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**EDUCATION**

## **2011-2015 USAID Education Strategy Update to Reporting Guidance**

**August 2014**

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## Glossary

**EMIS:** Education Management Information System. A host-country data system used to track school and teacher data, including pupil enrollment figures.

**Direct Beneficiaries:** Beneficiaries reached with direct USG assistance. Direct beneficiaries are defined as beneficiaries reached through an activity funded fully or partly by USG.

**Direct Effects:** A program has a direct effect on program beneficiaries if there are no intermediate actors between the implementation of an activity and the intended Goal One or Goal Three result.

**Indirect Beneficiaries:** Indirect beneficiaries are defined as beneficiaries reached through an activity that was not funded by USAID but can be plausibly attributed to USAID because USAID had an instrumental role in developing the technical approach used in the intervention.

**Indirect Effects:** A program has an indirect effect on program beneficiaries if there are intermediate actors between the implementation of an activity and the intended Goal One or Goal Three result.

**New Entrant:** For the purposes of the strategy, a new entrant is considered to be a learner who is accessing, for the first time, the entry grade/year of education targeted by an activity. New entrants can be identified as non-repeating learners attending the entry grade/year. If an activity targets the beginning of primary school, then the entry grade/year is usually Grade 1. If the activity targets higher grades/years, then the entry grade/year is the first grade/year targeted by the activity.

**SART:** USAID's "Secondary Analysis and Results Tracking" contract held by Optimal Solutions to facilitate the central collection and analysis of USAID Goal One and Goal Three data.

This update to USAID’s Education Strategy reporting guidance has been developed to ensure that Missions have a clear understanding of the data requirements and processes in place so that USAID is able to transparently report on the impact of Basic Education resources through contributions to Goal One and Goal Three of the [2011-2015 Education Strategy](#). This update to guidance will also assist AO/CO’s and AOR/COR’s as they develop plans to ensure that their instruments meet USAID reporting requirements. For further clarification on reporting towards Goals One and Three, Missions should contact Ben Sylla (bsylla@usaid.gov), who manages Agency-level reporting towards the Education Strategy. Goal One and Goal Three data reported by Missions will be analyzed by Optimal Solutions, the implementing partner for USAID’s “Secondary Analysis and Results Tracking” (SART) contract, in order to produce top-line Agency counts for the two Goals.

## Goals One and Three – Update to Data Transfer Guidance

### Timeframe for Data Transfer

Because of the nature and periodicity of data needed to report on progress towards Goal One and Goal Three, the timeframes for the transfer of data for projects aligned with each goal is different. For Goal One projects, the timing of data transfer is linked to the timing of implementation of student learning assessments. For Goal Three projects, the timing of data transfer is linked to specific calendar dates.

#### Goal One Projects

*For projects aligned with Goal One, Missions are asked to review the **Update to Goal One Guidance** and submit completed Goal One Activity Rosters to USAID by **Monday, September 8, 2014**. Missions are asked to submit completed Unique Beneficiary Reporting Sheets to USAID by **Tuesday, October 14, 2014**. Missions should transmit learning assessment data and related materials to USAID within **90 days** of the completion of each phase (e.g. baseline, midline, endline) of data collection. For data that have already been collected, projects should be directed to transmit data **by Monday, November 3, 2014**. Data received sooner will be welcome. Further information on the specific data needed for Goal One projects can be found in the **Update to Goal One Guidance**.*

#### Goal Three Projects

*For projects aligned with Goal Three, Missions are asked to complete the first two steps outlined in the **Update to Goal Three Guidance** and submit completed Goal Three Activity Rosters to USAID **by Monday, September 8, 2014**. If Missions elect to have Step 3 completed by Optimal Solutions, data should be transmitted to USAID **by Tuesday, October 14, 2014**. If Missions elect to have Step 3 completed in-country, then completed sheets should be transmitted **by Monday, November 3, 2014**. Further information on the specific data needed to perform the Goal Three projects is provided in the **Update to Goal Three Guidance**.*

#### Projects aligned with Goal One and Goal Three

Projects aligned with both Goal One and Goal Three should submit data for Goal One and Goal Three by the above requested timelines.

## **Data are transferred to USAID, not to Optimal Solutions**

Language used in USAID-funded contracts and grants to describe data transfer should state that data will be “transferred to USAID” and not “transferred to Optimal Solutions.” This clarifies that USAID retains ultimate control over any decisions on the use or sharing of data, both during and beyond the life of the SART program. As USAID’s implementing partner for the SART contract, Optimal Solutions, provides services such as hosting and managing the data that are controlled by USAID. This distinction is important because it clarifies that USAID maintains legal control over the data, whereas Optimal Solutions provides technical services related to the storage and management of data on behalf of USAID. When data are transferred, they go to a data system hosted and managed by Optimal Solutions. However, transferred data are under USAID’s legal control.

## **USAID has license to request and make use of data**

Whenever data have been collected using funding solely from USAID, USAID has the legal right to request and make use of the data.

- For assistance awards, under 22 CFR 226.36(c)(1), USAID has the right to “Obtain, reproduce, publish or otherwise use the data first produced under an award.”
- For acquisition awards, under 52.227-14, USAID has the right to “use, disclose, reproduce, prepare derivative works, distribute copies to the public, and perform publicly and display publicly, in any manner and for any purpose, and to have or permit others to do so” for data first produced in performance of the contract.

Although some contracts or agreements may include additional or different statements or clauses related to data license, USAID always has the right to request and make use of data produced with USAID funding.

For data that have been collected using USAID funds, the Agency is legally empowered to direct implementers to transmit the data to the Agency. There is no need for USAID to sign any further agreements (such as a data transfer-, non-disclosure-, or liability agreement) before data are transferred because this right to the data is written into our contracts and agreements.

When USAID is not the sole funder of data collection, there may be additional considerations in determining USAID’s rights to collect and make use of data. Missions should ensure that USAID has license to make use of data transferred to it.

- If data collection is partly funded by USAID and partly funded by a third-party, then USAID must ensure that the third-party provides USAID a license to use the data. This may be accomplished through an agreement or MOU between USAID and the third-party. Ideally, this would be discussed and agreed prior to data collection.
- If data collection was not funded by USAID, USAID does not have a legal right to the data. USAID will need to enter into an agreement with the data owner in order to gain access to the data.

In these cases, Missions should lead the process of negotiating access to the needed data.

USAID/Washington requests written information from Missions clarifying USAID’s right to use data obtained from the owner.

## Expectations for the use of data transferred to USAID

At present, E3/ED anticipates three public uses for data related to Goal One and Goal Three of the Education Strategy. These uses are listed here in order from the narrowest (but most necessary) use of the data, to broader uses. Although only the first of these three uses is absolutely required by E3/ED at present, Missions are strongly encouraged to pave the way for datasets to be used for all three purposes. The forthcoming USAID Open Data policy may introduce further requirements on the use of data.

- **Agency-Level Reporting:** Datasets for each project will be analyzed by Optimal Solutions to determine the extent of the project's contribution to the Goal One or Goal Three of the Education Strategy. Findings will be aggregated by country, project, and by gender, and will be published in USAID reports. This represents the narrowest possible use of the data transmitted to USAID, and is necessary to meet USAID reporting obligations.
- **Data Analyses:** In addition to the Agency-level reporting described above, datasets for each project will be analyzed and used to communicate the status of goal-relevant information for the population represented by the project. This information may be organized into briefing documents or presented in an interactive online format. Data may be disaggregated by sex, grade, province, or other pertinent identifiers. Analyses will be packaged to communicate the impact of the work that USAID performs, and serve as a source of information on the context of Goal Three and Goal One work among target populations.
- **Downloadable Datasets:** In addition to the uses described above, micro data datasets may be made available for researchers and other members of the public to download and analyze for independent research purposes. Datasets that are made available for download will not include any information that might make it possible for data users to identify specific pupils, teachers, schools, or administrators associated with the data collection. Depending on the dataset, it may be possible to associate data with a particular project and country, as well as demographic identifiers such as sex, grade, age, state, and urbanicity.

The process and rationale for sharing education data sets in this manner is similar to that for sharing health data through the Demographic and Health Surveys (DHS) program. Data will be shared in a responsible and controlled manner and proper steps taken to protect the identities of individuals represented in the data. Making datasets available for research will unlock the wealth of information contained within the datasets to contribute to the global knowledge base and provide support to others who are working to further USAID's education goals.

## Communicating with host governments about data transfer

Even when USAID has a clear legal right to the data collected with USAID funding, Missions may need to balance these imperatives with the need to maintain constructive relationships with host country governments.

Missions are encouraged to communicate openly with host country governments about the need to transfer data for USAID reporting purposes. Staff leading this discussion should make clear that the goal of the transfer is for USAID accountability to our taxpayers and to deepen the international knowledge

base on Goals One and Three. It may help in these conversations to remind host governments that the data will not have identifiers that could single out any particular child, teacher, or school, and that the analyses funded by USAID under the SART contract will be at a global level and will not reveal information at a level of detail that is deeper than what should already be available in project and assessment reports. Missions may also wish to draw an analogy to the Demographic and Health Surveys (DHS) Program, which makes sensitive demographic and health data available to researchers in a way that protects the privacy of survey respondents and builds the global knowledge base without being critical of host country governments. Because data transfer is an Agency requirement, it is appropriate for Missions to reach out to host governments to undertake this discussion, rather than leaving it up to implementing partners to negotiate on the US Government's behalf. If necessary, senior Mission staff or E3/DAA involvement may be advisable.

