emerging changes and related factors. For example:

* Changes in practices, attitudes, and knowledge that individuals have made themselves or observed in others
* Changes that have occurred in the ecologic, social or household environment (e.g., reduced erosion, better pasture condition, change in market prices or terms of trade between livestock and staple goods, reduced flooding of residences)

As they investigate, to understand factors affecting change, the evaluators should be alert to:

* Characteristics of individuals, communities and implementation where changes have advanced at different rates
* Reported barriers to changes intended by the project
* Evidence of potential harm from project activities
* Conditions that have or would likely promote or discourage continuation of observed changes

For Objective 3:

1. *Based on the findings from 1-4, above, how could the project be modified to improve its acceptability to targeted communities or the efficiency and effectiveness of its implementation? How should the project’s TOC or RF be refined or modified?*

After analyzing the evidence collected to answer the other evaluation questions, the MTE team should form conclusions and recommend and prioritize concrete actions to help improve project implementation during the remaining project years. Conclusions should consider both strengths of and challenges to implementation. When prioritizing the recommended actions the evaluation team should consider the beneficiaries’ priorities; the cost, feasibility and benefits of action; and the potential to advance the project’s ultimate Purposes and Goal during the remaining implementation period.

In addition to presenting these questions, the SOW should include (probably in annex) a matrix that identifies more detailed areas of focus for each question, aspects to consider within each focus area, and illustrative methods for investigation. An example of such a matrix is presented in Section 2.9.5. This matrix should be tailored to the details and concerns of each project. The Awardee and USAID should use this matrix to clearly communicate to the evaluators the general and specific features and components of the project implementation that should be investigated and the level of detail that is desired. It should highlight areas of concern and optimism as well as new or different approaches that were implemented in the project.

#### D. Contractor Responsibilities

##### Deliverables

This section should itemize all of the deliverables required from the evaluation team. This list must include the draft and final MTE plan, draft and final MTE reports, an executive summary of the final MTE report, presentations for specified audiences (including USAID), primary data sets, data collection instruments (English and all translations), descriptions of data analyses and results, lists of sites visited with types and numbers of informants at each, and transcripts of interviews and discussions.

This section may detail specific requirements for the content, format or length of the final report. It must specify that USAID’s evaluation policy requires that the strengths and limitations of the evaluation methods and how these may have influenced the findings must be included in the report.

The SOW should specify that: the report must clearly separate evidence collected by the evaluation team from the conclusions and recommendations based on the evidence in different sections of the report, sources of all evidence must be identified, conclusions must be based only on evidence presented in the report, and recommendations must directly correspond to the conclusions.

After the MTE is complete, the contractor/firm will submit a draft report to the Awardee for comment by the Awardee and USAID. After responding to the comments, the contractor will submit the final report for approval by the Awardee and FFP. The final report must adhere to the requirements in USAID’s Evaluation. Once approved by the AOR, the firm must submit the report, supporting documents and related data sets to the Awardee in time for submission to FFP and the DEC within 30 days (see Section 2.10).

##### Pertinent Permissions, Approvals, Insurance, and Other Required Permits

This section should indicate that the MTE team will be responsible for obtaining all necessary permissions, approvals, insurance, and other required permits and adhering to national and local formalities. These include required permits related to data collection from human subjects, including necessary internal review board (IRB) approvals, and health and accident insurance for MTE team members.

##### Timeframe

This section should identify the data collection period for the MTE, as agreed by the Awardee and FFP (see Section 2.9.1) and provide an illustrative time allocation for the various stages of the evaluation. This will help USAID, the Awardee and MTE team to estimate the financial resources needed for the evaluation. The time allocation should consider the number of team members and the accessibility of intervention sites. The SOW should also specifically state that the timeframe provided is illustrative and subject to adjustment until the MTE work plan is finalized and approved by the Awardee and USAID.

##### Logistics

Generally speaking, the MTE team will be responsible for the evaluation logistics. To avoid compromising project implementation during the MTE and to maintain a separation between the MTE team and the implementers, project vehicles and other vehicles branded to identify them with the Awardee or any of the implementing partners may not be used by the MTE team while they are in the project area.

#### E. MTE Team Composition, Qualifications, and Roles

The MTE team will typically consist of a Team Leader who is an evaluation specialist plus three to five technical specialists who bring expertise and practical experience in one or more of the project’s technical sectors and interventions in addition to strong qualitative research skills and experience. The team may include a data analyst experienced in analyzing and relating data across various technical sectors.

##### MTE Team Members’ Qualifications

The SOW should identify the following minimum requirements for MTE team members’ qualifications:

* *Every team member’s* resume must show substantial application of qualitative research skills in developing countries.
* The *Team Leader* must have significant formal education in a field relevant to evaluation (e.g., program evaluation, statistics, anthropology, applied research, organizational development, sociology, or organizational change) at a post-graduate or an evaluation professional continuing-education level.
* The *Team Leader* must have extensive experience in evaluation using mixed methods of investigation (qualitative and quantitative) in developing countries. Knowledge in the conceptual framework of food security and experience evaluating food security programming is highly desirable.
* Each *Technical Specialist* should have a post-graduate degree in a field related to at least one of the technical sectors of the project, plus extensive practical experience in developing countries with interventions similar to those implemented by the project.
* The *MTE Team* should comprise technical expertise from all project sectors and project management.
* No member of the *MTE Team* should have had any prior input to the project’s design or implementation.

