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# MICROENTERPRISE RESULTS REPORTING

## OPERATIONS MANUAL

**OCTOBER 2012**

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# MICROENTERPRISE RESULTS REPORTING

## OPERATIONS MANUAL

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## INTRODUCTION

The *Microenterprise Results Reporting Operations Manual* is designed to guide USAID's MRR implementer through the annual reporting cycle. It is a reference for MRR's team that explains how to execute the project successfully, on time, and within budget. For example, it contains the detailed definitions used to classify USAID's microenterprise development projects; the yearly timeline and process for collecting mission and partner data; and descriptions of how the MRR website facilitates annual data collection. In addition, this manual contains several annexes, including the most recent MRR partner-level survey, examples of correspondence, and a technical guide to the MRR database.

The MRR website was redesigned in 2009 to make it easier to use, with clear and concise screens that follow a customized workflow based on the data the user needs to enter. The system also contains context-sensitive help and built-in intelligence and validation checks that reviews data for common errors.

From time to time, changing legislative requirements, refinements of microenterprise development terminology, and enhancements in USAID programming require updates to the MRR surveys and system. The operations manual will be updated periodically to reflect these improvements when they have a material impact on the process and timeline used to collect data.

## PROJECT OVERVIEW

The **primary tasks of the MRR project** include the following:

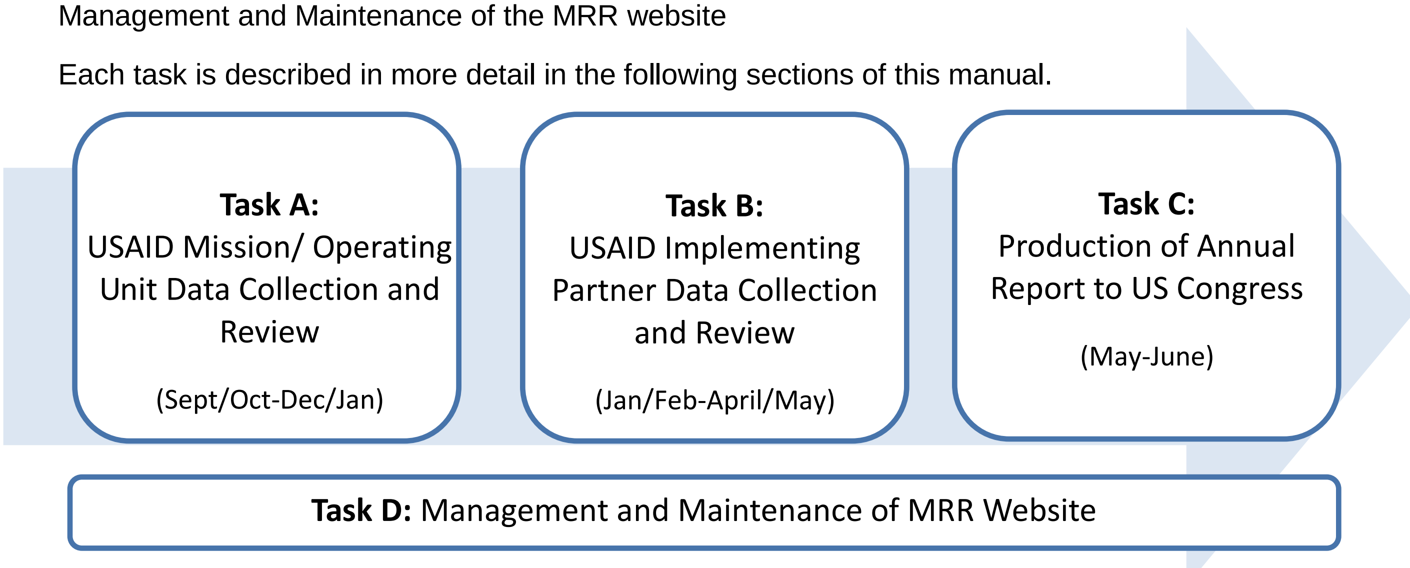
USAID Mission/Operating Unit data collection and review

USAID Implementing Partner data collection and review

Production of Annual Report to the U.S. Congress

Management and Maintenance of the MRR website

Each task is described in more detail in the following sections of this manual.



## *TIMELINE*

According to the current MRR contract, the project includes four tasks – A through D. Tasks A, B, and C correspond with the MRR annual reporting cycle, as shown in the above flowchart. Task D – the management and maintenance of the MRR website – is an ongoing task throughout the project, implemented with the support of a database administrator and software developer. A Gantt chart with additional details about the MRR project timeline can be found in Annex E.

## *DATA INPUT SOURCES*

The MRR database is a password-enabled "live" system that contains two types of data:

1) Funding data, provided by USAID field Missions and central offices; and

2) Project results data, provided by USAID's implementing partners.

### USAID Field Missions

USAID Missions are responsible for reporting data on funding that pertains to microenterprise development for the most recently completed fiscal year (e.g. for FY 2011, Missions were required to provide information for the reporting period 10/1/2010 – 9/30/2011). They report primarily on the most recently completed fiscal year, but also on planned obligation amounts for the subsequent fiscal year (when possible). Mission data include allocation and obligation information, implementing mechanism information, implementing partner name and contact information, and Mission contact information. When allocations for microenterprise development cannot be clearly distinguished from other program funds, as is sometimes the case in multi-component projects, MRR requests that funds be "pro-rated" to reflect the estimated percentage of the funding that supports microenterprise development. Missions are also requested to respond to two questions related to the 2004 microenterprise legislation: (1) whether there is evidence of a correlation between poverty and race/ethnicity within the country (this question is answered when the Mission profile is first created) and (2) whether a particular partner organization works to identify and assist victims of trafficking and other forms of exploitation.

Primary Mission contacts may change from year to year. Although MRR works closely with USAID Missions to ensure that Mission contact information is up to date and accurate, unreported turnover in Mission contacts still occurs. The MRR team should verify the current list of active Missions and Washington Operating Units that need to report to MRR with the MRR COTR in the Office of Microenterprise & Private Enterprise Promotion prior to Mission data collection. For Missions that are known to have high staff turnover, such as Iraq, Sudan, or Afghanistan, or for Missions identified by the MRR COTR for additional follow-up, the MRR team can contact country desk officers to confirm Mission contacts. A current list of Mission contacts can be found in Annex F.

The MRR team should also consider special circumstances and requests by USAID Missions and Operating Units. For example, in FY 2008 and FY 2009, the Regional Development

Mission/Asia (RDM/A) requested that MRR not contact their implementing partners directly to collect data. Instead they asked that Mission staff be provided with the partner data request and login capability to complete the partner survey.

### USAID/Washington Offices

Various USAID/Washington offices provide funding to microenterprise development activities and must also report to MRR. They are asked to provide the same data that the USAID field Missions are asked to provide. For the FY 2011 report, MRR sought information from the following offices: the Office of Agriculture (AG), the Office of Development Partners (ODP), the Office of Microenterprise Development (MD), (now MPEP), the Office of Democracy and Governance (DG), the Office of Environment and Science Policy (ESP), the Office of Information and Communications Technology (ICT), the Office of Natural Resources Management (NRM), the Office of HIV/AIDS (OHA), the Office of Population and Reproductive Health (PRH), and the Office of Women in Development (WID). MRR classifies funding from these entities as Central Funding. Each year, the MRR COTR should review the list of USAID/Washington Offices to determine if there are any additional offices that need to report to MRR or any changes to existing offices.

### Implementing Partners

Institutions that have been designated by USAID Missions as recipients of USAID obligations are considered Implementing Partners, or Partner Organizations. These partners are responsible for entering program data on their microenterprise-related activities. MRR requests that each partner report on the results data on their entire activity to which USAID funds contributed.

Implementing Partners are contacted directly via email based on the contact details received from Mission and USAID/Washington personnel. The MRR Team should also consider special circumstances and requests by the COTR regarding contacting the partner organizations. For example, in FY 2011, USAID requested that partner organizations in Mali be exempt from MRR reporting due to the political unrest in the country that was greatly impacting USAID and partner operations.

### MRR Staff

The data collection features of the new MRR online database have been operational since the FY 2009 data collection cycle. As such, all data reporters are encouraged to submit their data online directly. However, when necessary, the MRR Team facilitates the data collection process by entering data on a reporter’s behalf. In this case, the data are submitted to MRR by email or fax. The MRR staff members also review data for data entry errors and follow up with data reporters to resolve any data verification issues.

## *ORGANIZATION OF THE DATABASE*

The current database has five tabs –**Funding**, **Implementing Mechanisms**, **Partners**, **Questionnaires**, and **Reports**. This section provides a brief explanation and/or some tips for each tab. Note that there are also four useful links at the top of each page: Home, My Profile, Help, and Logout.

### *Funding*

Funding is reported at two levels – first the broader allocation level, and then the obligations made under each allocation. Tip: When viewing allocations, clicking on the pencil icon next to an allocation displays more detailed information and allows for data input and editing. This icon serves this role throughout the website.

### *Implementing Mechanisms*

The implementing mechanism is usually a Contract or a Cooperative Agreement. The mechanism could also be a Grant, Guarantee, Letter of Agreement, Other, or SOAG. This is the way each project is classified. Tip: Clicking on the "+" icon next to a mechanism displays additional detail. This icon serves this role throughout the website.

### *Partners*

This is the page to add, edit, and delete partner information. Below "View Partners," note the "View Bureaus/Missions" link. This is the link to access and update Mission contact information. This page initially loads with an empty list, and requires the Admin user to provide search parameters in order to populate the list. Entering an asterisk (*) in any search field will provide all results available. This feature works the same throughout the website.