If a Mission anticipates that it would be damaging to host government relations if a dataset were used in the ways described in the previous section, Missions should contact E3/ED to develop a strategy for balancing these concerns with the USG's obligation to fulfil open data requirements.

### **Managing future expectations on data transparency**

When communicating with host country governments about future rounds of data collection funded by USAID, Missions should keep in mind that USG and USAID policy towards data is shifting to focus on the central management of data as a public resource. The USAID [Open Data Policy](#) and forthcoming ADS Chapter 579 are designed to comply with an Executive Order on open data and will include guidance that data collected with USAID funds be retrieved from implementing partners and made accessible to the public through a central data repository. In future conversations with implementing partners and host country governments, Missions should bear in mind the expectation that data collected using USAID funding be treated as an open, public resource.

### **Preparing data for transfer to USAID *may* require increased level of effort for implementing partners**

The majority of the data analysis work needed to calculate USAID's progress towards Goal One and Goal Three will be performed by Optimal Solutions at no expense to Missions. However, some work must be performed by implementing partners to prepare data before they can be transferred to USAID. The **Update to Goal One Guidance** and **Update to Goal Three Guidance** sections of this document outline expectations for final datasets ready to be transferred to USAID. With one exception, the steps required are generally in line with expected practices for managing and maintaining data and are steps that implementing partners would normally take to prepare their data.

The exception noted above is the requirement for all potential Personally Identifying Information (PII) to be removed from datasets before they are transferred to USAID. If, for example, award language did not specify that the implementing partner would need to transfer datasets to USAID, data may not have been collected using protocols to meet the Agency's PII protection standards. Implementing partners may ask to see this added PII protection requirement reflected in the level of effort for their contract/agreement.

## Working with implementing partners who are reluctant to share data

Some implementing partners may be reluctant to transfer their datasets to USAID for a variety of reasons. USAID/Washington's E3/ED and regional bureaus are available to work with Missions to develop strategies for dealing with these situations.

- In some cases, it may be helpful for Missions to formalize the request for data using the **Sample Data Request Letter** included in this document, or to require data transfer through a modification that integrates the **Sample Award Language for Goal One Projects** and **Sample Award Language for Goal Three Projects** included in this document.
- In other cases the education office may be able to reach out to the home office of the implementing partner to clarify the need for data transfer at a more central level.
- The E3/ED and Regional Bureaus are also available to work with Missions to develop strategies for mitigating data transfer impediments related to concerns over data use raised by host country governments or concerns related to Institutional Review Boards and the ethical treatment of data on human research subjects.

## Specific steps for facilitating the transfer of datasets to USAID

Missions may find it helpful to take all or some of the steps outlined below in order to formally document the requirement that implementing partners transfer data to USAID. USAID strongly suggests that all new Goal One or Goal Three projects include the award language referenced here.

### 1) Contract/Agreement Officer sends a letter to formally notify implementers of the need to transfer data to USAID.

The **Sample Data Request Letter** can be used to formally notify implementing partners of the need to transfer datasets to USAID. The letter can be transmitted to all implementing partners working on past or present Goal One or Goal Three programs. The letter directs partners to transfer datasets to USAID and provides instruction on how to do so. Because the instructions may cause some implementing partners an increased level of effort (as discussed above), it is important that the instructions come from their Contract Officer/Agreement Officer who can work with them to accommodate this.

### 2) Contract/Agreement Officer modifies contract or agreement to require the transfer of datasets and related data and technical materials.

The **Sample Award Language for Goal One Projects** and **Sample Award Language for Goal Three Projects** can be added to a contract or agreement through a modification in order to formalize the requirement and specific terms under which Goal One and Goal Three data and technical materials are transferred to USAID. Contract/Agreement Officers are encouraged to add this language to existing contracts or agreements to ensure that future expectations for data transfer are clear.

### 3) Contract/Agreement Officer Representative provides the implementer with specific guidelines for the preparation and collection of data to be transmitted.

The attached **Update to Goal One Guidance** and **Update to Goal Three Guidance** documents outline expectations for the data USAID requires in order to carry out the Goal One and Goal Three counts. The documents also provide guidance on the condition and format of data to be transmitted, and related materials (such as reports and assessment design information) needed for outside researchers to be able to analyze the data properly. Please share these documents with implementing partners to clarify understanding of how data should be prepared for transfer to USAID.

#### **4) Implementing Partner transfers data and related materials to USAID.**

Implementing partners can transfer data and related materials to USAID in any of three ways:

- 1) on a CD delivered via FedEx;
- 2) on a CD delivered via diplomatic pouch;
- 3) via email transmitted from a [usaid.gov](mailto:usaid.gov) email address to a [usaid.gov](mailto:usaid.gov) email address

Data transferred via any of these methods will be transferred into the control of USAID and hosted on a data system managed by Optimal Solutions. To arrange a transfer of data, Missions or implementers should contact Ben Sylla at [bsylla@usaid.gov](mailto:bsylla@usaid.gov).

For further guidance or clarification, please contact Ben Sylla at [bsylla@usaid.gov](mailto:bsylla@usaid.gov).

## Sample Data Request Letter from AO/CO to Partners<sup>1</sup>

DATE

Agreement or Contract Number

Dear (Name) USAID Education Implementing Partner,

The USAID Education Strategy (2011-2015) identifies three Agency-level education goals: Goal One, *Improved reading skills for 100 million children in primary grades*; Goal Two, *Improved ability of tertiary and workforce development programs to generate workforce skills relevant to a country's development goals*; and Goal Three, *Increased equitable access to education in crisis and conflict environments for 15 million learners*.

In order to analyze, synthesize, and report on the data collected by USAID partners from around the world, USAID/Washington has established the Secondary Analysis and Results Tracking (SART) contract mechanism for reporting the results for Goal One and Goal Three. It is expected that partners who collect primary data for reporting progress towards these goals will share these data with USAID for Agency-level analysis under the SART contract. This ultimately will allow USAID/Washington to report internally and to audiences such as the U.S. Congress on topline results toward the goals.

Under the terms of the award you manage, USAID retains rights to obtain and use data first produced under the award.<sup>2</sup> In keeping with these rights, we request that you work with your CO/AO and COR/AOR to transmit data and supporting materials related to Goals One and Three to USAID within the specified timeframes. For Goal One programs, data and related materials are to be transmitted within ninety (90) calendar days of the completion of data collection activities. For data and materials that have already been collected but have not been transmitted to USAID, we request that you transmit the materials to USAID by Monday November 3, 2014. For Goal Three programs, data and related materials should be transmitted on an annual basis according to a schedule communicated by your COR/AOR.

Because the terms for data transfer are documented in your award, there is no need to enter into a data transfer agreement or nondisclosure agreement to document terms of data transfer. Data and supporting materials may be transmitted to USAID in any of three ways: via FedEx, via a secure ftp server, or through a web interface at [www.SARTdatacollection.org](http://www.SARTdatacollection.org). Instructions for submitting data via these methods can be obtained from [info@SARTDataCollection.org](mailto:info@SARTDataCollection.org).

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<sup>1</sup> This document has been reviewed and approved by M/GC and M/OAA. Soft-copies are available on the [USAID Education Toolkit](#).

<sup>2</sup> For assistance awards, under 22 CFR 226.36(c)(1), USAID has the right to “Obtain, reproduce, publish or otherwise use the data first produced under an award.” For acquisition awards, under 52.227-14, USAID has the right to “use, disclose, reproduce, prepare derivative works, distribute copies to the public, and perform publicly and display publicly, in any manner and for any purpose, and to have or permit others to do so” for data first produced in performance of the contract.

Reading assessment micro data transmitted to USAID must be provided in stata, spss, or an open and machine readable format (e.g. csv, json, xml). Data should be considered final and fully cleaned and processed in accordance with the terms of your award, and be transmitted along with sufficient documentation to facilitate use by a qualified analyst. School participation data may be transmitted in excel or an open and machine readable format. Your COR/AOR will provide further guidance on how data should be prepared for transfer.

In compliance with U.S. Government federal regulations and most implementing partners' institutional review boards, the data transferred to USAID must not contain personal identifying information. Direct or indirect identifiers that could be tracked back to individual students, teachers, or schools should be removed before data are transmitted. At the same time, sufficient information should be preserved to allow analysis over personal characteristics (such as sex and age), school characteristics (such as urbanicity), and experimental design.

Your contract/agreement will be modified to reflect this reporting requirement. Should you have questions or require further guidance, please contact your COR/AOR.

Sincerely,

NAME

## Sample Award Language for Goal One Projects<sup>3</sup>

### **“Provide data, technical materials, and other information produced in the execution of USAID funded activities**

The Awardee will provide USAID with data, technical materials, and other relevant materials produced in the execution of this Award. This includes pedagogical materials and other technical inputs developed to support early grade reading outcomes and other Award objectives, as well as data and information needed for reporting under the relevant foreign assistance objectives, areas and elements.