##### MTE Team Members’ Roles

The SOW should describe each team member’s role in the evaluation, as follows:

*Team Leader:*

* Organize and lead the overall evaluation
* Ensure a thorough review and analysis of project monitoring data and other available secondary data by the appropriate team member(s)
* Lead the selection of a purposively-selected sample of implementation sites and outputs for primary data collection
* Ensure an MTE plan that includes adequate triangulation and validation of evidence collected in all sectors
* Lead the collection and analyses of primary and secondary data to evaluate the project’s M&E processes and the integration of project sectors and interventions
* Ensure that 1) final report presentation is logical and presented in a way that clearly separates the evidence collected, conclusions, and recommendations in different sections of the report, and 2) all evidence, conclusions and recommendations are based on the evidence presented in the report
* Liaise, on the part of the MTE team, with the Awardee and USAID
* Serve as a Technical Specialist for specified sector (optional)

*Technical Specialists:*

* Lead the collection and analyses of primary and secondary technical data related to his/her field(s) of expertise, document findings, draw conclusions and form recommendations for the sector(s)
* Evaluate the general aspects of the implementation of all interventions related to his/her sector(s). While the Team Leader will likely be tasked as the primary investigator for the project management overall, the technical specialists must consider management aspects of the implementation of interventions in their technical sector and the interaction between their technical sector and other project sectors by examining:
* Staff and material resources
* Communication – internal and external
* Community involvement
* Beneficiary targeting (especially overlap/consistency with other sectors)
* Management of food and non-food commodities
* Transfers of entitlements (food, non-food, cash)
* Branding
* Partnerships and linkages
* Consortium management
* Routine monitoring & evaluation for all interventions
* Exit/Sustainability strategies
* Gender integration
* Environmental protection
* Draft the report sections assigned by the Team Leader in the specified format

#### F. Project Responsibilities

This section should describe how the Awardee will or will not support the MTE team during the evaluation process.

##### Provision of Secondary Data

This section of the SOW should list the resources that the Awardee will supply the team and the date when each will be available to the evaluators. To enable adequate time for secondary data analyses, the Awardees’ staff should assemble maps, documents, databases and other resources for the evaluators’ use and deliver these to the evaluators at least two months before the start of primary data collection so that the MTE team members can accomplish the review before arriving at the project site. The contract should include at least two to four weeks of paid time during this period for each team member to review the secondary data. FFP recommends that Awardees collect and archive these materials throughout the life of the project rather than waiting until the evaluation time approaches. This should be part of the M&E Plan.

An illustrative list of resources that would be useful and should be available to the evaluators includes:

* Lists of intervention sites, identifying the type(s) of interventions at each location, with start dates of implementation, numbers of direct and indirect beneficiaries, quantities of commodities distributed, etc., for each type. (This list should include locations of all community assets developed or rehabilitated using project resources, including those still in process of development or rehabilitation.)
* Food, voucher, cash, and non-food item distribution reports that include location of distribution; type of distribution; and planned and actual quantities, ration sizes, timing of distributions
* Locations of all warehouses and identification of the managing organization, with uses and storage capacities
* Project commodity management tools and reports
* Maps showing the project area with administrative boundaries, roads, markets, food distribution points, intervention sites, partner offices, lodging, livelihood or ecologic zones, etc.
* Approved project proposal narrative and relevant attachments with documentation of approved modifications
* Inception report
* Baseline study report and reports from all research conducted for the project’s benefit (e.g., formative research, barrier analyses, gender analyses, and market analyses)
* A current organogram of project staff (with names and phone numbers for incumbents and notation of vacancies) showing partner organization and supervision/management lines
* Intervention implementation protocols and guidelines and identification of project staff who use each
* Descriptions, dates and numbers of beneficiaries of capacity building activities for project staff and project beneficiaries (individuals, groups, and communities)
* Complete M&E Plan, including monitoring tools, manuals and reports
* Examples and lists of recipients of all types of M&E reports
* Project monitoring data bases
* Descriptions of the nature (e.g., format, location) and contents (e.g., type of data, period of collection) of the various data sets that the Awardee will provide for the evaluation
* Exit strategy and sustainability plan
* Environmental Mitigation and Monitoring Plan (EMMP) and all related reports
* All ARRs
* All PREPs

##### Logistical and Administrative Advice and Support

This section should clarify what logistical administrative support the Awardee will provide and what the MTE team is expected to manage. For example, the Awardee may:

* Arrange meetings between the evaluation team and USAID, at a minimum at the beginning and end of the evaluation process
* Provide contact details for key partners’ staff
* Provide administrative support: communication, photocopying, printing, etc.
* Advise about local protocols and permissions to gain entry to operational areas
* Provide advice and support related to travel (international travel, local vehicles and drivers for hire)
* Identify local firms with potential to provide technical expertise, including translation, to the MTE team (Note: The Awardee may not interact with the firm on the MTE team’s behalf, discuss the evaluation with the firm prior to contracting, nor contract the local firm.)

#### G. Intellectual Property

The SOW must clearly indicate the Awardee, USAID, and third-party firm’s rights to intellectual property produced under the baseline study. Unless otherwise provided in the award’s provisions, the Awardee may retain the rights, title and interest to data that is first acquired or produced under the award. In addition, the SOW should state the following: “USAID reserves a royalty-free, worldwide, nonexclusive, and irrevocable right to use, disclose, reproduce, prepare derivative works, distribute copies to the public, and perform publicly and display publicly, in any manner and for any purpose, and to have or permit others to do so.”