### *Questionnaires*

This page is used for assigning and viewing partner level questionnaires, as well as tracking their progress, and editing them when necessary. This page also loads blank for Admin users until search parameters are provided. Below "Manage Questionnaires," note the "View Legacy Questionnaires" link. This is the link to access data reported prior to the current reporting year.

***A note regarding Legacy Questionnaires:*** At the end of the FY 2009 reporting year, all data collected prior to the completion of the MRR rebuild (1996 – 2008) was migrated to the new platform. These legacy data are now available to the MRR Team and reporting partners. To access the legacy data, the MRR Team uses the "View Legacy Questionnaires" link. The legacy questionnaires are searchable by Questionnaire type, Year, Funding Office, Activity Location, and Partner Name.

### *Reports*

The Reports tab was one of the newer features of the database in FY2010, and various reports can be auto-generated using this tab. They are created as Excel files and can maintain a link to the database so that when saved to any personal desktop, the report will repopulate with current data each time it is opened. * *The MRR Team is planning to work with USAID's MPEP office during the FY 2012 reporting year to consider modifications to this tab, as it is not actively used* *by reporters or the general public. One option is to disable this tab for non-administrative users, and to modify the reports to meet specific needs of the MRR Team.*

***Built-In User Assistance***

The MRR website includes Frequently Asked Questions (FAQs), Help pages, Screen Assistants, and question-specific Tool Tips. The link to the FAQs page is available at the bottom of each page, the link to the Help pages is available at the top of each page, the Screen Assistants appear on the right-hand side of the screen, and the ToolTips appear when the cursor is hovered over any of the green question marks beside the data fields.

### *DEFINITIONS*

Various terms in the MRR database have specific definitions. USAID's current **definition of a Microenterprise** as per USAID's Automated Directives System (ADS) 219 on Microenterprise Development reads as follows:

"A very small enterprise owned and operated by poor people, usually in the informal sector. For USAID program purposes, the term is restricted to enterprises with 10 or fewer workers, including the microentrepreneur and any unpaid family workers. Crop production activities, previously excluded from the scope of the definition, are now included as long as they otherwise qualify on the basis of enterprise size and the economic status of the owner-operator and employees."

The inclusion of crop production activities was added in January 2008, so it may still be necessary during FY 2012 data collection to remind Missions of this and verify that they are including these types of activities in their reporting to MRR.

One additional term that often requires explanation during the reporting process is "**ongoing obligation**." Ongoing obligations are defined as obligations reported to MRR in a previous fiscal year (only one or two years prior) for a mechanism that continues to be active in the current reporting fiscal year. For example, if a partner received funding in FY11 and/or FY10 for a mechanism that continued to be active in FY12, the partner would be expected to report the results of that activity for the FY12 reporting period, even though the project did not receive new funds in FY12. Implementing partners are sometimes confused as to whether they need to report in these cases, so it is important to explain that MRR reporting represents a highly aggregated snapshot of USAID's microenterprise-related funding and results in a given year, but does not attempt to link the reported funding from a given fiscal year to that same year's reported results.

Further definitions are provided in the sections of this manual to which they pertain.

## TASK A: MISSION DATA COLLECTION – FUNDING INFORMATION

Soon after the end of USAID's fiscal year (September 30$^{th}$ of a year), the MRR team begins collecting data from USAID Missions for the fiscal year that has just ended. The Missions are also asked to report projections for the new fiscal year that has just begun.

The four main areas for Mission reporting include the following:

1. Mission Profile: Mission contact information (to be reviewed and updated as needed)
2. Allocations and Obligations: Details on funding (reporting for fiscal year and projections)
3. Implementing Mechanisms: Details on contracts, cooperative agreements, grants, etc.
4. Partners: Contact information for implementing partner organizations (important for partner data collection phase)

### *Preparing for a new MRR data collection cycle – Mission data*

Before a new cycle of annual data collection can begin, the MRR Team completes the following preparations:

- The database must first be prepared to accept new entries for the new Fiscal Year by altering a file on the server that tells the system which fiscal year is current. This must be performed each year before launching Mission level data collection. To do so, the value [MicroenterpriseResultsReporting.CurrentFiscalYear] must be adjusted in the web.config file on the web server, and the MRR database administrator is usually responsible for this task. This is a global update for all data collection and does not have to be repeated for Partner data collection.
- The list of reporting Missions/Operating Units must be reviewed with USAID each year to determine if there are Missions/Operating Units that need to be added or removed, and if contact people for the Missons/Operating Units are up to date.
- The Mission launch email is drafted and approved by USAID. (See sample emails in Annex A.)
- If USAID wants to add or change any of the MRR questions, these changes must be communicated to the database development firm well in advance of the new data collection cycle so that they can be staged and tested before being pushed to the live site and into production.
- The MRR Team reviews the MRR website for any additional updates that may be necessary. It is particularly important to login as a Mission and view the **Mission dashboard page** to make sure it is current and relevant, because this is the first page that Missions see when they login to MRR.

### *Launching Mission Data Collection*

Mission data collection is officially "launched" when the MRR Team sends an email to each Mission alerting the Missions that it is time to report to MRR. The email provides reporting instructions and guidance for using the online database, including each Mission contact's username, which is automatically added at the end of the email when the email is sent from the MRR database system. **To send the initial email** to all reporting Missions at the start of each data collection cycle, login to the database (as an administrator) and click on the "Partners" Tab. Once there, click the green link called "View Missions/Bureaus," which is located beneath the "View Partners" title near the top of the page. Search for the complete list of Missions/Operating

Units by typing an asterisk (*) in the “Bureau/Mission name” field, set the type to “Mission,” and check the “Display primary contact” box. After clicking “Search,” you will have the opportunity to select all of your Search results. Cross reference with the current list of Missions as verified by USAID and un-check any that should be removed. Once you have selected all necessary Missions/Operating Units, click the “Send Email” button near the top of the page. You will then see a screen where you can copy and paste the subject line and the text for your email, and then click “Send” near the top right corner of the screen. Note that the greeting line should be general (ex: Dear USAID Missions and Operating Units). However, the username associated with each individual email address will auto-populate at the end of the email as follows: “Your MRR username is XXXXX”.

The MRR Team tests Mission launch email functionality each year using the MRR staging site (http://64.65.47.214). **To do so** go to the staging site, select a few Missions, and change the associated email addresses to the addresses of the MRR Team members. Perform the steps listed above and make sure that each email reaches the selected MRR Team recipients, that the text shows up correctly, that a unique username has auto-populated in each message, and that the MRR inbox has been cc-ed on the message (which should happen automatically). To be sure that the message can also go through properly to an “@usaid.gov” email address, conduct one more test using the contact record for the current MRR COTR, and alert him/her to the fact that you are conducting this test.

To ensure a 100% response rate from the list of reporting Missions, MRR finds it helpful to maintain a Mission reporting status tracker. As an example, the FY11 tracker included the categories of No Response, In Progress, Completed, Verified, and Nothing to Report. The Reports tab of the website provides two separate reports to track the status of Mission data entry: The “Mission Detailed Status” and “Mission Summary Status”, which can be found under the heading “Data Verification for USAID Missions.”

### *Mission Profile*

All information regarding USAID users who report funding data to MRR is accessible through the Mission Profile. This includes individual country and regional Missions, as well as USAID Bureaus and Washington Offices or Operating Units. Generally, the USAID Regional and Functional Bureaus do not report to MRR because the management of obligations is performed at the Mission or individual Office level. However, sometimes it is necessary for a Regional or Functional Bureau to report. Historically this was achieved by creating a “Mission” level account for a Bureau user. These accounts still exist in the newly designed MRR. For example, you will find a Mission account called “EE Bureau” and you will also find a Bureau account called “EE”. The new MRR now allows a “Bureau” level user to create a user account, log in and report. It is up to the MRR team to decide how to handle the Bureau level data entry, but keep in mind that it may be necessary to migrate some data from the old “Mission Bureau” accounts to the new “Bureau” accounts in order to more easily run historic data reports.

The Admin user can access individual profile information for Bureaus, Missions, and Washington Offices through the Partners Tab. Under the heading “View Partners”, select the link for “View Bureaus/Missions”. After searching for the Operating Unit you want to edit, you can select the pencil icon for that Operating Unit to view the profile information, including the list of contacts. Each Operating Unit has one primary contact who will receive all email communication sent from the MRR system. Missions are asked to review and update their user account information, including the designation of the primary contact.

***Allocations and Obligations***

Missions have three basic responsibilities in completing their MRR reporting/data entry each year:

(1) Review and update "in progress" funding entries from the prior year, including entries that were projections last year but are now actual obligations and entries that were still "pending agreements" at the time of reporting for the previous year but have since been finalized;
(2) create and enter new funding for the current reporting period; and
(3) create and enter projected funding for the next fiscal year, if known.

Missions must decide how to break up the funds they report based on the origin of funds, the funding account from which they received the funds, and whether or not the funds were "pro-rated" to reflect a microenterprise component of a larger project. This task can be a challenge for Missions because they are not normally required to report on their funds based on all of these criteria. This is an area where the MRR Team provides significant support through "Help Desk" communication with reporters. If Missions do not have an exact accounting of microenterprise-related funds, MRR asks them to estimate what percentage of allocated funds are supporting microenterprise-related activities in some way. As long as the Mission can explain their estimation, this is acceptable to MRR as USAID and Congress understand that much of USAID's work is interdisciplinary, and that projects are multi-component.

