



USAID
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USAID'S OFFICE OF FOOD FOR PEACE
POLICY AND GUIDANCE FOR MONITORING,
EVALUATION, AND REPORTING FOR
DEVELOPMENT FOOD SECURITY ACTIVITIES

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Acronyms and Abbreviations

ADS	USAID's Automated Directives System
ANC	antenatal care
AOR	Agreement Officer's Representative
ARR	Annual Results Report
AS	annual or routine beneficiary survey
BL/FE	baseline/final evaluation
CAPI	computer-assisted personal interviewing
CBO	community-based organization
COR	Contracting Officer's Representative
DEC	USAID Development Experience Clearinghouse
DHS	Demographic and Health Survey
DQA	Data Quality Assessment
EMMP	Environmental Mitigation and Monitoring Plan
FFP	USAID's Office of Food for Peace
FFPIB	FFP Information Bulletin
FFPMIS	Food for Peace Management Information System
FFS	farmer field school
FY	fiscal year
IEE	Initial Environmental Examination
IGA	income-generating activity
IPTT	Indicator Performance Tracking Table
LOA	life of the award
LogFrame	logical framework
M&E	monitoring and evaluation
MCHN	maternal and child health and nutrition
MTE	midterm evaluation
PIRS	Performance Indicator Reference Sheet
PPS	probability proportional to size
PREP	Pipeline and Resources Estimate Proposal
R	required
RF	Results Framework
RiA	required if applicable
RM	routine monitoring
S	secondary data

SO	Strategic Objective
SOW	statement of work
TOC	Theory of Change
USAID	U.S. Agency for International Development
USG	U.S. Government

Background and Purpose

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

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

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

Chapter 1: Summary of Monitoring and Evaluation Processes

Section 1.1: Purpose of Monitoring and Evaluation

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

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

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

Section 1.2: Monitoring and Evaluation Plan

A Monitoring and Evaluation (M&E) Plan is a road map for activity M&E implementation. Its primary purpose is to document an activity's M&E processes in sufficient detail to enable all staff, especially new staff, to exactly duplicate the processes followed by other staff so that everyone produces equivalent, high-quality data without training or additional information. An M&E Plan also demonstrates to FFP that an awardee has a rigorous system for monitoring and evaluating activity performance that produces accurate, meaningful, and useful data for decision making.

The M&E Plan required by FFP includes:

- A TOC: A set of diagrams plus a complementary narrative
- A logical framework (LogFrame)
- An Indicator Performance Tracking Table (IPTT)
- A Performance Indicator Reference Sheet (PIRS) for each indicator in the IPTT
- An annual monitoring strategy describing procedures for:
 - Data collection
 - Data processing and flow from the point of collection to report
 - Data quality assurance

- Data management and safeguarding
- An M&E staffing and capacity building strategy
- An Evaluation Plan:
 - Baseline study
 - MTE
 - Final evaluation

[Chapter 2](#) provides guidance and outline requirements for the TOC, the LogFrame, the IPTT, and PIRs. Guidance on the annual monitoring and M&E staffing and capacity building strategies is presented in [Chapter 3](#). Guidance for evaluation plans is presented in [Chapter 4](#).

See Box 1 preceding [Chapter 2](#) for definitions of TOC terms and Box 2 in [Section 2.2](#) for the definition of terms related to the LogFrame.

Section 1.3: Monitoring and Evaluation Requirements and Submission Timeline

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

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

1.3.1: Application

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

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

The LogFrame should display indicators for activity Outputs and Outcomes, including all applicable FFP indicators. Targets must be set for Purpose- and Sub-Purpose-level indicators measured during the baseline study and final evaluation. Because the baseline values are not available at the application stage, the final evaluation targets may be expressed in relation to the baseline value. ([See Section 2.2 for more about the LogFrame.](#))