#### *Pedagogical Materials and Technical Inputs*

The Awardee is required to provide pedagogical materials and other technical inputs developed to support early grade reading outcomes and other Award objectives. Examples of technical inputs to be provided to USAID include scripted lesson plans, supplementary readers, assessment instruments, observation tools, training guides, workshop reports, radio programs, assessment tools, sampling frames, photographs, videos, and other recordings. The Awardee will transmit technical materials to the relevant TOCOR (if applicable) and/or AOR/COR, and submit them to the USAID Development Experience Clearinghouse (<https://dec.usaid.gov/>).

#### *Data for Reporting Under Foreign Assistance Objectives*

The Awardee is required to provide datasets and codebooks that include data on student learning outcomes and information needed to estimate the number of unique pupils benefiting from program activities over the life of the program. Implementing partners may be responsible, in collaboration with USAID, for obtaining country level memoranda of understanding that allow for the sharing of the datasets and other data with USAID, as well as public access to the data through the partner organization, where possible.

Within 90 days of the completion of data collection, the Awardee will transmit requested data to USAID. The transmittal shall be according to the following specifications:

- Datasets should be complete, clean, and final, and include any derived or secondary variables used to calculate indicator values provided in assessment reports.
- Datasets must be cleansed of Personally Identifiable Information (PII) prior to transmittal to USAID. PII includes any information that could be used to identify an individual student, teacher, or administrator for whom data have been collected.
- Datasets will include all variables included in the initial data collection, with the exception of any data that must be edited or cleaned to protect the privacy and anonymity of students, teachers, or administrators represented in the data.
- If variables are edited or removed in order to protect the privacy and anonymity of research subjects, steps should be taken to ensure that sufficient information is retained to allow analyses that require grouping students by school, or track schools/students across datasets if appropriate.
- Data must be transmitted along with relevant supporting materials and instruments. This includes questionnaires and other instruments, codebook, data dictionary, information on

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<sup>3</sup> This document has been reviewed and approved by M/GC and M/OAA. Soft-copies are available on the [USAID Education Toolkit](#).

sample design, setup and weights, assessment reports, performance management plans or other materials that describe the structure of the assessment and/or program, and any other information a researcher may need when working with the data.

- Learning Assessment data can be transmitted in formats including Stata, SPSS, SAS, R, or an open and machine readable format. Supporting documents can be transmitted in MS Office or an open and machine readable format.
- Awardee will provide information on the number of pupils benefiting from the program, disaggregated by sex and grade for each year that the program is active.
- Datasets will be delivered through email, addressed to the relevant COR/AOR. The Awardee may also be directed by USAID to submit data and related documents to a third party site (e.g. <https://sartdatacollection.org>).
- All prerequisites to providing the complete, cleaned datasets must be completed by the implementing partner prior to the provision of the dataset to USAID, such as review and approval by Missions and host country governments, as appropriate."

## Sample Award Language for Goal Three Projects<sup>4</sup>

### **“Provide data, technical materials, and other information produced in the execution of USAID funded activities**

The Awardee will provide USAID with data, technical materials, and other relevant materials produced in the execution of this Award. This includes technical materials, pedagogical materials, and other technical inputs developed to support the provision of equitable access to education in conflict and crisis environments, as well as data and information needed for reporting under the relevant foreign assistance objectives, areas and elements.

#### *Pedagogical Materials and Technical Inputs*

The Awardee is required to provide pedagogical materials and other technical inputs developed to support the provision of equitable access to education in conflict and crisis environments. Examples of technical inputs to be provided to USAID include scripted lesson plans, supplementary readers, assessment instruments, observation tools, training guides, workshop reports, radio programs, assessment tools, sampling frames, photographs, videos, and other recordings. The Awardee will transmit technical materials to the relevant TOCOR (if applicable) and/or AOR/COR, and submit them to the USAID Development Experience Clearinghouse (<https://dec.usaid.gov/>).

#### *Data for Reporting Under Foreign Assistance Objectives*

The Awardee is required to provide data on the number of unique pupils who benefitted from program activities by year over the life of the program, and EMIS or program tracking data that can be used to measure change in access to education (eg: annual number of new entrants to education programs, disaggregated by sex). Implementing partners may be responsible, in collaboration with USAID, for obtaining country level memoranda of understanding that allow for the sharing of the datasets and other data with USAID, as well as public access to the data through the partner organization, where possible.

Within a timeframe specified by the relevant AOR/COR/TOCOR, the Awardee will transmit requested data to USAID. The transmittal shall be according to the following specifications:

- As relevant, the Awardee is required to provide datasets and codebooks that include data on the number of unique pupils who benefitted from program activities over the life of the program, and EMIS or program tracking data that can be used to measure change in access to education (eg: annual number of new entrants to education programs).
- Datasets should be complete, clean, and final, and include any derived or secondary variables used to calculate indicator values provided in assessment reports.
- Datasets must be cleansed of Personally Identifiable Information (PII) prior to transmittal to USAID. PII includes any information that could be used to identify an individual student, teacher, or administrator for whom data have been collected.
- Datasets will include all variables included in the initial data collection, with the exception of any data that must be edited or cleaned to protect the privacy and anonymity of students, teachers, or administrators represented in the data.

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<sup>4</sup> This document has been reviewed and approved by M/GC and M/OAA. Soft-copies are available on the [USAID Education Toolkit](#).

- If variables are edited or removed in order to protect the privacy and anonymity of research subjects, steps should be taken to ensure that but sufficient information is retained to allow analyses that require grouping students by school, or track schools/students across datasets if appropriate.
- Data must be transmitted along with relevant supporting materials and instruments. This includes questionnaires and other instruments, codebook, data dictionary, information on sample design, setup and weights, assessment reports, performance management plans or other materials that describe the structure of the assessment and/or program, and any other information a researcher may need when working with the data.
- Documents can be transmitted in MS Office or an open and machine readable format.
- Awardee will provide information on the number of pupils benefiting from the program, disaggregated by sex and grade for each year that the program is active.
- Datasets will be delivered through email, addressed to the relevant COR/AOR. The Awardee may also be directed by USAID to submit data and related documents to a third party site (e.g. <https://sartdatacollection.org>).
- All prerequisites to providing the complete, cleaned datasets must be completed by the implementing partner prior to the provision of the dataset to USAID, such as review and approval by operating units and host country governments, as appropriate."

## Goals One and Three – Attributing Outcomes to USAID

This section clarifies the logic and process by which USAID will determine whether and how it will attribute the results of Goal One and Goal Three activities to the Goal One and Goal Three counts. To ensure that consistent logic is applied when making this determination, Missions will be asked provide a brief written outline of the causal logic connecting program activities to either count. E3/ED will review these statements of logic and engage with Missions to ensure that count attribution is applied consistently across all basic education programming.

This section also describes the distinction between activities that reach **indirect beneficiaries** and activities that reach beneficiaries through **indirect effects**. This distinction is important because the concepts are easily confused but must be understood correctly in order to ensure causal logic and reporting, and to meet USAID’s obligation to accurately report the number of direct and indirect beneficiaries reached through its work.

### Direct and Indirect Beneficiaries vs. Direct and Indirect Effects of programming

#### Direct and Indirect Beneficiaries

As indicated in the [Education Strategy Technical Notes](#), the strategy distinguishes between *direct beneficiaries* and *indirect beneficiaries* of USAID programming. The document defines **direct beneficiaries** as learners reached through activities funded (in part or in whole) by USAID. The document defines **indirect beneficiaries** as learners reached through activities that were not funded by USAID but can be plausibly attributed to USAID because USAID had an instrumental role in developing the technical approach used in the intervention.

As an example, if USAID funded a pilot intervention in small number of schools, and then the country later took the intervention to scale at a national level with no further USAID funding, the beneficiaries of the national project would be indirect beneficiaries (those reached through the pilot would be direct beneficiaries). As another example, if USAID worked jointly with another donor to develop a common technical approach to a particular problem, and then USAID funded the implementation of the approach in one area of the country while the other donor supported the implementation of the approach in another area of the country, the beneficiaries reached through the other donor would be indirect beneficiaries (those reached through USAID would be direct beneficiaries).

In order to claim indirect beneficiaries as contributing to the Goal One or Goal Three count, Missions are asked to explain the logic by which the beneficiaries can be claimed as benefitting from a technical approach that USAID was instrumental in developing.

#### Direct and Indirect Effects

It is easy to confuse the concept of direct and indirect beneficiaries with the concept of direct and indirect effects of a USAID activity. A USAID-funded project may have a **direct effect** on learners through an activity that is delivered directly to learners (i.e. activities implemented at the school level). A USAID-funded project may have an **indirect effect** on an outcome through an activity that is not delivered directly to learners but is expected to benefit the learners through one or more causal links (i.e. activities implemented at the systems level). Note that the fact that beneficiaries are reached through

direct effects or indirect effects has no bearing on whether they are categorized as direct beneficiaries or indirect beneficiaries.

As an example of the distinction between direct effects and indirect effects, a USAID-funded intervention that alters pedagogical practices at the school level would be considered to have a direct effect on learners because of the direct link between the activity and the learners intended to benefit from it. A USAID-funded intervention that alters the pre-service training delivered to teachers would be considered to have an indirect effect on learners because there are multiple causal links between the activity and the learners intended to benefit from it: learners will not benefit from the activity unless teacher-trainees receive the training, are hired and placed in schools, and deliver instruction consistent with their training.