Next, for each "Allocation" entered it is necessary for Missions to further divide up the funds by indicating the "Obligation" amounts that went to specific implementing mechanisms. These obligations are further sub-divided according to the varying Program Elements and Technical Areas for which the funds were used. *(*Note that USAID and MRR no longer require/use the breakdown of funding by "Technical Area" in this way, and that MRR is discussing the feasibility and cost of removing this from the website with the current website maintenance firm).* If reported funds were not associated with a specific partner or implementing mechanism, but did support microenterprise in some other way -- i.e. covering internal USAID administrative or travel costs related to microenterprise programming, Missions can report these funds as non-project "Microenterprise Support." This term can confuse reporters at times, so the website currently phrases this as follows; "Check here if these funds are for internal USAID travel/administrative costs related to microenterprise programming". When Mission reporters check this box, the system does not prompt them for partner and implementing mechanism information.

Missions have the opportunity to set the "Data Entry Status" for both allocations and obligations to "Completed" after filling in all required fields. Data entry for an allocation can only be set to "Completed" if an associated obligation record has been created for all funds. Any allocation and obligation projections entered for future fiscal years should not be set to complete until that future year becomes the current reporting year.

When creating obligation records under an allocation, Missions have four choices:

(1) Obligate funds to an existing implementing mechanism;
(2) Obligate funds to a new implementing mechanism;
(3) Obligate funds to a "pending agreement", which is an placeholder for a mechanism that has not yet been signed; or
(4) Obligate funds as "Microenterprise Support" funds by clicking on "Check here if these funds are for internal USAID travel/ administrative costs related to microenterprise programming", as described above.

On the obligation data entry screen, Missions can either select an existing mechanism from the drop down menu (based on the mechanism number, partner name and partner country of operation), or they can create a new mechanism.

***Implementing Mechanisms and Partners***

A Mission user can create a new mechanism by using the "Implementing Mechanisms" tab or by selecting the option to add a new mechanism on the obligation screen. Here the Mission must enter a mechanism number and choose an existing partner and country of operation from drop down menus, or create a new partner in the database. Before assigning the partner survey, it is important to note that the implementing mechanisms need to be checked for duplicate mechanism records. The duplicate mechanisms should be made inactive so that duplicate partner questionnaires are not assigned to the partner.

Creation of a new partner can be accomplished from the implementing mechanism screen or by using the "Partners" tab. Each individual partner is distinguished by the combination of its name and country of operation (for a given project). Thus, for example, DAI Cambodia is a separate partner from DAI Haiti, in the MRR database. "Worldwide" is chosen as a country of operation when a project is being implemented in more than one country simultaneously. (This is necessary because the MRR database is structured to assign partner level questionnaires by partner record – which necessitates clustering partner contacts by location. In the future, MRR could investigate the feasibility of assigning questionnaires by implementing mechanism instead of by partner record, which would eliminate the need to cluster partner contacts by country). **The MRR Team is also planning to work with USAID's MPEP office during the FY 2012 reporting year to clean up partner names currently in the database that have multiple variations (such as FHI360 vs. AED, DAI vs. Development Alternatives, Save the Children vs. SAVE, etc).*

As part of the partner data entry form, Missions must enter contact information for one or more individuals who work on the project(s) reporting to MRR. Having complete and up-to-date partner contact information is a very important part of the data collection process, as it makes the partner-level data collection possible. The MRR Team should work with Mission reporters to verify all partner contact information.

To complete implementing mechanism and partner data entry, Missions must set the "Data Entry Status" to "Completed" after filling in all required fields. In order for a partner to appear on the drop down menu for implementing mechanism creation, it can still be "in progress" but it must at least have a mechanism number and country of operation entered. The MRR Team is looking into adding a validation during the FY 2012 reporting year that makes it mandatory for the user to enter the implementing mechanism, partner country of operation, partner name, and start and end dates when saving a new implementing mechanism.

### *Verification of Mission Data*

MRR reviews all Mission data to clarify any missing data and to ensure data accuracy. Upon notification that a Mission has completed its reporting requirements, or when MRR is able to determine that a Mission has completed most/all data entries, MRR sends a data verification email to the Mission staff member who entered the data. A “verification report” generated by the MRR database administrator is attached in Excel, and the email text points out any specific questions related to that report. MRR’s follow-up communications should occur as soon as possible after data entry so that all the issues related to MRR are fresh for the Mission. Occasionally, MRR has found that follow-up communications with Missions can reveal additional obligations that should be reported.

Microenterprise programs may span several Mission technical offices and involve multiple personnel, which may require a fair amount of coordination on the part of the Mission reporter. However, MRR has found it to be important to communicate directly with the person who has entered the data and who bears the responsibility for reporting the Mission’s microenterprise funding to USAID/Washington correctly (the primary contact).

A sample verification check list is provided as Annex C, and a few items of particular importance are listed here:

- **Pending Agreements:** Part of the data review process includes clarifying pending obligations from previous fiscal years. Missions are asked to confirm or provide the details of these obligations and specify the implementing partners, which were unknown at the time the funding was initially reported.
- **Pro-Rating:** Missions are asked to “pro-rate” reported funding when microenterprise development is a component of a larger activity. Only the portion of USAID assistance that can be attributed to microenterprise development should be reported through the MRR system. A field in the allocation data entry screen allows Mission personnel to indicate if they have used “pro-rating” to determine the amount reported. A related comment field allows space for the Mission to provide an explanation of how they have “pro-rated” the funds. MRR reviews these data and can follow up in any instances in which the data associated with pro-rating seem incorrect or unclear.
- **Over-writing Previous Years’ Data:** Occasionally, MRR has found that a Mission has attempted to enter the current year data by over-writing data from a previous year. Double check that this has not happened by referring to the records in the previous year’s annual report.
- **Partner Information:** Be sure that partner information is complete and up to date, as this is critical for MRR’s partner-level data collection.
- **Funding Projections for Future Years:** Projected microenterprise obligations are considered rough estimates and do not need to be verified. These numbers may be used by the Agency for discussion purposes, and MRR makes no claim as to the validity of these estimates.
- **Data from Central Offices:** MRR often enters Central Office funding data into the database on behalf of these offices. In particular, MRR has provided this service to the Office of Microenterprise and Private Enterprise Promotion (MPEP) and Office of Development Partners (ODP). The data sometimes require clarification so that they can be categorized correctly.

The Reports tab of the MRR website provides a report that can be used when verifying Mission data:  The “Mission/Bureau Allocations”, which can be found under the heading “Data Verification for USAID Missions”.

All verifications should be completed prior to data collection from the implementing partners.

A note on Pending Agreements: During the FY 2011 reporting year, a new step was introduced in the MRR process to follow up a second time with any Missions that reported “Pending Agreements” for the reporting fiscal year.  This follow-up should occur approximately in April/May so that partner and implementing mechanism information can be captured in the Annual Report to Congress.  However, no new partner-level surveys should be assigned at this time, as these activities were not yet active during the fiscal year in consideration.

## TASK B: PARTNER DATA COLLECTION – PROJECT RESULTS

The second phase of MRR data collection involves contacting all relevant implementing partners for information on project results. When USAID’s implementing partners for the current reporting fiscal year have been identified through the Mission data collection, MRR assigns a questionnaire to each partner, as well as any partners with any “ongoing obligations”, defined above as active projects that did not receive funding in the current reporting year, but did in the previous one and/or two.

During the FY 2011 reporting year, the MRR Team worked with the USAID’s MPEP office to substantially update and revise the Partner-level survey. The MRR Team consolidated the four previous partner survey types (Enterprise Development, Microfinance, Policy/Enabling Environment, and Poverty Assessment Tool) into one partner level survey. To minimize the reporting burden on partners, remove duplication across questionnaires, and synch MRR with USAID's current, more integrated programming approach, the MRR team developed a new partner survey model whereby all partners receive one questionnaire with a built-in logic matrix presenting sets of sub-questions based on reporters' responses.

### *Preparing for Partner Data Collection*

In preparation for partner data collection, the MRR Team takes the following actions:

- Determine the list of partners eligible to receive each type of questionnaire.
- Revise survey question wording as necessary.
- Update Word version of surveys to reflect revised question wording.  Update French and Spanish Word version as well (as needed).
- The database administrator must enter the appropriately updated email text and subject lines into the database.  **To do so**, login to the server that holds the MRR live and staging site (64.64.47.223).  Then, go to the MRR staging folder (D:\stage-wwwroot\mrr-www\priv\EmailTemplates) and update the files. Auto-population of first name and user name doesn’t require any additional manual work, and the email should also be auto-programmed to copy the MRR inbox. Once this is tested in the staging site, go to the

MRR live folder (D:\wwwroot\mrr-www\priv\EmailTemplates) and update the files. Further information regarding this will be provided in the technical guide.

- Test partner-level email notification system. Note that it works differently than the Mission-level email – when you click “Assign” in the partner-level interface, it immediately assigns the questionnaire(s) and sends the associated notification email(s): On staging site, manually alter email address of test partner to MRR team member’s email, assign survey(s) to test partner, and then review test email (look to make sure text is displaying properly and that data is auto-populating correctly); no need to change the test email address back afterwards. Ask database administrator to refresh the staging site if you need it to match the live site.

***Assigning Questionnaires***

Questionnaire assignment can be done using the MRR database through the Questionnaires page by clicking on Assign Questionnaires > Consolidated page.

Because MRR collects data after the current reporting fiscal year has ended, it is possible that a project being surveyed has already closed. Partners are often under the impression that they do not need to report on a closed activity. However, this is not the case, and MRR encourages partner institutions to report to the best of their ability. Using FY 2011 as an example, questionnaires should be assigned to all projects with an end date of 10/1/10 or later and a start date of 9/30/11 or earlier. As a last resort, the survey includes a “no data to report” option.