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

Component	Application	Start-Up	Annually	Midterm	Final Evaluation
Theory of Change (TOC)	<ul style="list-style-type: none"> Set of diagrams that includes Goal, Purposes, Sub-Purposes, all Outputs, and key Intermediate Outcomes to make pathways understandable Narrative to clarify rationales, assumptions, and associated risks 	Refine until approved, beginning at M&E workshop	<ul style="list-style-type: none"> Review at least annually Revise and submit, with justification at any time need is recognized 	<ul style="list-style-type: none"> MTE tests early Outcomes of TOC Revise based on MTE findings 	Final evaluation tests TOC
Logical Framework (LogFrame)	<ul style="list-style-type: none"> Must correspond with TOC and include indicators for all Outputs and Outcomes, including all applicable FFP indicators Must include final evaluation targets for baseline/final evaluation indicators for Purposes and Sub-Purposes 	Refine until approved, beginning at M&E workshop	Review, revise, and submit, with justification at any time the need is recognized		
Indicator Performance Tracking Table (IPTT)		<ul style="list-style-type: none"> First submission accompanied by a PIRS for every indicator All submissions must have a final evaluation target for every baseline/final evaluation (BL/FE) indicator and required disaggregate All submissions after completion of the baseline must have a baseline value for every BL/FE indicator All submissions must have a base value, a target for every year, and a LOA target for every annual monitoring Output indicator and required disaggregate By the end of the second fiscal year (FY), or first FY for first quarter awards, for every annual monitoring Outcome indicator and required disaggregate, must have a base value, a target for every year, and a LOA target 	<ul style="list-style-type: none"> Actual values added for reporting year and submitted with every Annual Results Report (ARR) Review, revise, and submit changes to future targets with ARR; no change to current year target after the ARR IPTT for the previous year is approved Review, revise, and submit requests for approval of changes to indicators, mode of collection, and targets other than those for past or current years, with justification, at any time the need is recognized 		Add final evaluation and LOA actual values

Component	Application	Start-Up	Annually	Midterm	Final Evaluation
Performance Indicator Reference Sheets (PIRS)		<ul style="list-style-type: none"> • Submit for custom BL/FE indicators 2 weeks before baseline planning workshop and final PIRSs within 14 days of end of workshop • Submit for all indicators on the IPTT with the first IPTT 			
Annual Monitoring Strategy	<ul style="list-style-type: none"> • General description of planned data collection activities and methods of data capture, transmission, storage, management, and safeguarding, including description and use of monitoring databases • Identification of software and hardware requirements 	<ul style="list-style-type: none"> • Refine and expand until approved, beginning at M&E workshops, including detailed: <ul style="list-style-type: none"> ○ Data collection methods and instruments ○ Data flow from data collection to report and data quality assurance plans for every indicator on approved IPTT ○ Plans for Data Quality Assessments (DQAs) during the following 12 months ○ Data management and safeguard plans 	Submit requests at any time for revisions, with justification, for approval before changes are implemented	M&E processes and uses of data by stakeholders reviewed in MTE	
M&E Staffing and Capacity Building Strategy	Personnel, qualifications, numbers of staff, and roles in Annual Monitoring Strategy and other M&E activities	Beginning at M&E workshops, refine and detail to correspond to Annual Monitoring Strategy and other M&E activities until final plan is approved	<ul style="list-style-type: none"> • Submit revisions and justification for approval by AOR annually with the Pipeline and Resources Estimate Proposal (PREP) • Submit detail for capacity building for coming year for AOR approval with PREP • Describe achievements of capacity building during reporting year in ARR 	Adequacy of numbers and capacities of staff reviewed in MTE	

Component	Application	Start-Up	Annually	Midterm	Final Evaluation
Baseline study	Basic description of baseline study plans, including the anticipated timing	<ul style="list-style-type: none"> • FFP advises whether study will be managed by FFP or awardee • Awardees contribute to and participate in baseline planning workshop and submit activity-clarified PIRSs for FFP BL/FE indicators by end of workshop • Prior to baseline planning workshop, awardees identify custom indicators to be collected in baseline and endline surveys and submit PIRS for each • When awardee-managed: <ul style="list-style-type: none"> ○ Contract third-party firm ○ Upload final report and related documents to the USAID Development Experience Clearinghouse (DEC) and submit data sets submitted to AOR within 30 days of approval of final report 	<ul style="list-style-type: none"> • Enter baseline values and final evaluation targets into IPTT and FFP Management Information System (FFPMIS) with ARR for FY in which baseline survey is completed • Upload baseline study report to FFP MIS with ARR for FY in which it is approved 		
Midterm evaluation (MTE)	Basic description of MTE plans, with proposed timing		<ul style="list-style-type: none"> • Obtain approval for timing of MTE within 15 months of award • Submit draft statement of work (SOW) for approval within 15 months of award 	<ul style="list-style-type: none"> • Contract external team to complete MTE • Submit final report within 36 months of award • Upload final report to FFP MIS and DEC and submit data sets to AOR within 30 days of approval 	