It may sometimes be challenging to attribute a Goal One or Goal Three count contribution to activities with indirect effects. This is because of the multiple causal links between learners and the activity that must be justified, and because indirect effects often reach learners in a diffuse manner making it difficult to identify specific learners who have benefitted from the activity. In order to claim beneficiaries of an activity with indirect effects, Missions are asked to briefly explain the causal logic linking the activity to the learners intended to benefit from it. There will be cases when an indirect-effects activity that is valid under the Education Strategy Implementation Guidance cannot be linked to goal-level outcomes for a specific group of learners. When this is the case, Missions have the option of saying so rather than attempting to present untenable causal logic.

		<b>Is the project or activity funded (in whole or in part) by USAID</b>	
		<b>Yes (funded in whole or in part by USAID): Direct Beneficiaries</b>	<b>No (not at all funded by USAID): Indirect Beneficiaries</b>
<b>Does the project or activity attributed to USAID reach beneficiaries directly or indirectly?</b>	<b>Directly</b> (there is a direct causal link between the activity and the beneficiary): <b>Direct Effects</b>	<b>Direct Beneficiaries / Direct Effects</b>	<b>Indirect Beneficiaries / Direct Effects</b>
	<b>Indirectly</b> (there are causal links between the activity and the beneficiary): <b>Indirect Effects</b>	<b>Direct Beneficiaries / Indirect Effects</b>	<b>Indirect Beneficiaries / Indirect Effects</b>

**Direct Beneficiaries/Direct Effects:** The activity is supported with USAID funding, so beneficiaries are counted as direct beneficiaries. There is a direct link between the activity and the outcome, so it should be straightforward to describe how outcomes are plausibly attributable to USAID. Because the activity probably targets a discrete set of schools, data should be reported for the discrete set of schools benefiting from the activity.

**Indirect Beneficiaries/Direct Effects:** The activity is not supported with USAID funding but is based on a technical approach that USAID had an instrumental role in developing (USAID may have developed the technical approach independently or in collaboration with other actors). There is a direct causal link between the activity and the outcome. Missions are asked to report the causal logic through which the outcome experienced by the beneficiaries can be plausibly attributed to USAID. If it is challenging for Missions to obtain data documenting results for indirect beneficiaries, E3/ED can help develop a strategy for measuring the effects of the activity.

**Direct Beneficiaries/Indirect Effects:** The activity is supported with USAID funding, so beneficiaries are counted as direct beneficiaries. There is an indirect link between the activity and the outcome, which may make it challenging to plausibly attribute measurable effects to USAID. Because the activity probably targets one or more government actors in the country, data would likely be reported at the level of the jurisdiction(s) overseen by these government bodies. Missions are asked to report the causal logic through which the outcome experienced by the beneficiaries can be plausibly attributed to USAID.

**Indirect Beneficiaries/Indirect Effects:** The activity is not supported with USAID funding but is based on a technical approach that USAID had an instrumental role in developing (USAID may have developed the technical approach independently or in collaboration with other actors). There is an indirect link between the activity and the outcome, which may make it challenging to plausibly attribute measurable effects to USAID. Because the activity probably targets one or more government actors in the country, data would likely be reported at the level of the jurisdiction(s) overseen by these government bodies. Missions are asked to report the causal logic through which the outcome experienced by the beneficiaries can be plausibly attributed to USAID.

### **Missions are asked to report the causal logic linking project activities to learners**

When the count contributions of individual projects are aggregated to calculate USAID's overall contributions to Goal One and Goal Three, it will be important to ensure that a consistent standard is applied to the assumptions and causal logic linking USAID activities to student-level outcomes. To facilitate this, Missions will be asked provide a brief written outline of the causal logic connecting program activities to learner-level outcomes applicable to the count, and to justify the causal logic with reference to evidence based best practices. E3/ED will collect these statements of causal logic, review them as a collection, and then engage with Missions to ensure that the assumptions and rigor of causal logic used to attribute outcomes to USAID are consistent across projects. Statements of causal logic submitted by Missions will not be considered 'accepted' until they have been reviewed by E3/ED.

Missions are asked to outline the causal logic linking their activities to student-level goal outcomes regardless of whether the activities are posited to reach direct or indirect beneficiaries or to do so through direct or indirect effects. Causal logic should be justified with reference to evidence based best practices. Although the [Education Strategy](#) and [Implementation Guidance](#) make it clear that activities with indirect effects are a valid component of programming under both Goals, it may be difficult or impossible to lay out causal logic linking some these activities to student level outcomes that can be measured for the purposes of the Strategy. If Missions believe that an activity is valid under the

guidance but cannot be credibly linked to outcomes, they may provide a statement to this effect in the place of statement of causal logic.

For Goal Three projects, Missions can report the causal logic for each program activity on the **Goal Three Count Contribution Reporting Sheet** prepared for each activity. For Goal One projects, Missions can report the causal logic in the **Goal One Unique Beneficiaries Reporting Sheet**.

**USAID will not incorporate counterfactual information when calculating count contributions**

In keeping with the concept of *manageable interest* outlined in ADS 200.3.3, USAID's Education Strategy recognizes that USAID rarely has total control over the development results it seeks to accomplish and that USAID rarely works alone to accomplish these results. The ambitious targets articulated in the education strategy will only be achieved through joint action on the part of USAID and many other actors such as host country governments, other donors, civil society, and the private sector. *Because USAID's education programming is often planned to complement that of other stakeholders, it does not make sense, within the context of the education strategy, to use counterfactuals as a means of isolating the Goal One and Goal Three results that can be attributed solely to USAID.* We will instead work to measure the results that can be plausibly attributed to activities supported by USAID, even when other actors are also known to have contributed to those results.

## Update to Goal One Guidance<sup>5</sup>

This section provides guidance on the full set of information and data needed from Missions to calculate a program's overall contribution to the Goal One Target. The information needed to calculate a project's contribution to the Goal One Target extends beyond learning assessment datasets. In addition to learning assessment data, USAID/W will need information on the estimated number of unique pupils reached by the program (direct beneficiaries), estimated numbers of pupils reached as indirect beneficiaries or through the indirect effects of USAID programming, and information about the design and causal logic underpinning Goal One programs.

In order to supply USAID/W with the data and information needed to estimate project contributions to Goal One, Missions are asked to complete the following steps. Some of these steps are to be completed by specific dates as detailed below.

**Step 1: Verify Roster of Goal One Projects.** E3/ED will send a pre-populated copy of the **Goal One Activity Roster** to each education team programming towards Goal One. Education teams are asked to verify the list of Goal One activities that will have been active over the course of the 2011-2015 Education Strategy and to complete any information missing from the Roster. Missions are asked to complete this step and return completed **Goal One Activity Rosters** to Ben Sylla in E3/ED by **Monday, September 8, 2014**.

**Step 2: Complete a Goal One Unique Beneficiaries Reporting Sheet** for each activity contributing to the Goal One count. Reporting sheets include space to report the number of unique learners reached by an activity as well as the causal logic linking the activity to improvements in reading ability for early grade pupils. Further Guidance on claiming attribution can be found in the '**Goals One and Three – Attributing Outcomes to USAID**' section of this guidance. Missions claiming attribution for indirect beneficiaries or learners reached through indirect effects are asked to complete additional **Goal One Unique Beneficiary Reporting Sheets** for these groups. Missions are asked to complete this step and return completed **Goal One Activity Rosters** to Ben Sylla in E3/ED by **Tuesday, October 14, 2014**.

**Step 3: Transmit learning assessment datasets to USAID/W for analysis.** The **Goal One Data Checklist** provides further guidance on the preparation and documentation of data to be transferred to USAID. Further guidance on considerations related to the transfer of Goal One datasets can be found in the '**Goals One and Three – Update to Data Transfer Guidance**' section of this guidance. Learning Assessment datasets are to be finalized and transferred to USAID/W within 90 days of the completion of data collection. Datasets that have already been collected are to be finalized transferred no later than **Monday, November 3, 2014**.

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<sup>5</sup> This document is also available on the [USAID Education Toolkit](#).



# Goal One Unique Beneficiaries Reporting Sheet<sup>7</sup>

1 County/Mission/Operating Unit \_\_\_\_\_

2 Project Name / Activity Name \_\_\_\_\_

3 Direct or Indirect Beneficiaries \_\_\_\_\_

4 Date data submitted \_\_\_\_\_

		Year 1	Year 2	Year 3	Year 4	Year 5
5	School Year					
6	Data for this year are Actuals or Projections					
7	Total Beneficiaries	Fem.				
		Male				
		Total				
8	Grade 1	Fem.				
		Male				
		Total				
	Grade 3	Fem.				
		Male				
		Total				
	Grade 4	Fem.				
		Male				
		Total				
	Grade 5	Fem.				
		Male				
		Total				
	Grade 6	Fem.				
		Male				
		Total				

8 **Causal Logic Notes and Comments:**  
 Use this space to outline the causal logic that links this activity to improved reading skills for children in primary grades.

<sup>7</sup> This document is also available as a spreadsheet on the [USAID Education Toolkit](#).