As mentioned above, data on centrally funded activities are sometimes entered in the MRR database by the MRR Team.

The MRR Team may also have to work with the IT vendor (WolfeReiter in this case), to check that the criteria that is being used to generate the list of eligible partners for questionnaire assignment is correct. The criterion for assigning the list of eligible partners for questionnaire assignment for a fiscal year is as follows:

- The mechanism must be linked to an allocation whose FY is = (current FY) OR (current FY-1) OR (current FY-2)
- The mechanism end date >= current FY start date
- The mechanism start date <= current FY end date
- There must not be an existing questionnaire assignment for the mechanism for the current FY

***Collecting Data from Implementing Partners***

Using the contact details provided by the Missions, MRR assigns questionnaires directly to the implementing partners, along with an email providing instructions (see Annex A). When a partner logs in to the MRR website, they see a dashboard. Note that the “Navigating Historical Questionnaires” is the way for partners to access their past years questionnaires from FY 2009 onwards. Partners can also click on “View Legacy Questionnaires”, to access questionnaires from, FY 2008 and prior years.

### *Data Review and Cleaning*

MRR reviews data to ensure that reporting partners have correctly understood the questionnaire and to double-check that irregular data are not the result of a typo or other data entry error. MRR examines the following key data points:

- **Percent Rural Clients:** Examination of projects reporting less than 1%
- **Percent Women Clients:** Examination of projects reporting less than 1%. This includes women borrowers and women savers, both of which are data points that MRR collects.
- **Operational Sustainability and Financial Sustainability:** By the nature of the calculations involved, percent operational sustainability must be greater than percent financial sustainability. Note, however, that in the FY 2009 reporting period the MRR team had an exchange with a reporting partner from the Philippines who indicated that their reports where the two figures were equal were indeed accurate.
- **Sub-recipients:** Partners are also asked to list their sub-recipient(s), if any, that received support in the form of **direct funding, commodities, guarantees** and/or **technical assistance**. MRR team has to verify that the listed sub-recipients are related to the microenterprise or microfinance component of the project on which the partner reported in the questionnaire.
- **Number of Employees / Number of Microenterprises:** As defined for MRR, a microenterprise should not have more than 10 employees (including the owner). MRR verifies that both data points have been reported and examines the ratio. When the ratio exceeds 10:1, MRR requests an explanation from the partner. Common explanations include employment of seasonal workers for agricultural activities, or that the partner is a cooperative.
- **Unreported data on Number of Employees:** MRR verifies that if the number of microenterprises is reported but the number of employees' field is not reported, the partner organization has to provide clarification on that. Typically, one microenterprise will have at least one owner (who is considered an employee for MRR data).
- **Data reported for both Number of Microenterprises and Number of Borrowers/Number of Savers:** As defined for MRR, if data is reported for both the number of microenterprises and number of borrowers/savers, the MRR team has to seek clarification from the partner organization. Typically, the project would have worked in either microenterprises or financial services, and not both.

A year-on-year data comparison across all data fields can also be conducted if a partner has reported more than once.

In addition to reviewing reported data, MRR also makes an effort to follow up with non-respondent partners that received significant funds in the current reporting fiscal year. When possible, MRR should also attempt to follow up with non-respondent partners who reported high total number of microenterprises assisted and/or total number of owners/employees in the previous reporting fiscal year.

When referring to legacy data, note that Enterprise Development was referred to as Business Development Services (BDS) prior to FY 2006 and included the distinction of BDS-Facilitator or BDS-Provider.

## TASK C: MRR ANNUAL REPORT PRODUCTION

Following the completion of all data collection and review, the MRR Team produces the Annual Report to Congress. The report is guided by 12 reporting requirements, as found in the microenterprise-related legislation. (See Annex D for an overview of the legislation.) For this reason, the report takes on a standard format with minor adjustments each year. For example, for the FY 2011 annual report, a graph on the breakdown of the microenterprise-related technical activity type, and an analysis on the cost per microenterprise participant according to the technical activity type were introduced. However, although the format is relatively consistent from one year to the next, it is sometimes helpful to create a new Word document when drafting the report instead of writing over the old one. When the report is written over multiple times, it is prone to formatting mishaps.

In recent years, USAID (Mr. Don Sillers, specifically) has drafted or edited sections of the report pertaining to poverty data. The MRR Team must also coordinate with USAID Development Credit Authority (DCA) for additional relevant data collected by that office. The MRR Team should share a draft of the report with the COTR at least two weeks prior to the June 30 deadline so as to get feedback and work through any revisions in a timely manner.

The tables in the report are produced by the MRR team's database administrator which the other MRR team members verify for accuracy. Most, if not all of the necessary queries should be in the current version of the database, available to the database administrator. When tables refer to one or more previous years of MRR data, it is customary for the MRR Team to pull the numbers directly from the previous year's Annual Report. This is due to the fact that the database is always live and all years are subject to change, so it is easier to work from a consistent snap-shot in time.

Hard copies and electronic copies of the FY 2007-2011 Annual Report and Methodology & Statistical Annexes are available for the MRR Team's reference. Earlier years are also available, most readily on the MRR website (www.mrreporting.org), but recent years will be most helpful and relevant to the FY 2012 MRR Team.

As mentioned above, the deadline for submitting the report to the MRR COTR in USAID's MPEP office is June 30. After this deadline, the report goes through USAID's clearance process. The MRR Team should be prepared to answer questions about the report as needed. Once the report has been approved, it is disseminated in the following ways:

- **Print:** Hard copies can be printed by the USAID print shop or an outside vendor. When working through the USAID print shop in recent years, the MRR Team has prepared the document for printing and sent the files to Mr. Stewart Grand. The COTR must fill out a print request form for the order to be processed. In FY 2009, 150 copies were printed. In FY 2010, MRR obtained printed copies (150) from CopyRite Printing at 1250 Eye St NW. In FY 2011, MRR obtained 150 copies which were printed in-house at USAID.

- **Online:** For online dissemination, the MRR Team prepares a 508-compliant PDF of the report. Essentially, this is a version of the report that can be read out loud by Adobe software for the benefit of people with disabilities. The process involves inserting "Alt Text" to be associated with images, graphics, and tables as needed, fixing issues on hyperlink texts, objects not inline, heading to long, etc. Once the document has been made 508-compliant, it is posted on the MRR website by the MRR Team, posted on microLINKs by the KDMD Team (currently managed by The QED Group, LLC), and posted on USAID internal and external websites by USAID. Finally, the PDF is also put on the USAID DEC, either by USAID or the MRR Team. Note that in FY10, USAID instructed the MRR team not to post the report on the MRR website. (We are not sure why.)

The microLINKS project also produces the Connections newsletter, which announces the MRR Annual Report each year. For this process, The MRR Team must submit a summary document of key findings and a short announcement blurb for the newsletter, which must first be approved by the COTR. MRR may also make other announcements in Connections at the direction and/or with the approval of the COTR.

The final deliverable that the MRR Team produces each year is the Methodology & Statistical Annexes document. The methodology section provides an overview of the reporting year's data collection process and highlights any updates or changes. The annexes are a series of tables that present various segments of the data collected. Once again, these tables are generated by the MRR database administrator, and the queries should all be present. Two of the annexes – annex on the funding by bureau, mission, and partner, and annex on USAID credit guarantees related to microfinance – are first generated at the time of the Annual Report production, as they are included in the report each year. The Methodology & Statistical Annexes document is made available in PDF on the MRR website. A limited number of hard copies are also produced, primarily for the reference of the MRR Team and members of the MPEP Office. In FY 2010, 15 copies were printed, and the MRR Team worked with the same outside vendor as above for the printing. In FY 2011, the Methodology and Statistical Annexes document was not printed, but it will be posted online along with the MRR Annual Report to Congress.

## ANNEXES

## *ANNEX A: SAMPLE EMAILS*

The MRR database provides an email distribution system, which is helpful for mass mailings. MRR's database administrator can insert the email text for the current year into the database. The email will
automatically include the recipient's username. MRR has set up the system to automatically send a copy of these emails to the MRR Outlook inbox so as to have a record of the communication and to facilitate additional follow-up when necessary.

Sample emails from FY 2011 are included below for reference. The Team may edit/change all email communication as appropriate to the given data collection year.

### 1. FY2011 Mission Notification and Instructions Email

Dear USAID Mission/Operating Unit,

The time has arrived to report your FY 2011 microenterprise funding to Microenterprise Results Reporting (MRR) – USAID's official system for the collection of microenterprise budget data and program results. Please visit the MRR website at www.mrreporting.org and click on the "User Login" link on the right-hand side to report your data by **Friday, December 23, 2011.**

Please take note of these key reminders and helpful tips for the FY 11 reporting cycle:

- For broader programs such as health, food security, or energy please report on the microenterprise components of your activities. For guidance on how to account for microenterprise funds within broader programs, you may contact the MRR team at mrr@mrreporting.org.

- The definition of a microenterprise has been revised effective January 2008 as per ADS 219 to include crop production activities (which includes rural smallholders). For USAID purposes, the term "microenterprise" is restricted to enterprises with 10 or fewer workers, including the microentrepreneur and any unpaid family workers.

- Each Country Mission is responsible for reporting the Food for Peace P.L. 480 funded programs with microenterprise development components in their countries.