Component	Application	Start-Up	Annually	Midterm	Final Evaluation
Final evaluation	Basic description of final evaluation plans, including timing	<ul style="list-style-type: none"> • FFP advises whether evaluation will be managed by FFP or awardee • When awardee-managed: <ul style="list-style-type: none"> ○ Contract third-party firm ○ Final report and related documents uploaded to DEC and data sets submitted to AOR within 30 days of approval of final report 	<ul style="list-style-type: none"> • Enter final evaluation targets for BL/FE indicators based on baseline survey results into IPTT and FFPMIS as part of ARR for FY in which baseline survey is completed • Enter final evaluation values into IPTT and FFPMIS as part of ARR for FY in which endline survey is completed 	<ul style="list-style-type: none"> • If awardee-managed: Submit draft SOW for approval at least 1 year before planned start of final evaluation and no later than end of first quarter of fourth implementation year • Data collection completed no less than 1 year before end of award 	If awardee-managed: Upload final report and related documents to DEC and submit data sets to AOR within 30 days of approval of final report

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

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

Illustrative ranges anticipated by FFP for evaluation costs are:

- Baseline: \$250,000–\$300,000
- Midterm: \$150,000–\$300,000
- Final: \$350,000–\$400,000

FFP expects that applicants will allocate 3%–5% of the total activity budget for program monitoring. The total activity budget comprises the sum of all funds that will be applied to any part of the proposed activity, i.e., funds from Title II (for food commodities; Internal Transportation, Storage and Handling; and Section 202(e)), Community Development Funds, USAID Missions, the awardee, and other USAID and non-USAID sources.

I.3.2: Start-Up

Complete M&E Plan

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

Baseline Study

A baseline study is required for all FFP development activities. The purposes of the study are to collect baseline values for specific Outcome and impact indicators that will be compared to values collected during the final evaluation and to provide information to the awardee about the activity's target population to strengthen the design and targeting of interventions.

The baseline study must:

- Include a quantitative baseline survey of households in the activity area, using a probability sample at the population level, and be designed to produce values that will be compared to results from a similar endline survey so that change can be measured
- Complete data collection within the first year of activity implementation, ideally during the lean season²

¹ FFP may contract and manage a third-party firm to conduct the activity's baseline study and final evaluation. If so, the budgets will be adjusted and finalized in the negotiation process with successful applicants.

- Be externally led; at the time of award, FFP will select one of the following options for the baseline survey:
 - FFP contracts and manages a qualified third-party firm to implement the baseline study.
 - The awardee contracts and manages a qualified third-party firm to implement the baseline study with limited awardee involvement. In this case, the awardee develops a statement of work (SOW) in collaboration with FFP and the relevant USAID Mission. With this option, both the SOW and baseline study team members must be approved by FFP prior to contracting.
- Include a 3- to 4-day baseline planning workshop. This workshop will be organized by the third-party firm to finalize survey and instrument designs and to discuss field logistics with the participation of key members of the awardee's staff and FFP.

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

[Section 4.1](#) and [Annex I](#) provide detailed guidance about the baseline study.

1.3.3: Annual Activities

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

At the beginning of each new FY, the awardee must submit an ARR that discusses and analyzes the activity's successes and challenges during the prior FY. It is important to note that that FFP sets the ARR due date to facilitate its congressional reporting requirements. In contrast to the PREP process, during which the awardee simply uploads the requisite PREP materials into FFPMIS, the ARR process requires that the awardee both upload documents to FFPMIS and *enter data directly* into FFPMIS. FFP posts annual guidance on the content and submission schedule for ARRs under [Implementation and Reporting](#) on FFP's website.

The ARR submission provides awardees one last opportunity to request changes to the IPTT's annual targets for the year following the reporting year (i.e., the year in which the IPTT is submitted) for all annual monitoring indicators and for final evaluation indicators in the final year. Once approved, these targets cannot be changed again; they serve as points of comparison to the year's actual achievements. Future year and, except in the final year of the award, LOA and final evaluation targets may be changed at any time, with justification and AOR approval.

² "Lean season" refers to the most difficult months of the year. Often the lean season is linked to the agricultural season.