## Instructions for Goal One Unique Beneficiaries Reporting Sheet

**Rows 1-4:** Please enter identifying information for the project represented.

**Row 5:** Please enter the School Year corresponding to each year of project implementation. If the school year spans two calendar years, please list both years (i.e. 2011-2012).

**Row 6:** Please note whether data inputted for this year are actual values or projections. Actual values are required in order to perform the count. Projected values for future years are not required, but will be helpful for estimating the overall impact of the project.

**Row 7:** Use these lines to provide information on the total number of student beneficiaries reached by the project intervention each year.

**Rows 8-24:** Use these lines to provide information on the estimated number of unique pupils reached by the project intervention.

Although the sheet extends through grade 6, data need not be provided for all grades listed on the sheet. Please provide information only for the grades (or years of schooling if grades are not used) at which pupils are receiving the effects of the project.

To avoid double-counting individual pupils touched by the project, please count pupils only once, even if they are likely to have participated in the project for more than one year. This can be done by counting pupils at all grades touched by the project for the first year, and then only pupils new to the project in subsequent years. Use the count of grade 1 pupils as a proxy for pupils new to the project in subsequent years.

If a project is extended to a new group of pupils in a subsequent year, all of the new pupils should be counted in the year that the project is extended to them and then only new pupils for years subsequent to this.

**Causal Logic Notes and Comments:** Use this space to outline the assumptions and causal logic linking activities to student-level outcomes. Causal logic should be justified with reference to evidence-based best practices. The information provided in this space should not be considered accepted until E3/ED has reviewed and discussed this logic with the Mission.

## Goal One Data Checklist

What follows is a brief overview of considerations related to the three types of information needed by USAID in order to count a project's contribution to Goal One of the Education Strategy: Data, Documentation, and Denominator.

**DATA** – Learning assessment datasets used to measure the reading ability of children before and after the implementation of a program. Assessments should include a measure of oral reading fluency (words correct per minute), and should be timed to measure reading ability for learners at the same grade level near the end of the school year in different school years. Grade 2 pupils should be included in the assessment; additional grades can be covered as well.

- Datasets are *Clean*, *Final*, and *De-Identified*
  - *Clean* = Implementer has checked for and corrected any apparent errors or inconsistencies in contents, missing information, etc.
  - *Final* = Datasets include any derived or secondary indicators that were used by the implementer to calculate indicator values that were included in reports. The implementer has finished processing the dataset and further changes are not anticipated.
  - *De-identified* = Steps have been taken to protect the privacy and anonymity of individuals and schools associated with an assessment. The implementer should work with their Institutional Review Board (IRB) to ensure that assessment participants are properly protected. Here are some examples of what should be done:
    - Remove names of students, teachers, headmasters, schools.
    - Anonymize school EMIS codes or other identifying codes.
    - Consider whether combinations of information in the dataset could be used to identify people or schools (egg schools or individuals with rare combinations of characteristics)
    - Consider whether information in the dataset could be combined with information from another source to identify people or schools (egg if assessment data include a precise count of the number of pupils enrolled in a school, could this information be combined with public EMIS data to identify specific schools).
  - *De-identify, but don't destroy* useful information: Instead of simply deleting identifying information, consider finding a way to protect identities without destroying useful information. For example, EMIS codes should not be included in a dataset because they can be used to identify specific schools, but if EMIS codes are simply deleted, researchers will lose access to valuable information about the grouping of students who attend the same school. EMIS codes should not be deleted altogether, but rather should be replaced with an alternative identifier so useful non-identifying information is not lost. Some considerations to keep in mind, depending on the design of your assessments:
    - School codes are valuable for identifying students grouped in one school;
    - School codes or student codes should be kept consistent across baseline, midline, and endline if the plan is to track schools or students over time.
    - If specific information in the dataset could be used to identify individuals or schools, consider editing variables so they communicate some information but are not so detailed that they give away the identity (egg: if total enrollment and

total number of teachers is reported for each school, replace the precise number of each with ranges of values for each).

- Optimal Solutions is able to work with data in Stata, SPSS, SAS, and R formats.
- Datasets should be clearly named with descriptive information. Dataset names should include the country, program, year, and phase (baseline, midline, endline) that the data represent. Depending on the design of the assessment, additional information may also be helpful (e.g., the state or language represented in the dataset).
  - Instead of including the word 'Final' in the name of a dataset, include the last date it was edited. This way, if a subsequent change is needed, it is easier to tell which dataset is the most recent.

#### DOCUMENTATION

- Along with the datasets themselves, include all the information that an outside researcher would need in order to perform analysis and come to the same results given in assessment results. Some documentation can be stored within the dataset, other documentation will come in the form of documents and reports. Implementing partners are strongly encouraged to provide documentation in English whenever possible. Documentation to go with a dataset include:
  - Data dictionary/catalog (what the variables and values represent). Data analysis can be simplified when data are consistent with data dictionary available at [eddataglobal.org](http://eddataglobal.org), but USAID does not require this.
  - Sample design and setup, weights.
  - Assessment reports, performance management plans, other documents needed to communicate the information needed to understand the structure of assessment, structure of program (i.e. control and treatment groups, phased roll-out of implementation).
  - Discussion of potential challenges, sensitivities an analyst should be aware of when working with data.
  - Information on processes used to obtain informed consent.
  - Information on inter-rater reliability.
  - Name and email address of someone who can be contacted for further information.

#### DENOMINATOR

- The **Goal One Unique Beneficiaries Reporting Sheet** should be used to provide information needed to estimate the number of *unique* pupils reached by project interventions (not by assessments). Usually this is done by identifying the number of pupils in all grades reached by the project in the first year of the project, and then only new pupils reached by the program in subsequent years of the project. The goal is to *estimate* the total number of pupils reached by a project without double-counting any individual pupils who participated in the project for more than one year (for example, those who attend Grade 1 in the first year of the project, and Grade 2 in the second year of the project).

If a program was replicated through another funding source, we will want to count these indirect beneficiaries of this activity using a separate **Goal One Unique Beneficiaries Reporting Sheet** so we can distinguish between direct and indirect contributions to the count.

## Update to Goal Three Guidance

Feedback received from Missions through the Education Strategy Review indicated a need to clarify guidance to Missions on the specific data and steps needed to count toward Goal Three. In response to this feedback, the instructions and spreadsheets referenced here have been designed to serve as a template for Missions to report the information needed to calculate project contributions to the Goal Three count. By completing the three steps outlined in this document and sharing the results with Optimal Solutions, Missions will have provided sufficient information to allow Optimal Solutions to calculate the sum of an operating unit's current contribution to the count. Once initial data have been collected, Optimal Solutions will reach out to Missions on an annual basis to collect updated information on project contributions to Goal Three.

This update to the guidance has been developed with the assumption that, for most Goal Three projects, increased access to education will be brought about through an increase in the number of learners entering the entry grade/year of a targeted educational opportunity. USAID recognizes that Goal Three projects operate under diverse and often challenging circumstances and that the guidance provided here may not be practical or appropriate for all projects. USAID's approach to measuring projects' contribution to Goal Three is going to be flexible and adapt to what is possible and appropriate for each project. Missions are invited to contact E3/ED to discuss an alternative approach if there are concerns about being able to report in accordance with the guidance, or about whether the assumptions underpinning the guidance are appropriate to capture the contribution of a particular activity.

**Step 1:** E3/ED will send a pre-populated copy of the **Goal Three Activity Roster** to each education team programming towards Goal Three. Education teams are asked to verify list of Goal Three projects that will have been active over the course of the 2011-2015 strategy and to complete any information missing from the Roster.

**Step 2:** Determine whether the activities listed on the **Goal Three Activity Roster** need to be broken down into sub-activities in order to properly measure the overall project's contribution to the goal. In 2014, Missions are asked to complete Step 1 and Step 2 and share the completed Activity Rosters to Ben Sylla in E3/ED by **Monday, September 8, 2014**.

**Step 3:** For each Goal Three activity or sub-activity, complete a **Goal Three Count Contribution Reporting Sheet**. Operating units can elect to have the Count Contribution Reporting Sheet completed by either Optimal Solutions or the project's implementing partner. Data and Count Contribution Reporting Sheets should be emailed to [info@SARTDataCollection.org](mailto:info@SARTDataCollection.org) and copy [educationdata@usaid.gov](mailto:educationdata@usaid.gov).

- If the Count Contribution Reporting Sheet is to be completed by Optimal Solutions, then data needed to do this should be transmitted to USAID **by Tuesday, October 14, 2014**.
- If the Count Contribution Reporting Sheet will be completed by another implementing partner or by the Mission, the completed sheet should be transmitted to USAID **by Monday, November 3, 2014**.

Optimal Solutions will use the information provided in the Goal Three Activity Roster and the Count Contribution Reporting Sheets to calculate each activity's contribution to Goal Three to date, and will

work thereafter to update Count Contribution Reporting Sheets on an annual basis. The following pages give a more detailed explanation of the three steps:

## **Step 1: Verify roster of Goal Three Projects**

Verify roster of Goal Three Projects that will contribute to the Goal Three count. E3/ED will email your Mission a **Goal Three Activity Roster** that includes a preliminary list of projects expected to contribute to the Goal Three count. Please review this list to determine whether any projects need to be added or removed from the roster. Please also add any project information that is missing. The roster should include all projects in conflict and crisis settings with an objective of increasing access to formal primary or secondary school or the non-formal equivalents of primary or secondary school. USAID must track the contributions of projects that meet these criteria regardless of whether a project was established prior to the 2011-2015 Education Strategy or will continue beyond the end of the strategy. For projects that pre-date the strategy, USAID will count project contributions to the count beginning in 2011.