- The number of countries with USAID-certified Poverty Assessment Tools (PATs) has increased from 33 in 2010 to 38 in 2011 with the addition of a PAT for Nicaragua, Nigeria, Rwanda, Senegal, and Tanzania. Please visit www.povertytools.org/tools for a complete list of countries where the PAT is available to date and to determine whether the implementing partners in your country should be implementing a PAT and reporting the results to MRR.

**GENERAL REPORTING GUIDANCE:**

Log in to MRR with the username provided at the bottom of this email and your personal password. If you do not remember your password, or if you are logging in to MRR for the first time, you may click on the link to “Recover or set up my username and password.” At log in, the site will take you to your “Mission dashboard” where there are links to the following reporting tasks:

**My Profile:** Review and update contact information for your Mission.

**Funding:** Enter your Mission’s microenterprise funding data for FY 2011. Note that if you entered FY 2011 planned obligations during the FY 2010 reporting cycle, you should edit these obligations as necessary. For funds that were allocated in FY 2011, but are not yet obligated to an implementing partner, please select “Agreement Pending.” You may also create new entries for any FY 2012 plans and projections.

**Implementing Mechanisms:** Add or edit implementing mechanisms.

**Partners:** Add or edit partner records, being sure to include updated contact information as we will follow up with these contacts later on in our data collection process.

As we continue to implement data collection through the MRR online system, we would like to stress the importance of collecting accurate and verifiable data for the annual report to Congress. Please refer to the Data Quality Assessment Checklist and ADS Chapter 203.3.5 for guidance on requirements for conducting accurate data quality assessments and verification.

To meet your MRR requirements for FY 2011, please report your data by **December 23, 2011**. Once you have completed reporting your data, the MRR team will contact you for final data verification. For support in completing your reporting, please contact mrr@mrreporting.org or 202-521-1970 at anytime.

Thank you in advance for your timely response,

The MRR Team

Your MRR username is XXXXXX.

## 2. FY2011 Mission Reminder Email

Greetings from MRR!

This is a friendly reminder of the upcoming deadline to report to MRR for FY11 by Friday, December 23rd. If you have not already logged into the MRR website, please be sure to do so as soon as possible and enter/update your FY11 obligations, any planned FY11 obligations, and contact information for your implementing partners.

Your username is provided at the end of this notification and you can log in to MRR at https://mrr.mrreporting.org/Logon.aspx. If you do not remember your password or if this is the first time you are reporting to MRR, please follow the “Recover my username and password” link to recover or set up your password. If you require additional assistance in completing this task, please contact the MRR Helpdesk at your earliest convenience at mrr@mrreporting.org or 202-521-1991.

Once you have completed your data entry, please be sure to set the data entry status of your allocation and obligation records to "completed," (with the exception of future year projections) and notify the MRR Helpdesk. We will then review your data and send you a data verification report for your final confirmation.

If you do not have any microenterprise funding to report for FY11, please notify the MRR Helpdesk as soon as possible so that we may update our records.

Thank you for your continued support and assistance in completing this task and we look forward to receiving your FY11 submission soon.

Best regards,

The MRR Team

### 3. Email to Mission with "In Progress" Status

Our records indicate that you have recently logged into the MRR database or have contacted our help desk to start updating your FY 2011 obligation records and/or FY 2012 projections. As the reporting deadline was December 23, 2011 and we have not received any further communication from you to date regarding your data entry status, we wanted to confirm with you whether you have completed all of your data entry for FY 2011 at this time. If you are still in the process of updating your records, please complete this task as soon as possible and notify the MRR Helpdesk at mrr@mrreporting.org once you have completed all of your data entry to the best of your ability. We will then review your records and send you a data verification report for your review and confirmation to finalize your reporting requirements for the FY 2011 reporting period.

Please contact the MRR Helpdesk if you have any other questions or if you are experiencing any technical difficulties. Thank you in advance for your timely assistance with this request and we look forward to hearing from you very soon.

Best regards,

The MRR Team

### 4. Email to Mission with "No Response" Status

Our records indicate that you have not logged into the MRR database to report your FY11 obligations and allocations and any planned obligations for FY12. As the reporting deadline was December 23, 2011 and we have not received any communication from you to date, we need your assistance to confirm whether you are still a primary contact for MRR and if so, to please update your records as soon as possible. We have copied all MRR contacts at your Mission to further assist us with this process. If you are no longer responsible for completing this task for your Mission/Operating Unit, please email the MRR Helpdesk at mrr@mrreporting.org at your earliest convenience to designate an alternate contact so that we may follow up with this new contact as soon as possible. You may also contact the Helpdesk to further assist you with completing your reporting requirements and/or troubleshoot any technical difficulties that you may be experiencing.

Once you have completed all of your data entry to the best of your ability, please notify the Helpdesk so that we may review your records and follow up with you if necessary for any clarification or incomplete information in order to finalize your reporting requirements for the FY 2011 reporting period.

We thank you in advance for your timely assistance with this request and we look forward to hearing from you very soon.

Best regards,

The MRR Team

### 5. FY2011 Partner Notification and Instructions Email

Dear Joe,

USAID has identified your organization as a recipient of USAID funding to support microenterprise-related programming in FY 2009, FY 2010, and/or FY 2011. At this time, USAID requests that you report your microenterprise-related results from FY 2011 to Microenterprise Results Reporting (MRR), including your Poverty Assessment Tool (PAT) results if applicable. MRR is USAID's official system for collecting and reporting to the U.S. Congress on Agency-wide funding and results in terms of economic development at the micro-level.

***We look forward to receiving your data no later than Tuesday, April 17, 2012.***

Instructions:
1) Log in at www.mrreporting.org with the username provided at the end of this email. If you need to set up or recover your password, click "Recover or set up my username and password."

2) Once logged in, locate your implementing mechanism on your dashboard, and click on the "Click here for questionnaire" button. In cases where a USAID implementing partner has multiple projects in a given location, you will see other mechanisms and contacts on your "dashboard," but you are only responsible for your project.

3) The new MRR survey is shorter than in previous years and is streamlined into one questionnaire addressing all program types (finance, policy, value chain, enterprise development, etc). It should not take long to complete, however you can Save, Logout, and Return to the survey anytime to continue or make edits.

4) If your activity provided funding or other types of support to/through sub-recipients, you will be asked to report on this. You are not required to report disaggregated results data for your sub-recipients this year, but you will be asked to report sub-recipient results data in an aggregated fashion.

5) Please review the USAID obligations information. Your survey was assigned to you based on this information and your survey responses relate directly to these USAID funds. This information has been verified by the relevant USAID Mission/Operating Unit, but if you find any discrepancies, please notify the MRR Helpdesk at mrr@mrreporting.org.

If you have questions about your reporting or require technical assistance, please contact the MRR team at mrr@mrreporting.org.

Thank you in advance for your participation in this data collection process.

Best regards,

The MRR Team
mrr@mrreporting.org
www.mrreporting.org

Your MRR username is XXXXX.

## 6. FY2011 Partner Post-Deadline Email

Dear USAID Implementing Partner,

The April 17 deadline for submitting your FY11 Microenterprise Results Reporting (MRR) data has passed. You are receiving this email because your MRR questionnaire is not yet fully completed. It is urgent that we receive your data as soon as possible.

To complete your questionnaire, please visit the MRR website at https://mrr.mrreporting.org. Enter your username, which you will find at the end of this email, and then click on the "Recover or set up my username and password" link to create your password, if you have not already done so.

If you have any questions or if you believe you have received this message in error, please contact the MRR Helpdesk at mrr@mrreporting.org and we will assist you. You may also contact the MRR Helpdesk to indicate a contact other than yourself who will be reporting your project's data.

We look forward to receiving your data.

Best regards,

The MRR Team

202-521-1960

*ANNEX B: SURVEY*

# MRR FY 2011 QUESTIONNAIRE

| | |
|---|---|
| 1. Do you have data to report to MRR for the fiscal year in question? | ☐Yes<br>☐No |
| 1.1 If no, please indicate the reason | ☐New activity – No data to report yet<br>☐Project closed prior to start of fiscal year in question<br>☐Project not working with microenterprises or microfinance institutions<br>☐Other (please specify):______________________________<br>____________________________________________________ |
| 2. Provide a brief description of your USAID-funded activity. Where applicable, please describe how this project directly or indirectly benefits microenterprises or microfinance institutions. | |
| 3. Provide a brief description of your organization and its role in the project/activity. | |
| 4. Does your activity provide funding or technical assistance to sub-recipients?<br><br>*Definition*: A sub-recipient is an institution or organization that receives support through sub-agreements | ☐Yes (***Note****: Please complete the "Sub-recipients" form at the end of this questionnaire by listing all of your sub-recipients.)*<br><br>☐No (*continue to question 5)* |

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| with USAID's prime partner. These sub-agreements are normally included in the agreement between USAID and its prime partner, who directly receives funding obligations from USAID. The prime partner is responsible for providing the estimated value of the support provided to sub-recipients, normally in the form of a sub-contract or sub-grant. The work of sub-recipients under a sub-agreement will relate directly to the achievement of the microenterprise development aspect of the overall program objectives and will often directly reach clients/beneficiaries. However, sub-recipients themselves are NOT client/beneficiaries of the project, vendors or individual consultants. | |
| 5. Did your organization implement a USAID Poverty Assessment Tool (PAT) for the Fiscal Year in question? | ☐Yes<br>☐No<br><br>*If no, please briefly explain why you did not implement a Poverty Assessment Tool (PAT) this year:* |
| 5.1 Based on the results of your PAT implementation, what percentage of your clients are very poor? | ________%<br><br>☐No Data Available |
| 5.2 How do you feel that the PAT results (percentage of clients who are very poor) reflect the reality of your client base? | ☐The PAT results are too low - we believe that the percentage of our clients who are very poor is probably higher than this.<br><br>☐The PAT results are too high - we believe that the percentage of our clients who are very poor is probably lower than this.<br><br>☐This seems like is an accurate representation of our client-base. |