#### H. Ethical Guidelines

The SOW must clearly state that every member of the evaluation team must adhere to ethical guidelines as outlined in the [American Evaluation Association’s Guiding Principles for Evaluators](http://www.eval.org/p/cm/ld/fid%3D51). A summary of these guidelines is provided below.

* *Systematic Inquiry*: Evaluators conduct systematic, data-based inquiries.
* *Competence*: The evaluation team possesses the education, abilities, skills and experience appropriate to undertake the tasks proposed in the evaluation. Evaluators practice within the limits of their professional training and competence, and decline to conduct evaluations that fall substantially outside those limits. The evaluation team collectively demonstrates cultural competence.
* *Integrity/Honesty:* Evaluators display honesty and integrity in their own behavior, and attempt to ensure the honesty and integrity of the entire evaluation process.
* *Respect for People*: Evaluators respect the security, dignity and self-worth of respondents, project participants, clients, and other evaluation stakeholders. Evaluators regard informed consent for participation in evaluation and inform participants and clients about the scope and limits of confidentiality.
* *Responsibilities for General and Public Welfare*: Evaluators articulate and take into account the diversity of general and public interests and values that may be related to the evaluation.

# ANNEX - 3: Matrix to Guide MTE Investigation to Key Evaluation Questions

| **Areas of focus** | **Aspects to consider** | **Illustrative methods of investigation/evaluation** |
| --- | --- | --- |
| 1. **How well have the project’s interventions met planned schedules, beneficiary numbers, and outputs? What factors promoted or inhibited adherence to schedules? How were problems and challenges managed?**
 |
| Adherence to planned schedules | * Start dates and rates of expansion of coverage for each intervention
* Numbers and timeliness of planned beneficiaries and outputs, e.g.,:
* Formative research/barrier analyses/gender analysis
* Various types of direct trainings
* Indirect training through trainees, e.g., farmer to farmer, cascades, etc.
* Formation of or connections with community groups
* Construction or rehabilitation of assets
* Development and progress of community action plans
* Distribution of cash and goods
 | * Use secondary data from routine monitoring, ARRs and other reports to compare planned and actual start dates, numbers of outputs and other targets, noting differences in achievements according to location, implementing partner, or sector.
* Compare across locations, beneficiary groups, project administrative unites, etc. to identify factors associated with differing degrees of achievement.
* Interview members of project staff at various levels about factors that delayed or interrupted interventions and outputs, and how problems were identified and managed.
* Ask groups and individuals from different stakeholder groups at locations of greater and lesser achievements about factors they believed inhibited or promoted efficiency and efforts have been made to overcome barriers.
 |
| 1. **What are the strengths of and challenges to the overall project design, implementation, management, communication and collaboration so far? What factors appear to promote or challenge the project operations or effective collaboration and cooperation among the various stakeholders?**
 |
| Project Management | * Strengths/weaknesses of the project work plan and schedule
* Evidence that management has explored and implemented new/innovative ideas and approaches
* Changes and challenges in the operating context and how management responded
 | * Review the project work plan and schedule to assess how completely and clearly it defines the work needed to meet objectives, when and by whom. Is the schedule feasible?
* Examine the roles of the different implementing partners and how the plan promotes good collaboration among them and leverages partners’ relative advantages.
* Interview members of management about outcomes of work plan reviews and how they handled changes and challenges that presented.
* Ask implementing staff in different roles how feedback and ideas are solicited and shared within and among partners, especially among field, country office, and headquarters.
 |
| Staffing | * Adequacy of numbers and capacities (knowledge, experience) from beginning of the project until present
* Strengths/weaknesses of supervision and support to assure accountability, performance, and confidence among implementing staff
* In/adequacy of resources (tools, work space, transportation, communication, information, work aids) to support interventions’ efficient performance at all times from start to current time
* Gender sensitivity and balance at various levels of authority
 | * Review the characteristics and capacities of staff at all levels in all sectors, and assess their confidence and capacities to perform assigned tasks.
* Review training and supervision schedules for monitoring and supporting implementing staff, including an assessment of the numbers of people and sites per supervisor.
* Interview a sample of field staff and supervisors in different sectors/interventions and at different levels about:
* Factors that affect their performance and motivation
* Sources of dis/satisfaction with resources, training, supervision, support from technical experts
* Their roles in decisions about intervention design and implementation
* Training they received
 |
| Community engagement and participation  | * Strengths/weaknesses of the ways the project has included community members, including vulnerable or marginalized members, in decisions about intervention choices, design, implementation, and monitoring
* Community members’ perceptions about their participation in the project and the degree and nature of their engagement with project staff
* Use of incentives of different types
* Safeguards against exploitation and discrimination
 | * Interview groups and individuals from different stakeholder groups about:
* Who has been involved in the project and how?
* Who else would have liked to be involved, and how?
* Dis/satisfactions with the way project staff and community members engaged
* Reports of or potential for exploitation or discrimination by implementing staff or with project resources.
* Interview volunteers who contribute significant amounts of unpaid time to project-supported interventions to learn what motivates their participation and performance.
 |
| Cultural acceptability | * Implementation methods: type, timing, style
* Interactions between implementing staff and community members
* Messages and methods/timing of communication