USAID-funded projects that meet the criteria described above will be counted as providing a direct contribution to the Goal Three count. Projects or activities that are not funded by USAID but replicate a USAID model or technical approach can be counted as providing an indirect contribution to the Goal Three count. If you are aware of projects that will provide an indirect contribution to the Goal Three count, please list them on the roster even if you do not have full knowledge of the details of these projects.

Projects that contribute to Goal One can also be counted as contributing to Goal Three, so long as they also have an objective of increasing access to education in conflict and crisis settings. There is no reason that a project cannot count towards both goals.

## Goal Three Activity Roster<sup>8</sup>

The Goal Three Activity Roster is a spreadsheet including a list of the information to be collected on the roster for each activity/sub-activity. The Roster is oriented horizontally and data for each activity/sub-activity can be entered on a separate row in a way that looks like this:

Project/Activity Identification										Activity/Sub-Activity Information										Data		Notes					
Mission/Operating Unit	Activity Name	Sub-Activity Name	Activity/Sub-Activity Description	Activity Start Date (MM/YYYY)	Activity End Date (MM/YYYY)	Mission POC for Project	Count Reporting sheet to be completed by Optimal Solutions or In-Country?	Would you like help exploring questions related to Strategy measurement for this activity?	First Year Results will be Measurable (School Year)	Baseline Year (School Year)	Last Year Results will be Measurable (School Year)	Does target population overlap with that of another Activity/Sub-Activity measured here? If yes, which?	Does this Activity/Sub-Activity reach Direct or Indirect Beneficiaries?	Does this Activity/Sub-Activity reach Direct or Indirect Effects?	How can results of Activity/Sub-Activity be measured?	School Level (primary, secondary)	Specific Grades/Levels Learning covered by the activity	Geographic Area/ Jurisdiction covered	Formal/Non-formal Education	Does this Sub-Activity predominantly target youth (ages approximately 15-24)?	School Year Start Month	School Year End Month	Proposed Data Source	How often are data collected?	Time of year data are typically collected (Month)	Are data property of USAID?	Notes

The fields of information collected for each activity/sub-activity are as follows:

Project/Activity Identification	Mission/Operating Unit
	Activity Name
	Sub-Activity Name
	Activity/Sub-Activity Description
	Activity Implementing Partner
	Total Activity Cost / Ceiling
	In addition to Goal 3, is this activity aligned with Goal 1 or Goal 2?
	Activity Start Date (MM/YYYY)
	Activity End Date (MM/YYYY)
	Mission POC for Project
Activity/Sub-Activity Information	Count Reporting sheet be completed by Optimal Solutions or In-Country?
	Would you like help exploring questions related to Strategy measurement for this activity?
	First Year Results will be Measurable (School Year)
	Baseline Year (School Year)
	Last Year Results will be Measurable (School Year)
	Does target population overlap with that of another Activity/Sub-Activity measured here?
	If so, which?
	Direct/Indirect Beneficiaries
	Direct/Indirect Effects
	School Level (primary, secondary)
Data	# Grades/Years Learning covered by the activity/sub-activity
	Geographic Area/ Jurisdiction covered
	Formal/Non-formal Education
	Does this Sub-Activity predominantly target youth (ages approximately 15-24)?
Data	School Year Start Month
	School Year End Month
	Proposed Data Source
	How often are data collected?
Data	Time of year data are typically collected. (Month)
	Are data property of USAID?
Notes	

<sup>8</sup> This document is also available as a spreadsheet on the [USAID Education Toolkit](#).

## Step 2: Identify Distinct Count Activities

Determine whether projects listed on the roster should be counted as two or more sub-activities. In some cases, Missions will need to break a project into sub-activities in order to properly measure the contribution to the count of the full project. Not all projects need to be broken down into sub-activities, but for others, thinking of a project as a set of sub-activities can clarify the count process considerably. If you determine that a project should be broken into two or more sub-activities for the purposes of the count, please create a separate entry on the roster for each project sub-activity. Below are four decision points that can be used to determine whether a project should be broken into sub-activities for the purposes of the count. For help deciding whether it makes sense to divide your project into sub-activities, please contact Ben Sylla ([bsylla@usaid.gov](mailto:bsylla@usaid.gov)).

**Different Baseline Years:** A single project or activity may be rolled out in phases, with each phase implemented in a different year. For example, a project may be rolled out in 50 schools in 2011 and another 150 schools in 2012. Because project contributions to the goal are measured relative to a baseline year, each phase should be counted as a separate sub-activity so the contribution of each can be calculated separately.

**Direct/Indirect beneficiary contribution:** USAID is required to count direct and indirect beneficiary contributions to the Goal Three count separately. Discussion of indirect beneficiaries can be found in the July 2014 Update to Education Strategy Reporting Guidance. If an activity reaches both direct and indirect beneficiaries, each of these contributions should be counted separately.

**Direct/Indirect effects contribution:** Some program activities may be designed to have a direct effect on access to education whereas other program activities may be designed to have an indirect effect on education. Because the causal logic explaining attribution for these activities will be different, each should be tracked separately.

**Distinct school level or course of study:** Activities targeting different school levels (e.g., primary and lower secondary) should be reported separately. Activities targeting courses of study that are equivalent but have different durations (e.g., formal primary school and accelerated primary school) should be reported separately as well.

## Step 2 Illustration:

A Goal Three Activity called ‘Access Program’ is designed to be rolled out over the course of two years. The first cohort of schools is reached for the first time during the 2011 school year and a second cohort of schools is reached for the first time during the 2012 school year. In addition to these two cohorts reached through the USAID-funded activity, the technical approach developed by USAID is applied (with no additional USAID funding) in 2012 by another donor in a separate area of the country.

Based on the criteria outlined above, this activity should be divided into sub-activities: 1) Each cohort will need to be reported on separately since each will have a different baseline year, so each of these should be reported as a separate sub-activity and placed on a separate line on the roster; 2) Beneficiaries of the replica of the program implemented by the other donor will be counted as indirect beneficiaries and should be tracked separately from the direct beneficiaries of the USAID program. The indirect component should be listed as a separate subcomponent and reported on a separate row of the roster. As a result, the ‘Access Program’ should be listed on the roster as three separate sub-activities:

Operating Unit	Project Name	Subcomponent Name	First year results can be measured	Direct/Indirect Beneficiaries
Country Mission	Access Program	N/A	2011/2012 Cohorts	Direct & Indirect

↓

Operating Unit	Project Name	Subcomponent Name	School Level Reached	Direct/Indirect Beneficiaries
Country Mission	Access Program	2011-Direct	2011 Cohort	Direct
Country Mission	Access Program	2012-Direct	2012 Cohort	Direct
Country Mission	Access Program	2012-Indirect	2012 Cohort	Indirect

In some cases, it may make sense to break a project into sub-activities for convenience. For example, if data for two provinces are stored in separate databases, it may be easier to calculate the contribution separately for each province. The intent is to keep the counting process clear and straightforward. If you find it helpful to break down the reporting process even further, feel free to do so.

There may be cases where two or more projects or project activities benefit the same population of students. In these cases, we want to avoid double-counting students. When this is the case, please list each project activity separately in the roster of Goal Three projects and add a note indicating that the projects reach the same or overlapping populations. So that we can avoid double-counting the contribution of these projects, please be sure to use the roster to indicate whether a pair of projects have fully or partially overlapping target populations.

## Step 3: Complete Goal Three Count Contribution Reporting Sheet

For each project listed on the Goal Three Roster, complete a **Goal Three Count Contribution Reporting Sheet**. Depending on the complexity and ownership of the data, Missions can determine whether this step should be carried out by Optimal Solutions or an in-country resource. Optimal Solutions staff is available to perform all data work; however, Missions may find it more expedient to have this work performed in-country under some circumstances. This may be the case if, for example, calculations are to be based on EMIS data that cannot be shared outside of the country. Similarly, implementing partners may be highly familiar with project tracking data and would find it easier to complete the reporting sheet themselves than to prepare and share the data along with the documentation and other information that Optimal Solutions would require to perform the count. Missions electing to have data work performed by Optimal Solutions should follow instruction 3.A; those electing to have data work performed in-country should follow instruction 3.B. Data and Count Contribution Reporting Sheets should be emailed to [info@SARTDataCollection.org](mailto:info@SARTDataCollection.org) with a copy to [educationdata@usaid.gov](mailto:educationdata@usaid.gov).

### **3.A: Count Contribution Reporting Sheet to be completed by Optimal Solutions**

In 2014, if Missions select to pursue Step 3.A, raw data should be transmitted to USAID no later than **by Tuesday, October 14, 2014**. Missions will need to supply data sheets that Optimal Solutions can use to determine, for each sub-activity listed in the Goal Three Roster, each piece of information listed in the Count Contribution Reporting Sheet. If data sheets supplied by the Missions include data on both beneficiary schools and non-beneficiary schools, Missions should also supply a means of identifying the beneficiary schools to be included in the count (e.g., a list of names or EMIS codes for beneficiary schools).