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| 6. Did your project conduct any of the following activities?<br>*(Please select all that apply.)* | ☐**Microfinance** including support to microfinance institutions, NGOs, banks, non-bank financial intermediaries, microfinance associations, business service providers to microentrepreneurs, and/or financial services activities targeting specific populations or sectors (health, energy, microinsurance).<br><br>Services provided to clients:<br>☐Lending ☐Savings ☐Training ☐Technical Assistance<br>☐Other financial services ☐Other enterprise services (*Check all that apply.)*<br><br>☐**Economic Strengthening -** working with very poor, vulnerable populations implemented by village groups (Voluntary Savings and Loan Associations (VSLAs), Self-Help Groups (SHG), (SACCOs) NGOs, Disabled People's Organizations (DPOs), Income Generating Projects, Livelihoods, Nutrition, Other supports<br><br>Services provided to clients:<br>☐Lending ☐Savings ☐Training ☐Technical Assistance<br>☐Other financial services ☐Other enterprise services (*Check all that apply.)*<br><br>☐**Value Chain Development - Rural and Agricultural (including farms with 10 employees or fewer)** involving cooperatives, Producers Associations, Ag extension (to small holders), Rural and Ag credit (to small holders), Warehouse Receipts (for small holders), Ag processing (small holders), Contract farming (purchasing from small holders), Export crops (small holders)<br><br>Services provided to clients: |

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| | ☐Lending ☐Savings ☐Training ☐Technical Assistance<br>☐Other financial services ☐Other enterprise services (*Check all that apply.)* |
| | ☐**Value Chain Development - Non-agricultural (including enterprises with 10 employees or fewer)** through Cooperatives, Marketing Associations, Crafts, Artisan production, Export promotion (including micro & SME producers)<br><br>Services provided to clients:<br>☐Lending ☐Savings ☐Training ☐Technical Assistance<br>☐Other financial services ☐Other enterprise services (*Check all that apply.)* |
| | ☐**SME finance and/or other SME services (non-agricultural, non-value chain)** affecting any enterprises with 10 employees or fewer<br><br>Services provided to clients:<br>☐Lending ☐Savings ☐Training ☐Technical Assistance<br>☐Other financial services ☐Other enterprise services (*Check all that apply.)* |
| | ☐**Mobile Financial Services** including mobile money, branchless banking, e-wallets, government payments, transfers<br><br>Services provided to clients:<br>☐Lending ☐Savings ☐Training ☐Technical Assistance<br>☐Other financial services ☐Other enterprise services (*Check all that apply.)* |
| | ☐**Enabling environment** activities affecting microenterprises, |

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| | smallholders, and/or farms with 10 employees or fewer.<br><br>Services provided to clients:<br>☐Training ☐Technical Assistance ☐Studies<br>(*Check all that apply.)*<br>☐**Other**<br><br>Please explain: |
| 7. Keeping in mind that the current USAID definition of microenterprise includes crop activities, did your project work (directly or indirectly) with microenterprises during the fiscal year in question? If so, please provide the number of microenterprises.<br><br>*(Please be sure to provided aggregated data including all of your relevant partners and subrecipients)*<br><br>*Definition*: USAID's definition of a microenterprise is "a very small enterprise owned and operated by poor people, usually in the informal sector. For USAID program purposes, the term is restricted to enterprises with 10 or fewer workers, including the microentrepreneur and any unpaid family workers. Crop production activities, previously excluded from the scope of the definition, are now included as long as they otherwise qualify on the basis of enterprise size and the economic status of the owner-operator and employees." | ______________ number of microenterprises<br><br>☐No Data Available<br><br>☐Not Applicable |
| 7.1 What percentage of those microenterprises were owned and operated by women? | ________%<br><br>☐No Data Available |

| | |
|---|---|
| 7.2 What percentage of those microenterprises were owned and operated by persons with disabilities? | ________% <br><br> ☐No Data Available |
| 7.3 What percentage of those microenterprises were located in rural areas? | ________% <br><br> ☐No Data Available |
| 7.4 What is the estimated total number of employees, including owners and unpaid family workers that work for the microenterprises participating in your activity? | _____________ number of employees <br><br> ☐No Data Available |
| 7.5 Of the number reported above (total number of employees, including owners and unpaid family members, that work for the microenterprises participating in your activity), how many are persons with disabilities? | _____________ number <br><br> ☐No Data Available |
| 7.6 Of the total number of microenterprises reported above, how many are participating in a value chain? (In this context, a value chain is defined as the full range of activities required to bring a product from conception to end use, including design, production, marketing, distribution, and support to get the product to the final consumer). | _____________ number of microenterprises <br><br> ☐No Data Available |
| | |

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| 7.7 Of the total number of microenterprises reported above, how many are paying for business services? | _____________ number of microenterprises<br><br>☐No Data Available |
| 7.7.1 Of the number of microenterprises that are paying for business services, how many are paying for business services at **market price**? | _____________ number of microenterprises<br><br>☐No Data Available |
| 7.7.2 Of the number of microenterprises that are paying for business services, how many are paying for business services at a **subsidized price**? | _____________ number of microenterprises<br><br>☐No Data Available |
| 8 Does your project facilitate value chain finance whereby microenterprises gain access to credit, trade finance, microinsurance, or other financial services from other firms in the value chain (such as input suppliers, processors or wholesalers)? | ☐Yes<br>☐No<br>☐No Data Available |
| 8.1 What is the total number of microenterprises accessing finance from within a value chain? | _____________ number of microenterprises<br><br>☐No Data Available |
| 9. Did your project work with the financial sector and/or support financial inclusion at the micro level during the fiscal year in question? | ☐Yes<br>☐No |
| 9.1 If your activity supported lending services at the micro level, what was the total number of borrowers at the end of the fiscal year in question? (Please be sure to provided aggregated data including all of your relevant partners and | _____________ number of borrowers<br><br>☐No Data Available |

| | |
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| subrecipients) | |
| 9.1.1 Number of women borrowers: | _____________ number of women borrowers<br><br>☐No Data Available |
| 9.1.2 Number of rural borrowers: | _____________ number of rural borrowers<br><br>☐No Data Available |
| 9.1.3 Number of borrowers with disabilities | _____________ number of borrowers with disabilities<br><br>☐No Data Available |
| 9.2 If your activity supported savings services at the micro level, what was the total number of savers at the end of the fiscal year in question?<br>*(Please be sure to provided aggregated data including all of your relevant partners and subrecipients)* | _____________ number of savers<br><br>☐No Data Available |
| 9.2.1 Number of women savers | _____________ number of women savers<br><br>☐No Data Available |
| 9.2.2 Number of rural savers | _____________ number of rural savers<br><br>☐No Data Available |
| 9.2.3 Number of savers with disabilities | _____________ number of savers with disabilities<br><br>☐No Data Available |
| 9.3 What is your project's total number of Microfinance | _____________ number of MFI partners |

| | |
|---|---|
| Institution partners? | ☐No Data Available |
| 9.3.1 What number of your Microfinance Institution partners which have attained **financial sustainability**? | _____________ number<br><br>☐No Data Available |
| 9.3.2 What number of your Microfinance Institution partners which have reached **operational sustainability**? | _____________ number<br><br>☐No Data Available |
| 9.4 Does your organization support the goal of promoting client protection principles, policies, and practices through its programming activities, either directly or indirectly? | ☐Yes<br>☐No<br>☐No Data Available |
| 9.4.1 If yes, what has your organization done to give evidence of such support over the past year? | ☐Signed on to the ACCION/CFI Smart Campaign or comparable initiative (if comparable initiative please define):___________________________________________<br><br>☐Undertaken a client protection self-assessment<br><br>☐Incorporated Smart Campaign (or comparable initiative) into third-party external rating process and analysis |
| 9.5 Does your project use USAID funding to build the institutional and human capacity of microfinance institutions? | ☐Yes<br>☐No<br>☐No Data Available |
| 9.5.1 Approximately what percentage of your microenterprise-related project funds go towards building institutional and human capacity of microfinance | ________% |

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| institutions? | ☐No Data Available |
| 9.5.2 How many persons with disabilities are employed in the institutions, or networks of institutions, benefiting from USAID support for building institutional and human capacity of microfinance institutions? | _____________ number with disabilities<br><br>☐No Data Available |
| 10 Did your project engage in enabling environment activities benefitting microenterprise and financial inclusion during the fiscal year in question? | ☐Yes<br>☐No |
| 10.1 Number of improvements in laws and regulations affecting the access of poor households to financial services **drafted** | _____________ number<br><br>☐No Data Available |
| 10.2 Number of improvements in laws and regulations affecting the access of poor households to financial services **enacted** | _____________ number<br><br>☐No Data Available |
| 10.3 Number of improvements in laws and regulations affecting the access of persons with disabilities to financial services **drafted** | _____________ number<br><br>☐No Data Available |
| 10.4 Number of improvements in laws and regulations affecting the access of persons with disabilities to financial services **enacted** | _____________ number<br><br>☐No Data Available |
| 10.5 Number of improvements in laws and regulations affecting the operations of microenterprises **drafted** | _____________ number<br><br>☐No Data Available |

| | |
|---|---|
| 10.6 Number of improvements in laws and regulations affecting the operations of microenterprises **enacted** | ______________ number<br><br>☐No Data Available |
| 10.7 Number of improvements in laws and regulations affecting the registration of microenterprises **drafted** | ______________ number<br><br>☐No Data Available |
| 10.8 Number of improvements in laws and regulations affecting the registration of microenterprises **enacted** | ______________ number<br><br>☐No Data Available |