* Outputs
 | * Interview members of target communities, government counterpart agencies, and field staff to assess perceptions and attitudes about the choice, implementation, and outputs of interventions.
* How well do the interventions address perceived needs?
* What aspects do they dis/like?
* How would they prefer things to be done?
 |
| Communication | * Quality and timeliness of communications of vision, objectives, plans, implementation guidelines, and other project information among project staff, partners, government counterparts and communities
* Knowledge in various stakeholder groups about the project
* Strengths/weaknesses of the ways the project encourages and handles feedback from community members, staff and partners
 | * Interview members of implementing partners, communities, government counterparts, and other stakeholder groups to assess:
* Knowledge of objectives, interventions and implementation, intervention duration, eligibility, outputs, and entitlement transfers
* How/when they learned about project objectives and interventions
* Frequency and content of communications with other types of stakeholders
* Dis/satisfaction with ways feedback is received and responded to
 |
| Partnerships and Linkages | * Consider collaboration/links with:
* Other USAID projects
* Government activities
* Community-based organizations (CBOs)
* Other complementary activities in the project area
* Strengths/weaknesses of coordination within the project and between the project and other projects and agencies
* Factors that make partnerships more/less beneficial to the project implementation
 | * Interview implementing staff, government counterparts, members of CBOs and staff of linked/collaborating projects about:
* The nature and sources of dis/satisfaction with their collaboration and ways that it could be improved
* How they feel their cooperation benefits the implementation and results on both sides
* Other projects, agencies, groups that are doing similar or complementary work to which the project is not linked
* Review samples of project’s MOUs with collaborators
 |
| Financial management | * Financial accountability
* Sufficiency of finances to assure good project implementation
* Flexibility of the budget to respond to changing conditions
 | * Review financial records
* Interview managers about:
* The adequacy of finances and effects of financial constraints on project implementation
* Perceived limits of financial flexibility to respond to change
 |
| Branding | * Compliance with USAID policy
* Knowledge and attitudes toward donor and implementers within target communities
 | * Assess how well planned and actual actions do/do not comply with USAID branding requirements.
* Interview beneficiaries and community leaders about their knowledge of and attitudes toward USAID and implementing partner agencies.
 |
| Monitoring & Evaluation | * Completeness and clarity of the documented M&E plan
* Ways the system:
* Collects data useful to monitor the quality and outputs of processes
* Solicits and reports opinions, ideas and concerns from field staff
* Provides constructive feedback to implementing staff to inform, assist, assure accountability and motivate good performance
* Assures accurate reporting to USAID
* Supports timely problem-solving and decision making for all stakeholders
* Assures data quality: validity, reliability, timeliness, integrity and precision
* Has been used to adjust implementation
* Is or is not supported by the institutional structures
* Monitors environmental impact
* Monitors gender equity
* The strengths/weaknesses of data collection methods
* The roles of data bases in monitoring, analysis and report generation
* Challenges the M&E team faces
 | * Critically review the M&E plan and systems: staffing, processes, and outputs.
* Interview staff in various roles in the collection, analysis and reporting of routine monitoring about their activities and roles, to determine their understanding and confidence in the data collected, and challenges they face getting or using the data.
* Interview recipients of reports and other outputs about how they use the information they receive, which information is most useful, the timeliness of the information, and any other information they would like to have.
* Interview key decision makers about the timeliness and usefulness of the data from the M&E system.
 |
| Environmental Compliance | * Adherence to the Environmental Mitigation and Management Plan (EMMP)
* Adequacy of the EMMP
* Recognition/avoidance of unforeseen damage
 | * Examine how well planned and actual actions and outputs do/do not comply with the project’s EMMP.
* Interview technical experts, implementing staff and other key informants about project interventions’ apparent or potential threats to the environment and identify those not addressed by the EMMP and how well the project implementation has addressed these threats.
 |
| Commodity management | * Division of roles and cooperation among project staff, external partners and community members
* Common causes of delivery delays and commodity losses
* Adequacy of mechanisms to safeguard against loss or abuse
* Quality and cleanliness of storage facilities
* Completeness and clarity of commodity records and reports
 | * Review processes and records related to tracking, management, and delivery of commodities to points of use or distribution: identify challenges and measures taken to address them.
* Inspect warehouses and storerooms of various sizes and managed by different entities.
* Interview people involved in the resource management about what is and is not working well, why, and how problems have been addressed.
 |
| Exit Strategy/ Sustainability | * The comprehensiveness of the exit/sustainability strategy
* Factors that threaten the continuation of targeted practices and services and the maintenance of new infrastructure
* Progress in implementing the strategy
* Ways the project is strengthening or establishing links between communities and private or public financial or technical resources
 | * Critically review the exit/sustainability strategy and progress in its implementation in light of the findings related to the challenges to practices promoted by and threats to infrastructure developed by the project.
* Interview key informants and beneficiaries about threats and promoters of targeted practices and infrastructure.
 |
| 1. **In each technical sector, what are the strengths of and challenges to the efficiency of interventions’ implementation and their acceptance in the target communities? How well do implementation processes adhere to underlying principles and project protocols? What factors in the implementation and context are associated with greater/lesser efficiency in producing outputs of higher/lower quality? Which interventions and implementation processes are more or less acceptable to members of the target communities and why?**