### **3.B: Count Contribution Reporting Sheet to be completed in-country**

In 2014, if Missions select to pursue Step 3.B, all completed Count Contribution Reporting Sheets should be transmitted no later than **by Monday, November 3, 2014**. Missions are welcome to provide datasheets documenting the information provided in the reporting sheet, but not required to do so.

It is anticipated that much of the data used to complete **Count Contribution Reporting Sheets** will come from either EMIS records or project monitoring records, though alternative sources may be also be used. Generally, EMIS data will be used for projects active in formal school systems and project monitoring data will be used for projects active in non-formal school settings. Missions have the flexibility to select the data source appropriate for each activity and are invited to contact E3/ED for guidance if desired.

If a project has been broken into sub-activities, a reporting sheet should be completed for each sub-activity. If a project has not been broken into sub-activities, one reporting sheet can be completed for the entire project. Further guidance is available in the Instructions for the **Goal Three Count Contribution Reporting Sheet**.

Missions seeking further information on the methodology that Optimal Solutions will use to calculate increased access to education can consult the Goal Three Technical Appendix<sup>9</sup> or contact Ben Sylla.

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<sup>9</sup> The Technical Appendix is provided purely for informational purposes. Operating units or implementers are not expected to perform the calculations described in the Technical Appendix. Optimal Solutions will perform these calculations.

# Goal Three Count Contribution Reporting Sheet<sup>10</sup>

1            Mission/Operating Unit \_\_\_\_\_

2            Project Name / Activity Name \_\_\_\_\_

3            Data are Current as of Date \_\_\_\_\_

		Baseline	Year 1	Year 2	Year 3	Year 4	Year 5
4	School Year						
5	Actuals or Targets?						
6	# Total Enrollment						
	Female						
	Male						
7	# New Entrants						
	Female						
	Male						

**Data/Measurement Notes and Comments:**  
 Use this space to describe any data or measurement issues that E3/ED should be aware of.

**Causal Logic Notes and Comments:**  
 Use this space to outline the causal logic that links this activity to the improvement of equitable access for learners.

<sup>10</sup> This document is also available as a spreadsheet on the [USAID Education Toolkit](#).

## Instructions for Completing the Goal Three Count Contribution Reporting Sheet<sup>11</sup>

Below are instructions for completing the Goal Three Count Contribution Reporting Sheet. A separate Count Contribution Reporting Sheet should be completed for each activity/sub-activity listed on the Goal Three Activity Roster. Missions are asked to provide data for as many activity years as is presently available. This data can be updated in future years as more data becomes available. Optimal Solutions will use the data provided on Count Contribution Reporting Sheets to calculate the contribution of each activity/sub-activity to Goal Three.

The approach to calculating an activity's contribution to Goal Three has the flexibility to adjust to circumstances when the full set of data requested are not available. If Missions are not able to provide the data on New Entrants, an estimate will be based on Total Enrollment only. If Missions are not able to provide data on New Entrants or Total Enrollment, please contact E3/ED to develop a strategy for estimating the contribution to Goal Three.

Row Number	Instructions
1	List the name of the Operating Unit funding this project.
2	List the name of the Project or Activity represented on this sheet. If the Project/Activity has been broken into sub-activities, list the sub-activity as it is listed on the Goal Three Activity Roster.
3	Indicate the date as of which these data are current.
4	Please identify the school year corresponding the baseline year for the project and each year for which project results will be reported. If a school year spans two calendar years, please list it using the following format: "2012-2013".
5	Note whether the data reported for this year are actual values or target values. Actual values are required when available. Target values are not required, but should be provided to assist in estimating the overall contribution of a project.
6	<b>Total Enrollment:</b> List the total number of learners enrolled in all grades benefitting from the activity, regardless of whether they have benefitted from the activity in past years. Total enrollment should be reported for the baseline year and each year of the activity. For each year, please provide values for each sex individually, as well as for both sexes combined.
7	<b>New Entrants:</b> List the total number of learners participating, for the first time, in the first grade/year targeted by the activity. For an activity that targets the first grade/year of primary school, the number of new entrants (non-repeating learners) to that first grade/year should be reported.  If an activity targets higher grades, then new entrants (non-repeating learners) to the first grade targeted by the program should be reported. For example, if an activity targets Grades 5-8, new entrants to Grade 5 should be reported.  If the activity targets a system that does not use formal grades, then new

<sup>11</sup> These instructions can also be found in the **Goal Three Count Contribution Reporting Sheet** spreadsheet, which is available for download on the [USAID Education Toolkit](#).

	<p>entrants (non-repeating learners) to the first year of education targeted by the program should be reported.</p> <p>To the extent possible, data reported in this column should exclude learners who are known to be repeating the grade. For each year, please provide values for each sex individually, as well as for both sexes combined. If data on first grade/year pupils or non-repeaters is not available, Missions should contact E3/ED about omitting this data.</p>
<p><b>Causal Logic Notes and Comments:</b></p>	<p>Use this space to outline the assumptions and causal logic linking activities to student-level outcomes. Causal logic should be justified with reference to evidence-based best practices. The information provided in this space should not be considered accepted until E3/ED has reviewed and discussed this logic with the Mission.</p>

**What next?**

The *Goal Three Activity Roster* should be transmitted to Ben Sylla in E3/ED. *Goal Three Count Contribution Reporting Sheet(s)* and/or the data needed to for Optimal Solutions to complete the *Goal Three Count Contribution Reporting Sheet(s)* have been completed, they can be transmitted to [info@SARTDataCollection.org](mailto:info@SARTDataCollection.org) with a copy to [educationdata@usaid.gov](mailto:educationdata@usaid.gov). Optimal Solutions, implementer of the USAID’s “Secondary Analysis and Results Tracking” or SART contract, will use the documents to maintain a record of the projects contributing to the Goal Three count, calculate each project’s overall contribution to the count, and share these results with each operating unit for validation. On a periodic basis, Optimal Solutions will reach out to your Mission to update the registry of projects and gather any new data that can be applied to the Agency’s count toward Goal Three of the Education Strategy.

## Goal Three Technical Appendix

This technical appendix is intended as an informational resource for Missions or implementing partners seeking additional information on specific definitions or how projects' contributions to Goal Three will be calculated. This information may prove useful as contextual information when completing the Goal Three Activity Roster and Goal Three Count Contribution Reporting Sheets. *Optimal Solutions will perform the calculations required to calculate projects' contribution to Goal Three. Missions or implementing partners do not need to perform the calculations described in this appendix.*

### Definitions:

For the purposes of the Goal Three count, *increased access to education* is defined as increase, relative to the baseline year, in the number of *new entrants* to education opportunities. *Education Opportunities* include primary and secondary school and the non-formal equivalents of primary and secondary school. Where the word 'school' is used in this document and related documents, we mean school in a broad sense that encompasses both formal schools and other settings where equivalent non-formal education takes place.

The count of *new entrants to education opportunities* is based on the number of non-repeating learners accessing, for the first time, the first grade/year of education targeted by the activity. For an activity that targets the first grade/year of primary school, the number of new entrants (non-repeating learners) to that first grade/year should be reported. If an activity targets higher grades, then new entrants (non-repeating learners) to the first grade targeted by the program should be reported. For example, if an activity targets Grades 5-8, new entrants to Grade 5 should be reported. If the activity targets a system that does not use formal grades, then new entrants to the first year of education targeted by the program should be reported.

In the context of measuring new entrants, the term 'first year' is used as a rough equivalent to the term 'first grade' for education multi-year education opportunities that are not organized into formal grades (typically non-formal education).

The count of new entrants to the first grade/year of education targeted by the activity should include all learners enrolled in this grade/year *except* those who are known to be repeating the grade.

### How will the number of learners with improved access to education be calculated?

Optimal Solutions will use information provided in the **Goal Three Activity Roster** and **Goal Three Count Contribution Reporting Sheet** to calculate each operating unit's contribution to the Goal Three count. For each project or project activity, increased access will be calculated separately for each year the project/sub-activity is active. A project's multi-year contribution to the Goal Three count can be calculated as the sum of its annual contributions.

Annual increased access will be calculated as the sum of the differences the baseline number of new entrants and the number of new entrants for each year of the program. This preferred approach is described in the section that follows.

In circumstances where data on the size of the incoming class is not available, increased access can be estimated based on change in total enrollment in each Goal Three project/sub-activity. This approach requires less data, but will also provide a less accurate estimate of the true contribution of a project to the Goal Three count. The methodology for estimating increased access using total enrollment data is described in the section that follows discussion of the preferred methodology.

**Calculating Increased Access to Education using Annual Data on New Entrants (Preferred Methodology)**

		Baseline	Year 1	Year 2	Year 3	Year 4	Year 5
	School Year	2010	2011	2012	2013	2014	2015
	Actuals or Targets?	Actual	Actual	Actual	Actual	Actual	Actual
# Total Enrollment	Female	3,000	3,100	3,300	3,500	3,650	
# Total Enrollment	Male	3,000	3,100	3,300	3,500	3,650	
# Total Enrollment	Total	6,000	6,200	6,600	7,000	7,300	
# New Entrants	Female	1,000	1,100	1,200	1,200	1,250	
# New Entrants	Male	1,000	1,100	1,200	1,200	1,250	
# New Entrants	Total	2,000	2,200	2,400	2,400	2,500	

The table above displays illustrative data for a project that was active from 2011 through 2014. Because the project began in 2011, data for the previous year (2010) are included as a baseline.