Other changes to the M&E Plan may be requested and approved by the AOR with the submission of an ARR or PREP or at any time during the year. Once approved, the new M&E Plan becomes the official M&E Plan unless and until another change is approved.

I.3.4: Midterm Evaluation

FFP requires an awardee to manage an externally led MTE for awards of more than 4 years. To maximize learning opportunities, in countries with multiple awards from the same solicitation, FFP strongly encourages awardees to conduct joint MTEs.

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

The MTE must take place approximately midway through the LOA. Because the MTE focuses on implementation, the seasonal timing for in-country data collection should correspond to a period when most interventions are active; the timing does not need to correspond with that of the baseline study and final evaluation. The awardee, after consultation with and approval of the AOR and the USAID Mission, must establish the timing of MTE data collection within 15 months of the award.

Awardees must obtain AOR approval on the following MTE deliverables:

- Final SOW: The first draft should be submitted to the AOR within 15 months of the award.
- Team leader and technical sector experts: These individuals must be identified and their credentials submitted to the AOR for his/her approval no later than 6 months prior to data collection.
- Final MTE design: Before primary data collection begins.
- Final report: Within 36 months of award.

Within 30 days of final report approval, the awardee must submit the report and related documents to the DEC and related data sets to the AOR. The awardee must also upload the final report to FPMIS with the ARR for the FY in which the report is approved.

Within 45 days of FFP approval of the final MTE report, the awardee, in collaboration with the country FFP Officer, must develop a plan of action to apply MTE recommendations and submit the plan to the AOR and USAID Mission for their approval.

Section 4.2 provides more guidance related to MTEs.

I.3.5: Final Evaluation

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

- Includes a quantitative, population-based household survey comparable in design to that of the baseline survey so that values across time can be compared

- Includes a qualitative study
- Completes data collection approximately 1 year before the activity ends, during the same time of year as the baseline study to facilitate the comparison of the surveys' results
- Is externally led; the AOR will inform each awardee approximately 2 years before the end of the award which of the following two scenarios will apply:
 - FFP contracts and manages a qualified third-party firm to implement the final evaluation.
 - The awardee contracts and manages a qualified third-party firm to implement the final evaluation, with limited awardee involvement, in which case, in collaboration with FFP and the relevant USAID Mission, the awardee develops a SOW that must then be approved by the AOR.

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

- Final SOW: The first draft must be submitted to the AOR for review at least 1 year before planned start of final evaluation and no later than the end of the first quarter of the fourth implementation year.
- Team leader and technical sector experts: These individuals must be identified and their credentials submitted to the AOR for approval no later than 6 months prior to data collection.
- Final evaluation design: Before data collection begins.
- Final report: Within 8 weeks of data collection.

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

I.3.6: Resources

- FFP's [Implementation and Reporting](#) webpage provides links to a variety of resources to assist with implementing and reporting on food security programs.

Box 1: Definitions of TOC Terms

Pathways: The sequence in which Outcomes are expected to occur in the process of reaching the long-term Goal. In the TOC diagrams, pathways are depicted using directional arrows to connect chains of preconditions and the resulting Outcomes.

Preconditions: Preconditions are the conditions, Outputs, and Outcomes that must exist before a higher-level/later Outcome can be achieved. For example, preconditions might include infrastructural improvements; Outcomes stemming from the application or use of the infrastructure; policy or institutional requirements; or conditions of the political, social, cultural, or natural environment.

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

Outputs: Outputs are immediate products of interventions implemented by an activity, including training achieved, goods or services provided by the activity, learning or advocacy events held, and communications broadcast. Outputs are also preconditions for higher-level Outcomes.

TOC Diagrams: The TOC contains a set of diagrams that use shapes, text, color, and directional arrows to show the hypothesized pathways of change from intervention Outputs through resulting Outcomes to the long-term Goal, plus the critical rationales and assumptions underlying the TOC.

Rationales: The underlying logic and evidence that support the plausibility of connections in a pathway that may not be obvious to the reader. This includes facts or other information to explain why a precondition or set of preconditions is necessary and sufficient to ensure an Outcome. For example, a rationale might refer to literature that supports a pathway that shows that an infant who is in a mentally stimulating environment grows faster physically than an infant who is not. Evidence can come from multiple quantitative or qualitative sources, including academic, activity-specific, or community-based research. Full explanations of rationales are usually found in the TOC narrative, with references to them in the TOC diagrams.