 |
| * Agricultural production
* Food/Cash for Work
* Income Generation
* Health & Nutrition
* Behavior Change Communication
* Water, Sanitation, and Hygiene (WASH)
* Savings & Loans
* Direct & Indirect training
* Women’s Empowerment & Promotion of Gender Equity
* Prevention of Gender Based Violence
* Natural Resource Management
* Early Warning Systems and Disaster Risk Reduction
 | * Application of findings from formative research and analyses to implementation
* Technical quality of project inputs and outputs
* Strengths/weaknesses of how the various interventions engage target groups and protect against unintentional harm
* Selection of direct beneficiaries; coverage of target groups
* Perceptions of quality, appropriateness and use of distributed goods and promoted services
* Composition, activities and governance of groups created or promoted by the project
* Networks and connections facilitated by the project
* Collaboration with and support to relevant government service providers
* Cultural acceptability and relevance of intervention methods and messages
* Consistency of content and recipients’ understanding of similar messages received via different pathways
* Strengths/weaknesses of measures taken to assure gender equity with regard to access to, participation in, and benefit from project interventions
* Strengths/weaknesses of linkages, coordination and integration among the different sectoral and cross-cutting components
* The validity and comprehensiveness of assumptions in the project’s TOC that are critical to intervention implementation and outputs
 | * Review formative research and evaluate how well implementation does or does not apply the findings.
* Observe interventions and talk with implementing staff and direct beneficiaries about:
* What interventions are more/less effective
* What/how could interventions be improved
* Which interventions are more/less interesting or useful
* Who benefits; who should benefit; how beneficiaries are selected
* Opportunity costs of participation in interventions
* Knowledge and understanding of key project messages
* Talk with non-beneficiaries from the same communities about:
* Which interventions are more/less interesting or seem more/less useful
* Who benefits; who should benefit; how beneficiaries are selected
* Perceptions about the benefits they could gain with participation in interventions
* Compare/contrast men’s and women’s participation and perceptions.
* Inspect the technical quality of community and household infrastructure and natural resources to which the project contributed.
* Examine the composition of the various groups created or supported by the project: who in the community did or did not join. Why or why not? How is the gender balance? Are marginalized groups represented?
* Talk with members of groups formed or promoted by the project about:
* How the group was formed; level of satisfaction with group composition
* Challenges/successes working as a group
* Nature and adequacy of support from program
* How and why the group chooses interventions
* How members’ other roles in the community affect their participation in the group
* Examine beneficiary records to assess the proportion of households and communities benefit from multiple sectors in different combinations.
* Talk with program staff to understand who was targeted for multiple sectors and why.
* Interview members of households benefiting from interventions in single and multiple program sectors about their participation; Compare characteristics of those who benefit from one vs multiple sectors.
* Review messages on similar topics transmitted through different pathways for consistency and clarity.
* Compare the understanding of the key messages of trainers and direct and indirect trainees.
* Interview staff members about their interactions with staff working in other sectors, especially regarding site and beneficiary selection and developing messages to beneficiaries.
* Interview members of various types of groups initiated by the project about: e.g., making decisions, managing joint resources, sharing information & experiences.
 |
| 1. **What changes do community members and other stakeholders associate with the project’s interventions? What factors appear to promote and deter the changes? How do the changes correspond to those hypothesized by the project’s TOC?**
 |
| Changes observed or reported | * The project’s TOC or RF
* Intended and unintended change
* Positive and negative change
* Differential change among beneficiaries (individual, community) of one sector, beneficiaries of multiple sectors, and non-beneficiaries
* Perceived benefits of participation in interventions from multiple sectors vs a single sector
* Perceived trajectory of change and conditions that threaten or promote sustained change
* Changes in conditions related to assumptions
 | * Interview community members (beneficiaries of one or more sectors and non-beneficiaries) and project staff to gain perspectives about:
* Changes they have made themselves, observed in others, or observe in the social, economic or physical environment
* Factors that promoted the changes
* Barriers to changes intended by the project
* Conditions that promote or threaten sustained change
* Technically evaluate how strategically selected infrastructural outputs affect or can affect livelihoods, well-being, or environmental conditions.
 |
| 1. **Based on the findings from 1-4, above, how could the project be modified to improve its acceptability to targeted communities or the efficiency and effectiveness of its implementation? How should the project’s TOC or RF be refined or modified?**
 |
| Based on findings from 1-4 above | * Observed/perceived strengths and weaknesses of the implementation so far
* Factors in the design, implementation and context that affect the efficiency or acceptability of the processes, outputs and immediate outcomes
* Targeted communities’ and individuals’ perceptions and priorities
* Relative cost/feasibility and anticipated value of acting and benefiting within the life of the project
* Potential to advance the project’s ultimate objectives and goal
 | * Use the results of inquiries to the questions above to form conclusions and recommend concrete actions to help improve project performance and final results.
* Prioritize the recommendations and identify the actor(s), the purpose for change and anticipated benefits. All recommendations should be directly related to stated conclusions and based on evidence presented as findings.
 |