*Increase in the number of learners entering the educational opportunity.*

For each year, the Goal Three contribution of a project that increases the number of learners entering an education opportunity is calculated as the size of the incoming class (# New Entrants) for the year of the project, minus the size of the incoming class for the baseline year. Using data from the illustrative table the calculation is carried out as follows:

	2011	2012	2013	2014
<b>School Year value</b>	2,200	2,400	2,400	2,500
<b>Baseline value</b>	2,000	2,000	2,000	2,000
<b>Annual Increased Access:</b>	2,200-2,000 = 200	2,400-2,000 = 400	2,400-2,000 = 400	2,500-2,000 = 500

The Life of Project Increased access resulting from change in the number of learners entering school is calculated as the sum of the annual contributions: 200 + 400 + 400 + 500 = 1,500.

### Estimating the Goal Three count when data on new entrants is not available (Alternative Methodology)

There will be cases when sufficient data are not available to calculate a project's contribution to the Goal Three count using the preferred methodology outlined above. In these cases, the contribution of a project can be estimated using annual data on the total number of learners participating in the project. This alternative approach may appear attractive because it requires less data than the preferred approach, but it is ultimately less preferable because it is less likely to represent the true contribution of a project to the Goal Three count when repetition or dropout rates are high.

To illustrate the alternative methodology and how it works, imagine a project designed to increase the number of learners entering a three grade education project. In the baseline year, 1,000 learners are attending each of the three grades, for a total enrollment of 3,000. When the project begins, the incoming class is increased from 1,000 to 1,100, an increase of 100 learners. For each subsequent year, the incoming class consists of 1,100 students. The table below illustrates the number of students in each grade according to this scenario along with total enrollment for the three year project. For the moment, assume there is no repetition or dropout, which means that the 1,100 learners enrolled in grade 1 for year 1 progress to grades 2 and three in years 2 and 3, and will no longer be enrolled in year 4.

	Baseline	Year 1	Year 2	Year 3	Year 4	Year 5
<b>Grade 1</b>	1,000	1,100	1,100	1,100	1,100	1,100
<b>Grade 2</b>	1,000	1,000	1,100	1,100	1,100	1,100
<b>Grade 3</b>	1,000	1,000	1,000	1,100	1,100	1,100
<b>Total Enrollment</b>	3,000	3,100	3,200	3,300	3,300	3,300
<b>Unique new entrants</b>	-	100	100	100	100	100

Following the approach outlined in the *preferred methodology*, we would calculate improved access in terms of increase in new entrants for each year of the project. Because there were 1,000 entrants in the baseline year and 1,100 entrants for each year of the project, the annual contribution of the project is 100 learners with increased access. Over the five-year life of the project, the cumulative contribution of the project is 500 learners with increased access to education. Because data on the number of learners in the incoming class is not available however, we are aware of only the total number of learners enrolled each year:

	<b>Baseline</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Year 5</b>
<b>Total Enrollment</b>	3,000	3,100	3,200	3,300	3,300	3,300

Without access to information on the number of learners in the incoming class, we must rely on assumptions to figure out how many unique learners gained increased access to education over the baseline year. If we assume that changes in the total enrollment rate can only be explained by increases in intake, we can infer that, because the Year 1 total enrollment is 100 greater than the baseline total enrollment, 100 new students must have entered the project.

In Year 2, total enrollment has increased to 3,200, which is 200 greater than total enrollment at baseline. We cannot count the full 200 as increased access for Year 2, however, because we know that the 100 learners who contributed to increased access in Year 1 have progressed to Year 2 and account for the first 100 of this 200 pupil difference. Since we do not want to count the first 100 learners in both the year 1 count and the Year 2 count, we subtract them out, calculating the Year 2 contribution to the count as the Year 2 Total Enrollment minus the baseline total enrollment, minus the Year 1 increased access contribution, or  $3,200 - 3,000 - 100 = 100$ .

Similarly, for Year 3, total enrollment has increased to 3,300, but we know that 100 out of that total is accounted for by the 100 learners who contributed to increased access in Year 1 and who are now attending Grade 3, and another 100 out of that total is accounted for by learners who contributed to increased access in Year 2 and are now attending Grade 2. To avoid double-counting those learners who were counted as contributing to the count in previous years, we subtract them out, calculating the Year 3 contribution to the count as the Year 3 Total Enrollment minus the baseline total enrollment, minus the Year 1 increased access contribution, minus the Year 2 increased access contribution, or  $3,300 - 3,000 - 100 - 100 = 100$ .

For Year 4, total enrollment has is again 3,300, and we again know that we must subtract out the 100 learners who were counted as contributing to increased access in Year 3, and the 100 learners who accounted for increased access in Year 2. We are no longer concerned about the 100 learners who contributed to increased access in Year 1, because those learners have promoted out of the system and are no longer counted in total enrollment. The Year 4 contribution to the count is calculated as Year 4 total enrollment, minus baseline total enrollment, minus the Year 3 increased access contribution, minus the Year 2 increased access contribution, or  $3,300 - 3,000 - 100 - 100 = 100$ .

For Year 5, total enrollment has is again 3,300, and we again know that we must subtract out the 100 learners who were counted as contributing to increased access in Year 4, and the 100 learners who accounted for increased access in Year 3. We are no longer concerned about the 100 learners who contributed to increased access in Years 2 or 1, because those learners have promoted out of the system

and are no longer counted in total enrollment. The Year 5 contribution to the count is calculated as Year 5 total enrollment, minus baseline total enrollment, minus the year 4 increased access contribution, minus the Year 2 increased access contribution, or  $3,300 - 3,000 - 100 - 100 = 100$ .

If we know the number of grades in the system and make the assumption that there is zero dropout or repetition, it is possible to estimate the number of unique new entrants to the system by taking the difference between the total enrollment for the current year, minus the current enrollment for the previous year, and then adjusting for the number of learners who accounted for increased access in the past and can be assumed to remain enrolled in the system.

Following this formulation, the estimated number of unique learners with increased access for the project is calculated as follows:

Year	Formula	Calculation	Value
Year 1	Total1 - Baseline	$3,100 - 3,000$	100
Year 2	Total2 – Baseline – Incr1	$3,200 - 3,000 - 100$	100
Year 3	Total3 – Baseline – Incr1 – Incr2	$3,300 - 3,000 - 100 - 100$	100
Year 4	Total4 – Baseline – Incr2 – Incr3	$3,300 - 3,000 - 100 - 100$	100
Year 5	Total5 – Baseline – Incr3 – Incr4	$3,300 - 3,000 - 100 - 100$	100
Years 1-5	Sum of Annual Values	$100+100+100+100+100$	500

This calculation yields the same result (500) as the preferred methodology, which looked at change in the size of the incoming class alone. However, this is only because we made the assumption that there is no repetition or dropout. Imagine another scenario, identical to the previous scenario except there is now a 10% annual dropout rate at the end of Grade 1 and the end of Grade 2. The data for this system appear as follows:

	Baseline	Year 1	Year 2	Year 3	Year 4	Year 5
Grade 1	1,000	1,100	1,100	1,100	1,100	1,100
Grade 2	900	900	990	990	990	990
Grade 3	810	810	810	891	891	891
<b>Total Enrollment</b>	2,710	2,810	2,900	2,981	2,981	2,981
<b>Unique new entrants</b>	-	100	100	100	100	100

If data on the size of the incoming class were available, we would use the preferred methodology to calculate that the project has resulted in increased access for 500 learners over the course of five years.

Since data on the size of the incoming class is not available, the calculation must be based on data for total enrollment alone:

	<b>Baseline</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Year 5</b>
<b>Total Enrollment</b>	2,710	2,810	2,900	2,981	2,981	2,981

When the total contribution of the project is calculated according to the alternative methodology, the calculations are as follows:

<b>Year</b>	<b>Formula</b>	<b>Calculation</b>	<b>Value</b>
Year 1	Total1 - Baseline	$2,810 - 2,710$	100
Year 2	Total2 – Baseline – Incr1	$2,900 - 2,710 - 100$	90
Year 3	Total3 – Baseline – Incr1 – Incr2	$2,981 - 2,710 - 100 - 90$	81
Year 4	Total4 – Baseline – Incr2 – Incr3	$2,981 - 2,710 - 90 - 81$	100
Year 5	Total5 – Baseline – Incr3 – Incr4	$2,981 - 2,710 - 81 - 100$	90
Years 1-5	Sum of Annual Values	$100+90+81+100+90$	461

Note that even though the true contribution to the count for this project, based on the preferred methodology, is 500, the estimated contribution based on the alternative methodology comes to only 461. This is because the alternative methodology is calculated based on the total number of learners attending school, diminished by the cumulative dropouts at the end of Grades 1 and 2.

This example illustrates a case where the alternative methodology results in an underestimation of the true contribution of the project because of a downward bias introduced by a high dropout rate. In other cases, when repetition rates are especially high, the alternative methodology may overestimate the contribution of a project. *Because the alternative methodology is subject to these biases, it should be used only when there are not sufficient data available to use the preferred methodology.*