If you would like to elaborate further on any of your answers above, or provide feedback to the MRR Help Desk, please use the space provided below:

| |
|---|
| Comment: |

**Sub-Recipients Form**

If you indicated on question 4 that you provided support to sub-recipients through a sub-allocation of resources, please use this form to provide your sub-recipient amount(s) for this reporting year. You should only list sub-recipients related to the microenterprise or microfinance component of the project(s) on which you reported in this questionnaire.

| | |
|---|---|
| Sub-Recipient Country of Operation: | |
| Sub-Recipient Name: | |

<table>
<tr><td>Sub-Recipient Type of Institution:</td><td><table>
<tr><td>☐Bank</td><td>☐Business Association</td></tr>
<tr><td>☐Chamber of Commerce</td><td>☐Consulting Firm</td></tr>
<tr><td>☐Cooperative</td><td>☐Credit Union</td></tr>
<tr><td>☐Finance Company</td><td>☐For Profit</td></tr>
<tr><td>☐Government Agency</td><td>☐NGO</td></tr>
<tr><td>☐Non-Bank Financial Institution</td><td>☐Other</td></tr>
<tr><td>☐Private Bank</td><td>☐PVO</td></tr>
<tr><td>☐Research/Educational</td><td>☐Rural Bank</td></tr>
<tr><td>☐USAID</td><td></td></tr>
</table></td></tr>
<tr><td>Sub-Recipient Amount:<br>(Note: This can include direct funding, technical assistance, commodities, guarantee)</td><td></td></tr>
<tr><td>Sub- Recipient Mechanism Type:</td><td>☐Grant<br>☐Subcontract<br>☐Other</td></tr>
</table>

## *ANNEX C: MISSION DATA VERIFICATION CHECKLIST (FY 2011)*

### General

1. Check to see if the data entry status has been updated to **Completed** for all FY 2011 Obligation, associated Implementing Mechanism, and partner records. If the Mission/Operating Unit already confirmed that they have completed their data entries for the current reporting fiscal year but did not change their status to Completed, go ahead and set the status for them before the report is generated and just point this out in the data verification email for future reference. If no such confirmation has been received, point this out in the data verification email and either request that they complete this final step of their reporting requirements for the current reporting fiscal year or offer to complete this step for them upon final confirmation.

2. If the Mission/Operating Unit still has **In Progress** records from previous fiscal years, check for missing information such as pending agreements or unallocated funds. This information will need to be updated. Currently we are only going back to FY09.

3. Cross-check current reporting fiscal year total obligations for each mission with projected amounts from last year (see spreadsheet provided by COTR) for approximate consistency in funding levels. Totals don't have to match, but flag any major discrepancies. As a general rule, anything meeting either of these two criteria needs to be flagged: (1) the difference between them is $500k or more, or (2) the difference between them is multiplied by a factor of 10 or more. That second check is to help mitigate instances where there could be an extra or missing digit. For example, if the COTR's sheet says $400,000, but our database only shows $400 or maybe $40,000, that should be flagged. *(Note that this step was not used in FY 2011 because the COTR did not provide the necessary spreadsheet.)*

### Obligations and Allocations

1. Review obligation records for "duplicate" obligations and collapse if necessary (see General Guidance for Cleaning Duplicate Obligations attached below and saved at C410 - MRR\Activities\Mission data collection & review\FY 2008\Mission Data Cleanup).

   General Guidance for
   Cleaning duplicate ob

2. Review obligation notes (if any) to ensure that the total obligation amount comes from one funding account and one origin. If not, this amount will have to be split accordingly. Sometimes missions will list the funding breakdown and/or the implementing partners that received this funding in the notes, rather than allocating the appropriate funding to implementing mechanisms. Unless the record is for a future fiscal year, all funding should be allocated to a valid mechanism.

3. Be sure that the entire obligation amount has been allocated to either a valid *Implementing Mechanism*, a *Pending Agreement*, or as *Microenterprise Support*. We should flag any Microenterprise Support allocations that seem unusually high (anything

over $100,000), unless that figure seems consistent with last year's figure.

4. Review Allocation records for completeness and accuracy. Make sure that the data entry status has been set to **Completed**. For both Allocation and Obligations, it is important to review the actual amount and take note if it looks unusually high or low, like something in the hundreds, or something above $20 million or $30 million. These figures may be valid, but they could also be missing a digit, or have extra digits.

5. Review the Program Element selected from the drop-down menu. Funds allocated to the same **Mechanism, Program Element**, and **Technical Area**, need to be collapsed into one record. The system will not allow duplicate Allocation details to be entered.

6. Review the response to whether the obligation is pro-rated. If there is an obligation note or program description that suggests that the obligation should have been pro-rated but it wasn't, the response needs to be verified.

7. Check to see if the mission included any PL-480/Title II or Local Currency (LC) funding as part of their portfolio. The Office of Food for Peace used to provide this obligation data, but effective FY 2007, missions were asked to provide this information directly. In FY 09 MRR generated a list of institutions working in countries that received such funding for the previous fiscal year. MRR then contacted these missions to verify whether any of this funding can be attributed towards microenterprise development. (See PL480 emails sent in FY07 in the MRR inbox for guidance).

8. Similarly, the Feed the Future list of countries are given special attention and MRR contacts these missions to verify whether any of the FTF funding was attributed towards microenterprise development. In FY 2011, the MRR Team requested these missions to provide this information.

9. Review future year projection records (if any). Funds under future year obligations do not need to be allocated to the applicable implementing mechanism. The status must remain **In Progress** because the system will not allow the user to complete an obligation for future fiscal years and it is understood that these records will be re-visited during next year's data collection cycle.

**Implementing Mechanisms**

1. Review each Implementing Mechanism record by clicking on the hyperlink in the main obligations grid for the relevant Mission/Operating Unit. *Microenterprise Support* and *Pending Agreement* are not hyperlinked.

2. Be sure that all required fields have been completed and is consistent with the information required by each data field. For example, the Implementing Mechanism Number data field should only capture the Number of the Agreement, Contract etc. and not the Name of the Implementing Partner or mechanism type. The format varies but generally this number is displayed as xx-xxx-xx-xxx-xxxx. Sometimes the user will enter irrelevant data in this field so this needs to be cleaned. Sometimes Task Order No. X will be included in this field so this is acceptable.

3. Be sure the start and end dates specified make sense.

4. Review mechanisms used in the current reporting year and compare with other mechanism records for that mission listed on the Implementing Mechanism page. Due to data migration, duplicate mechanism records are listed multiple times with different allocations associated with them. In FY08 these records were reviewed carefully and verified with the mission to determine which mechanism is valid. Due to the numerous records that needed to be cleaned, MRR only went as far back as 2003 to clean these records. Although most duplicate records are cleaned, some Missions will inadvertently create a new mechanism in the current reporting year even though the mechanism is already in the database. MRR checks for this. In FY 2011, a few more duplicate mechanisms were deleted.

5. Review the mechanism tab on the report itself. There appears to be a technical glitch in some of the queries that have been generated to run these verification reports, so often the same mechanism will be listed multiple times even though all data fields are identical and the website only shows one mechanism record. This should now be fixed, but double check anyway and be sure to delete any “duplicate” mechanisms from the spreadsheet.

6. Review the responses to Matching Funds, anti-trafficking, and Umbrella component to make sure it’s consistent with the report. We’ve had some issues where the verification report generated by MRR has some glitches where it’s showing a “no” response by default even if the response on the website is “yes.” This should now be fixed, but double check anyway.

7. Be sure the data entry status has been set to **Completed**. If the record is still in progress, but all of the required fields have been completed, go ahead and change the status to **Completed** and point this out in the data verification email.

**Partners**

1. Review the Partner information associated with each Implementing Mechanism record for completeness and accuracy. Make sure all required fields have been completed.

2. Review each contact record listed under the Partner record for completeness and accuracy. Note, the system will display these records multiple times for each contact listed on the View Partners page. We need to be mindful of “new” or incomplete partner records that are created. We want to be sure that the appropriate mechanism is linked to the appropriate partner.

3. Be sure the data entry status has been set to **Completed**. If the record is still in progress, but all of the required fields have been completed, go ahead and change the status to **Completed** and point this out in the data verification email. If there are still missing pieces of key information, such as contact information, verify this with the mission and then update the status to **Completed** once the missing information has been verified.

## *ANNEX D: MRR BACKGROUND AND LEGISLATION*

Prior to Microenterprise Results Reporting (MRR), USAID funded the Microenterprise Monitoring System (MEMS), which began tracking USAID funding to the microenterprise sector in 1988. When the MEMS contract, managed by Management Systems International (MSI), ended and after USAID launched its **1994 Microenterprise Initiative**, plans began for a new system that would allow USAID to link Agency funding more explicitly to its implementing partners.

The Microenterprise Initiative was later **renewed in July 1997** with bipartisan Congressional support and the support of the Microenterprise Coalition. In the renewed Microenterprise Initiative, USAID pledged to the U.S. Congress that its programs would have the following characteristics:

- More than half of all microenterprise clients would be women
- More than half of all funds directed to microenterprise credit programs would be channeled to poverty lending
- At least two-thirds of the clients of microfinance institutions would receive poverty loans
- The average repayment rates for Microfinance Institutions (MFIs) receiving USAID support would be 95 percent or above
- Every MFI supported by USAID would have a plan for reaching full financial sustainability within a credible period of time

USAID also set a target of 15 percent annual growth in the number of clients receiving services.