# ANNEX - 4: IPTT Template

|  |
| --- |
| **FFP Indicator Performance Tracking Table (IPTT) Template** |
| **Purpose** |
| The Indicator Performance Tracking Table (IPTT) is FFP awardees’ primary tool to track, document, and display performance indicator data. FFP awardees will use IPTTs to internally track and monitor indicator target achievement and to report to FFP. At the end of each fiscal year, awardees must submit an IPTT as part of Annual Results Reports (ARR) submission into the FFPMIS. IPTTs must be prepared using the FFP IPTT template. They must include all required FFP and USAID Mission impact, outcome, and output-level indicators. They should also include all custom impact and outcome indicators (i.e., project-specific indicators). FFP does not require awardees to Include all output indicators into the IPTT. Awardee and FFP M&E Specialist should jointly agree on a sub set of output indicators that should be included into the IPTT. IPTTs must be organized to mirror the program’s LogFrame structure (i.e., contain the same title headings and organizational flow) and must include at least one indicator to measure each LogFrame component. Please provide only the information requested in the manner requested, and do not modify or insert additional information without consulting the AOR.  |
| **Submission** |
| Awardees should upload their IPTT into FFPMIS no later than 12:00 p.m. Eastern Standard Time on the third Monday in October or within 90 days of the date of program expiration (whichever comes first). Within approximately two weeks of submission, awardees will be notified if components are missing, incomplete, or inaccurate. The awardee will then be asked to revise and quickly resubmit the IPTT.  |
| **Applicable Programs** |
| All currently active FFP projects must submit an IPTT. Submission of an IPTT is required each fiscal year (FY), even if the food aid program began late or expired early in the fiscal year being reported on and therefore, has implemented few award activities or achieved few results. The only exception is awardees implementing food aid programs through the International Food Relief Partnership (IFRP).  |
| **Formatting Issues and Input** |
| Please do not reformat the IPTT template or its contents, i.e., insert or delete rows or columns, change font sizes or print parameters, etc. The only exception is the insertion of additional rows to provide information on indicator disaggregates. Please do not save the IPTT template in a different format such as .pdf. FFP needs to receive the IPTT in the Excel format provided.  |
| **Questions** |
| Questions directly related to the IPTT should be directed to the respective FFP AOR staff member.  |
| **IPTT Template Instructions** |
| **General Instructions** |
| Awardees must fill in the Baseline Final Indicators Tab and the Annual Monitoring Indicators Tab. Note that both Tabs are organized to mirror the structure of a Logframe, with placeholders for project goals, purposes, and sub-purposes. The Baseline Final Indicators tab contains placeholders for goals, purposes, and sub-purposes. The Annual Monitoring Indicators Tab contains placeholders only for purposes and sub-purposes, as goal level indicators are not collected annually. Awardees should fill in the goal, purpose, and sub-purpose rows with actual project goal, purpose, and sub-purpose headings. If the number of purposes and sub-purposes exceeds the allotted space within the template, insert new rows using the formatting provided in the template. Similarly, if the number of indicators exceeds the space provided in the template, awardees may insert additional rows in the template. Note that the organization and titles of project goals, purposes, and sub-purposes must match the project's LogFrame.  |

|  |
| --- |
| **Baseline Final Indicators Tab** |
| Awardees must use the Baseline\_Final\_Indicators tab to provide information on their baseline and final evaluation indicators, which will be collected at the project's start and conclusion through population-based household surveys. Awardees must include all baseline and final evaluation indicators in the template. This includes FFP, Mission, and custom indicators. Baseline and final evaluation indicators will consist of impact and outcome level indicators only. No output level indicators should be included. |
| **Indicator Number:** For ease of reference, all indicators in the IPTT must be numbered in the order in which they appear in the IPTT. Mark the first baseline/final evaluation indicator as 1, the second as 2, and so on, until all indicators have been assigned a number.  |
| **Source:** Indicate whether the indicator is an FFP (FFP), Mission (M), or custom (C) indicator. If an indicator is required by both FFP and the Mission, mark it as both. |
| **Indicator:**  Enter the indicator title. For FFP and Mission indicators, indicator titles must be entered exactly as they appear on the FFP and/or Mission list. No substitutions or modifications will be accepted. If the indicator has disaggregations, enter a new row for each disaggregate after the row containing the indicator title. Baseline values, target values, and actual values must be provided for each disaggregate.  |
| **Desired Direction of Change (+/-):** Indicate whether the desired direction of change for the indicator is positive (+) or negative (-). For example, the desired direction of change for stunting is negative (i.e., a successful project will reduce stunting), while for Average Household Dietary Diversity Score, the desired direction of change is positive (a successful project will increase household dietary diversity).  |
| **Baseline Value:** Enter the baseline value for the indicator. At the submission of the initial IPTT, no information is required in this cell. After the baseline study has been completed, the actual baseline value must be entered.  |
| **Target Value:** Enter the target value for the end of the project. At submission of the initial IPTT, this estimate should be presented as the anticipated percentage point change from the baseline estimates. Once the actual baseline figures have been obtained (after baseline study completion), these estimates must be replaced with more robust targets presented as actual numbers and percentages. |
| **Target Change Comment:** Use this column to enter any information on all approved baseline final indicator target value changes. The awardee should include the old target, justification for the change to the new target value and the date the approval was received from the AOR.Note: *The target change comments column that comes after the Target Value is hidden. To view this column ; you can select visible columns that surround the hidden column (i.e., Final Evaluation Target Value and Final Evaluation Actual Value), right-click and then click Unhide. The target change comment column for final evaluation will then become visible. The column should be hidden for all years other than the reporting year .* |
| **Actual Value:** After final evaluation results have been obtained, enter final indicator values in this column.  |
| **% of Target Achieved:** Once values have been entered for the indicator target and the actual value at final evaluation, calculate the percentage of the target that has been achieved and provide that information in this column.  |
| **Change in Target Value Comment:** Use this column to enter any supplementary information that may help in interpreting the indicator definition or results . Where the difference between the target and the actual percentage achieved differs by more than 10%, projects must enter a deviation narrative explaining why. |