In September 2000, the **Microenterprise for Self-Reliance Act (PL 106-309)** further defined Congress's commitment to and guidance of microenterprise development:

- More than half of all funds directed to microenterprise (not just microfinance) would go toward the very poor, defined as those living on less than $1/day Purchasing Power Parity (PPP)
- The poverty loan amounts for each region were set (based on 1995 dollars) at $1000 in Europe and Eurasia, $400 in Latin America, and $300 in all other parts of the world
- Funds for business development services clients would also count toward the poverty target
- Annual reports on microenterprise development would address the ways USAID has implemented these objectives

An **Amendment to this act (PL 108-31)**, enacted in June 2003, increased the targeted amount of USAID assistance to microenterprise development and expanded the definition of "very poor" to include those living in the bottom 50% of the population below the national poverty line. In December 2004, the **Microenterprise Results and Accountability Act of 2004 (PL 108-484)** added further provisions. Among them were requirements that USAID would:

- Continue to expand the availability of (1) financial services, (2) Business Development Services (BDS) and capacity building to microenterprise assistance institutions, and (3) policy, regulatory programs and research to improve the enabling environment for microenterprises
- Use implementing organizations and central funding mechanisms that meet Agency requirements for efficiency and cost-effectiveness
- Strengthen its microenterprise monitoring system, to include performance goals and indicators and implementation of Poverty Assessment Tools (PATs) certified by the Agency for the measurement of the poverty levels of current or prospective microenterprise clients
- **Submit a detailed report no later than June 30 each year** (beginning in 2006), including the following:

    1. The details of all grants, contracts, and agreements made by USAID, including amounts made through central mechanisms
    2. The process and results of applying the new poverty assessment measures
    3. Information on ways the agency is working to include and assist victims of trafficking and other forms of exploitation
    4. Estimates on the percentage of beneficiaries in countries where poverty correlates with race or ethnicity
    5. The amount of assistance made through sub grants to direct service providers and an analysis of the comparative cost-effectiveness and sustainability of projects carried out under these mechanisms

### MRR Reporting Requirements:

| | |
|---|---|
| 1 | **Funding:** The number of grants, cooperative agreements, contracts, contributions, or other form of assistance provided under section 252 [the section of the law authorizing USAID to provide microenterprise assistance], with a listing of: |
| | (A) the amount of each grant, cooperative agreement, contract, contribution or other form of assistance; |
| | (B) the name of each recipient and each developing country with respect to which projects or activities under the grant, cooperative agreement, contract, contribution, or other form of assistance were carried out; and |
| | (C) a listing of the number of countries receiving assistance authorized by section 252. |
| 2 | **Central Mechanisms:** The amount of assistance provided under section 252 through central mechanisms. |
| 3 | **Development Credit Authority:** The name of each country that receives assistance under section 256 [the section of the law pertaining to the Development Credit Authority and credit instruments] and the amount of such assistance. |
| 4 | **USAID Funding Recipients:**<br>The level of funding provided through contracts; the level of funding provided through grants, contracts, and cooperative agreements that is estimated to be subgranted or subcontracted, as the case may be, to direct service providers; and an analysis of the comparative cost-effectiveness and sustainability of projects carried out under these mechanisms. |
| 5 | **Matching Assistance:** It is the sense of Congress that USAID should include in the report required by section 258 of the Foreign Assistance Act of 1961 [as added by section 6 of this Act] a description of all matching assistance [as described in paragraph (1)] provided for the prior year by recipients of microenterprise development assistance under such title. |
| 6 | **Funds for Very Poor Clients:** The percentage of assistance furnished under section 252 that was allocated to the very poor based on the data collected using the certified methods required by section 254 [the section of the law outlining the requirement for USAID to develop client poverty assessment methods and require their use by awardees by October 2006]. |
| 7 | **Estimated Number of the Very Poor** reached with assistance provided under section 252. |

| | |
|---|---|
| 8 | **Poverty Assessment Methods:** The process of developing and applying poverty assessment procedures required under section 254. |
| 9 | **Funds to Assist Victims of Trafficking and Exploitation:** Information on the efforts of the Agency to ensure that recipients of United States microenterprise and microfinance development assistance work closely with non-governmental organizations and foreign governments to identify and assist victims or potential victims of severe forms of trafficking in persons and women who are victims of or susceptible to other forms of exploitation and violence. |
| 10 | **Poverty and Race/Ethnicity:** An estimate of the percentage of beneficiaries of assistance under this title in countries where a strong relationship between poverty and race or ethnicity has been demonstrated. |
| 11 | **Performance Monitoring System:** The results of the monitoring system required under section 253 [see A-D below]. |
| | (A) The monitoring system shall include performance goals for the assistance and expresses such goals in an objective and quantifiable form, to the extent feasible. |
| | (B) The monitoring system shall include performance indicators to be used in measuring or assessing the achievement of the performance goals described in paragraph (1) and the objective of the assistance authorized under section 252. |
| | (C) The monitoring system provides a basis for recommendations for adjustments to the assistance to enhance the sustainability and the impact of the assistance, particularly the impact of such assistance on the very poor, particularly poor women. |
| | (D) The monitoring system adopts the widespread use of proven and effective poverty assessment tools to successfully identify the very poor and ensure that they receive adequate access to microenterprise loans, savings, and assistance. |
| 12 | **Additional Information:** Any additional information relating to the provision of assistance authorized by this title, including the use of poverty assessment methods required by section 254, or additional information on assistance provided by the United States to support microenterprise development under this title or any other provision of law. |

## *ANNEX E: PROJECT TIMELINE*

| MRR Tasks | Performance Period | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | FY 2012 (reporting on FY 2011) | | | | | | | | | | | |
| | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | June | July | Aug | Sep |
| **Task A - Tracking of Estimated and Actual Obligations** | | | | | | | | | | | | |
| A.1 Update operations manual | | | | | | | | | | | | |
| A.2 Update and maintain point-of-contact information for Missions and Operating Units | | | | | | | | | | | | |
| A.3 Update and distribute instructions to Missions | | | | | | | | | | | | |
| A.4 Provide help desk support to Missions | | | | | | | | | | | | |
| A.5 Obtain and review estimated and actual obligation data | | | | | | | | | | | | |
| A.6 Resolve data problems | | | | | | | | | | | | |
| A.7 Promote Mission data collection in Connections and on microLINKS | | | | | | | | | | | | |
| A.8 Finalize obligation data entry | | | | | | | | | | | | |
| **Task B - Microfinance, Enterprise Development, and Enabling Environment Institution Tracking** | | | | | | | | | | | | |
| B.1 Assign appropriate questionnaire (ED, MFI, Policy) to implementing partners | | | | | | | | | | | | |
| B.2 Provide help desk support to implementing partners | | | | | | | | | | | | |
| B.3 Follow-up with implementing partners to improve response rates | | | | | | | | | | | | |
| B.4 Ensure data accuracy through data cleaning & identify priority indicators for review | | | | | | | | | | | | |
| B.5 Finalize implementing partner data entry | | | | | | | | | | | | |
| **Task C - USAID Microenterprise Results Reporting Publications** | | | | | | | | | | | | |
| C.1 Collect supporting information and prepare draft report | | | | | | | | | | | | |
| C.2 Develop, produce, and disseminate the annual report | | | | | | | | | | | | |
| C.3 Prepare statistical annexes | | | | | | | | | | | | |
| **Task D - Microenterprise Results Reporting Web Site** | | | | | | | | | | | | |
| C.1 Maintain the MRR website and database | | | | | | | | | | | | |
| C.2 Refine MRR services | | | | | | | | | | | | |
| C.3 Develop new capabilities, as required | | | | | | | | | | | | |
| C.4 Address inquiries for analysis | | | | | | | | | | | | |
| C.5 Other tasks as assigned | | | | | | | | | | | | |
| **Poverty Tools and DCA** | | | | | | | | | | | | |
| Work with PAT team to develop appropriate procedures for PAT data collection | | | | | | | | | | | | |
| Work with PAT team to develop language for Missions on PAT | | | | | | | | | | | | |
| Adapt questionnaires to include any new PAT questions | | | | | | | | | | | | |
| Determine which institutions will report on PAT and assign questionnaires | | | | | | | | | | | | |
| Share PAT results data with PAT team | | | | | | | | | | | | |
| Contact DCA to obtain information on guarantees | | | | | | | | | | | | |
| **Project Management** | | | | | | | | | | | | |
| Submit annual work plan | | | | | | | | | | | | |
| Conduct regular meetings with Activity Manager | | | | | | | | | | | | |
| Manage project finances, including budget management and invoicing | | | | | | | | | | | | |
| Manage subcontractors, vendors, and consultants | | | | | | | | | | | | |
| Prepare quarterly accrual reports | | | | | | | | | | | | |
| Develop quarterly progress reports | | | | | | | | | | | | |
| Conduct regular database and system backups | | | | | | | | | | | | |

# ANNEX F: MISSION CONTACT LIST

| Mission | First Name | Last Name | Title | Primary Phone | Email |
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| Afghanistan | Rahmatullah | Zahin | Project Management Specialist | 0093 797 777 311 | RZahin@usaid.gov |
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## *ANNEX G: MISSION VERIFICATION REPORT*

Attached below is a sample Mission Verification report. Double-click on the attachment to open the report.

Mission Verification
Report Example.xls