|  |
| --- |
| **Annual Monitoring Indicators Tab** |
| Awardees must use the Annual Monitoring Indicators tab to provide information for annual monitoring indicators that will be reported to FFP. This includes all FFP and Mission required annual monitoring indicators, as well as any custom annual monitoring indicators that will be reported to FFP. Annual monitoring indicators will consist of outcome and output level indicators only. No impact level indicators should be included. |
| **Indicator Number**: For ease of reference, all indicators in the IPTT must be numbered in the order in which they appear in the IPTT. Mark the first annual monitoring indicator as 1, the second as 2, and so on, until all indicators have been assigned a number.  |
| **Source:** Indicate whether the indicator is an FFP (FFP), Mission (M), or custom (C) indicator. If an indicator is required by both FFP and the Mission, mark it as both. |
| **Indicator:** Enter the indicator title. For FFP and Mission indicators, indicator titles must be entered exactly as they appear on the FFP and/or Mission list. No substitutions or modifications will be accepted. If the indicator has disaggregations, enter a new row for each disaggregate after the row containing the indicator title. Base values, fiscal year targets, and fiscal year actual values must be provided for each disaggregate.  |
| **Data Collection Method:** Indicate how data will be collected for the indicator. This may include beneficiary records, beneficiary surveys, or other appropriate methods or tools for annual data collection. Note that FFP does not consider Lot Quality Assurance Sampling (LQAS) an acceptable method to collect annual indicator data.  |
| **Desired Direction of Change (+/-): Indicate** whether the desired direction of change for the indicator is positive (+) or negative (-). For example, the desired direction of change for diarrhea prevalence is negative (i.e., a successful project will reduce diarrhea prevalence), but the desired direction of change in the percentage of farmers who apply an improved technique is positive (a successful project will promote adoption of the technique among a larger proportion of farmers). |
| **Cumulative (C) or Non-Cumulative (NC):** Indicate whether the indicator is cumulative ("C") or non-cumulative ("NC"). An outcome indicator is cumulative if it measures among all beneficiaries from the beginning of the project. Indicators that measure only the reporting year’s outputs or consider only those who benefited during the reporting year are non-cumulative. An example of a FFP annual monitoring indicator that is cumulative is “Number of people gaining access to an improved drinking water source”. The PIRS explains that the number that should be reported for a given year should include the people who first gained access to a water source during the reporting year in addition to those who first gained access during previous project years and continue to have access during the reporting year. |
| **Base Value:** Enter the base value for the indicator. Base values are measured for annual monitoring indicators by the Awardee only among project beneficiaries. For most output indicators, base values will be zero. Base values are required for all annual monitoring indicators. Awardees may report estimated base values using secondary data collected from the target area, for example, from assessments the Awardee may have conducted to design the project or from data collected by earlier projects from the same geographic area. If such information is not available, an awardee can collect data from a small sample of beneficiaries purposefully selected but representative to the target area. The sources of these initial values should be explained in a narrative that accompanies early versions of the IPTT. For every annual monitoring indicator, the IPTT must include a base value and targets for every fiscal year and the LOA. |
| **Base Value Data Source:** Enter the source of the base value for the indicator (e.g., assessments prior to application or from data collected by earlier projects in the same geographic area). This information is required at initial IPTT submission. No base value source is required for output level indicators with output level at zero. |
| **Target (Fiscal Years 1-6):** Enter the target value for each project year. For five year awards, targets are required for years 1-5. For six year awards or five years awards that receive an extension, targets are required for years 1-6. In consultation with the AOR, individual year program targets can be modified based on previous year achievements. However, the reporting year target may not be modified.  |
| **Target Change Comment:** Use this column to enter any information on all approved indicator target value changes. The awardee should include the old target, justification for the change to the new target value and the date the approval was received from the AOR.Note: *The target value change comments column that comes after the Target Value is hidden. To view this column for FY1; you can select visible columns that surround the hidden column (i.e., FY1 Target Value and FY1 Actual Value), right-click and then click Unhide. The target value change comment column for FY1 will then become visible. The column should be hidden for all years other than the reporting year and during printing.* |
| **Actual FY Value:** By the end of the fiscal year (FY), enter final indicator values in this column.  |
| **% of Target Achieved:** Once values have been entered for the indicator target and the actual value at end of FY or LoA/ Expiration of Program, calculate the percentage of the target that has been achieved and provide that information in this column.  |
| **LOA Value:** Enter the life-of-award, or LOA, value for the indicator in this cell. For cumulative indicators, the LOA indicator will be the final year value. For non-cumulative indicators that are presented as numbers, the LOA value will be the sum of individual year values. For non-cumulative indicators that are presented as percentages, the LOA value will be the average percentage across project years (weighted by number of beneficiaries if necessary). |
| **Comments:** Use this column to enter any supplementary information that may help in interpreting the indicator definition or results. Where the difference between the target and the actual percentage achieved differs by more than 10%, projects must enter a deviation narrative explaining why.Note: *The deviation narrative/comments column that comes after the % FY Value is hidden. To view this column for FY1; you can select visible columns that surround the hidden column (i.e., % of FY1 Target Achieved and FY2 Target), right-click and then click Unhide. The deviation narrative/comment column for FY1 will then become visible. The column should be hidden for all years other than the reporting year and during printing.* |
| **IPTT Revision** |
| With each ARR, the Awardee may request changes to targets for the current year (i.e., the year following the reporting year), future years, LOA and final evaluation. However, once a target has been approved for the current fiscal year, it may not be changed. This is the value against which actual achievement will be compared in the next ARR. The Awardee may also request approval for other modifications to the IPTT (e.g., indicators; future year targets; and method of collection) with the annual PREP, or at any other time during the year. All requests for revisions to the IPTT must include narrative that describes and justifies the proposed changes. The addition, removal or re-definition of an indicator on the IPTT requires changes to other components of the M&E Plan, e.g., the LogFrame, PIRS and Data Flow descriptions. Awardees should prepare a package that clearly identifies and justifies all changes to the M&E Plan in a single, complete request to the AOR. |
|  **Archived Baseline Final and Annual Monitoring Indicators Tabs** |
| Archived Baseline Final and Annual Monitoring Indicators Tabs: Use this two tabs to list any archived indicators. Use the Archived Baseline Final Indicator Tab to report all archived baseline final indicators. Use the Archived Annual Monitoring Tab to report on all the archived annual monitoring indicators. Indicators can only be archived after official AOR approval. These tabs include columns to document the Indicator No.,Source Indicator,Logfame Reference,Indicator level,Justification Summary,Date Initiated,Date Archived. Archived indicators should be removed from the active Baseline Final Indicators and Annual Monitoring Indicators Tabs. |
| **Indicator Number**: For ease of reference, all indicators in the IPTT must be numbered in the order in which they appear in the IPTT. Mark the first annual monitoring indicator as 1, the second as 2, and so on, until all indicators have been assigned a number.  |
| **Source:** Indicate whether the indicator is an FFP (FFP), Mission (M), or custom (C) indicator. If an indicator is required by both FFP and the Mission, mark it as both. |
| **Indicator** : Enter the indicator title. For FFP and Mission indicators, indicator titles must be entered exactly as they appear on the FFP and/or Mission list. No substitutions or modifications will be accepted.  |
| **Logframe Reference**: Indicate the level that this indicator was applied (i.e. whether it is at goal, purpose , sub-purpose etc.). Select from drop down list. |
| **Indicator level**: Indicate the indicator level (impact, outcome or output). Select from drop down list. |
| **Justification summary**: Provide the justification for archiving the indicator. Note that the AOR approval must be obtained before any indicators can be archived. |
| **Date Initiated** : Indicate the date when the project started reporting on this indicator. |
| **Date Archived:** Indicate the date of AOR approval for indicator archival. |
| **FFP Indicator List** |
| The FFP Indicator List tab contains the complete list of FFP indicators (baseline and final evaluation indicators plus annual monitoring indicators). Awardees must ensure that all required ("R") FFP indicators have been incorporated into the either the Baseline Final Indicators tab or the Annual Monitoring Indicators tab. For required-if-applicable ("RiA") indicators, awardees must determine whether the indicator pertains to their project using the applicability criteria. They may consult their AOR if they are unsure. |
| FFP indicators titles and disaggregates must be included in the IPTT exactly as they appear on the FFP Indicator List tab. No substitutions or modifications will be accepted. However, projects should number indicators in the order in which they will appear within the project IPTT (the first baseline/final evaluation indicator will be indicator number 1, the second will be 2 etc., restarting the numbering for annual indicators). It is not necessary to maintain the FFP numbering in the project IPTT.  |



***Baseline and Final Evaluation Indicator Tab***

***Annual Monitoring Indicators Tab***



Note: To fit the table into the page, many of the columns kept hidden. They are exactly the same as columns for yr 1,

|  |
| --- |
| **ARCHIVED ANNUAL MONITORING INDICATORS** |
|
|  **Indicator No.** | **Source** | **Indicator** | **Logfame Reference** | **Indicator level** | **Justification Summary**  | **Date Initiated** | **Date Archived**  |
|
|  | **Select Source** |  | **Select Indicator Logframe Reference** | **Select Indicator level** |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |

1. FFP may contract and manage a third-party firm to conduct the award’s baseline study and final evaluation. If so, the budgets will be adjusted and finalized in the final negotiation process with successful applicants. [↑](#footnote-ref-1)
2. TOC Online or “TOCO” is a free easy-to-use tool for creating a Theory of Change diagram. It provides a flexible drawing canvas for building and editing a diagram. Microsoft Office Excel is another tool that offers flexibility for drawing and connecting different shapes with text. MS Excel can also be used to develop a ToC diagram. Note that the use of a problem tree may facilitate the development of the TOC, and two online resources for further information on problem trees are the Overseas Development Institute, “[Planning Tools: Problem Tree Analysis](http://www.odi.org/publications/5258-problem-tree-analysis),” and the Evaluation Toolbox, “[Problem Tree/Solution Tree Analysis](http://evaluationtoolbox.net.au/index.php?option=com_content&view=article&id=28&Itemid=134).” [↑](#footnote-ref-2)
3. The IPTT template is developed using spreadsheet. However for convenience, a truncated word version is attached as ANNEX 4. [↑](#footnote-ref-3)
4. Annual monitoring targets need not be disaggregated during the first fiscal year of the award only if the project was awarded during the first quarter of the fiscal year. [↑](#footnote-ref-4)
5. When FFP contracts a third-party firm for a baseline study or final evaluation, the Contracting Officer’s Representative (COR) will often be different from the FFP development project’s AOR. [↑](#footnote-ref-5)
6. For projects awarded prior to FY 2014, FFP did not require the Theory of Change hence the MTE should review the Results Framework to assess progress and verify project logic. [↑](#footnote-ref-6)