Assumptions: An assumption describes the contextual or environmental factors or conditions that are out of the control of the activity but that have significant influence over the success of the TOC overall or some portion of it. For example, a common assumption for the achievement of a TOC overall is that political stability allows adequate security for awardees to access and work in the activity area. A Purpose to increase food production may assume that during the activity life the annual flooding in the activity area will not exceed the 10-year flood level. Assumptions are particularly important in fragile contexts, including those experiencing or at high risk of violent conflict, drought, or flooding.

Chapter 2: TOC, LogFrame, IPTT, and PIRS

Section 2.1: Theory of Change

2.1.1: Overview

Every FFP award application must include the activity's TOC that describes how all of the Outputs from the proposed interventions will contribute to a series of Outcomes that ultimately enable achievement of the activity's Goal. The TOC must be developed based on evidence and should include two parts: a diagram or set of diagrams that illustrates the pathways of change from intervention Outputs through a series of Intermediate Outcomes and eventually to the activity Goal and, in a separate document, a complementary TOC narrative that further explains and adds to the plausibility of the pathways depicted in the diagram(s).

All FFP activities seek to achieve sustainable changes. Therefore, the TOC diagrams should show not only how the Outcomes will be achieved but also how they will be sustained. For example, TOC diagrams that show that activity staff or volunteers will provide technical advice or extension support to farmers to adopt improved agricultural practices should also show how the activity would develop private service providers or strengthen government agricultural extension services to support farmers to sustain these practices.

FFP expects changes in high-level Outcomes to be measurable at a population level in the final evaluation. Therefore, in addition to activities that influence the practices and behaviors among the activity's direct participants, the TOC diagrams should depict the activities that will influence population-level changes. For example, training on integrated pest management may influence trainees' indiscriminate use of chemical pesticides, but to change practices among non-participating farmers, the activity may prepare trainees to act as change agents in their communities and/or it may broadcast promotional messages through local radio programs or incorporate other community-level interventions.

In addition to the activity intervention Outputs and Outcomes, the TOC must show conditions that are not addressed by the activity's interventions and that are outside the control of the activity, but that are necessary for hypothesized changes to occur. This includes Outputs and Outcomes from concurrent interventions that are not part of the activity, as well as contextual conditions necessary for the desired changes to occur.

The TOC is the foundation for the LogFrame and the IPTT, and refinement of the TOC is an important part of the post-award FFP M&E workshops. The TOC most likely will need to be modified throughout the activity. At a minimum, it should be reviewed by program staff annually, whenever there is new evidence, or when there are changes in the context that affect assumptions or hypothesized pathways of change. A revised TOC, with justification for proposed changes, may be submitted to the AOR as part of the annual PREP or ARR or at any time when the need is recognized. When submitting a revision, the awardee should also describe, justify, and request approval for all modifications to activity design, implementation, and the M&E Plan necessary to respond to the changes in the TOC.

2.1.2: Developing the Theory of Change

The process of defining a TOC should start from the activity Goal or each Purpose and work backward through various pathways of action to describe the series of preconditions that must exist before the Purpose can be achieved.

Immediate preconditions for the highest-level Outcomes in a TOC are typically not direct Outputs of activity interventions or existing conditions. Therefore, other preconditions are necessary before the immediate preconditions can be achieved. These lower-level preconditions, too, must be portrayed in the TOC. The process of identifying preconditions should continue backward, step by step, until reaching an activity Output or a precondition that is outside the control of the activity.

To illustrate, a portion of a TOC is portrayed in Figure 1. This illustration shows how “Household access to nutritious food improved” is an activity Purpose, and a Sub-Purpose is “Household income increased.” In this example, one way the activity expects to increase household income is by promoting household members’ participation in new income-generating activities (IGAs). To promote participation, activity staff will train women in IGA skills, and other interventions will address aspects of the economic environment that limit the participation of individuals in IGA skills.

Figure 1 shows that “Household income increased” is a precondition for the Purpose. “Household members participate in new IGAs” is a precondition for “Household income increased.” Participation, in turn, is an Outcome of the two preconditions: “Women trained in IGA skills” and “Economic environment for IGAs improved.” Women’s training is a direct Output of the activity’s interventions, and there is no precondition leading to that box. Outputs typically begin pathways. Only an Outcome or condition outside the control of the activity may be a precondition for an Output.

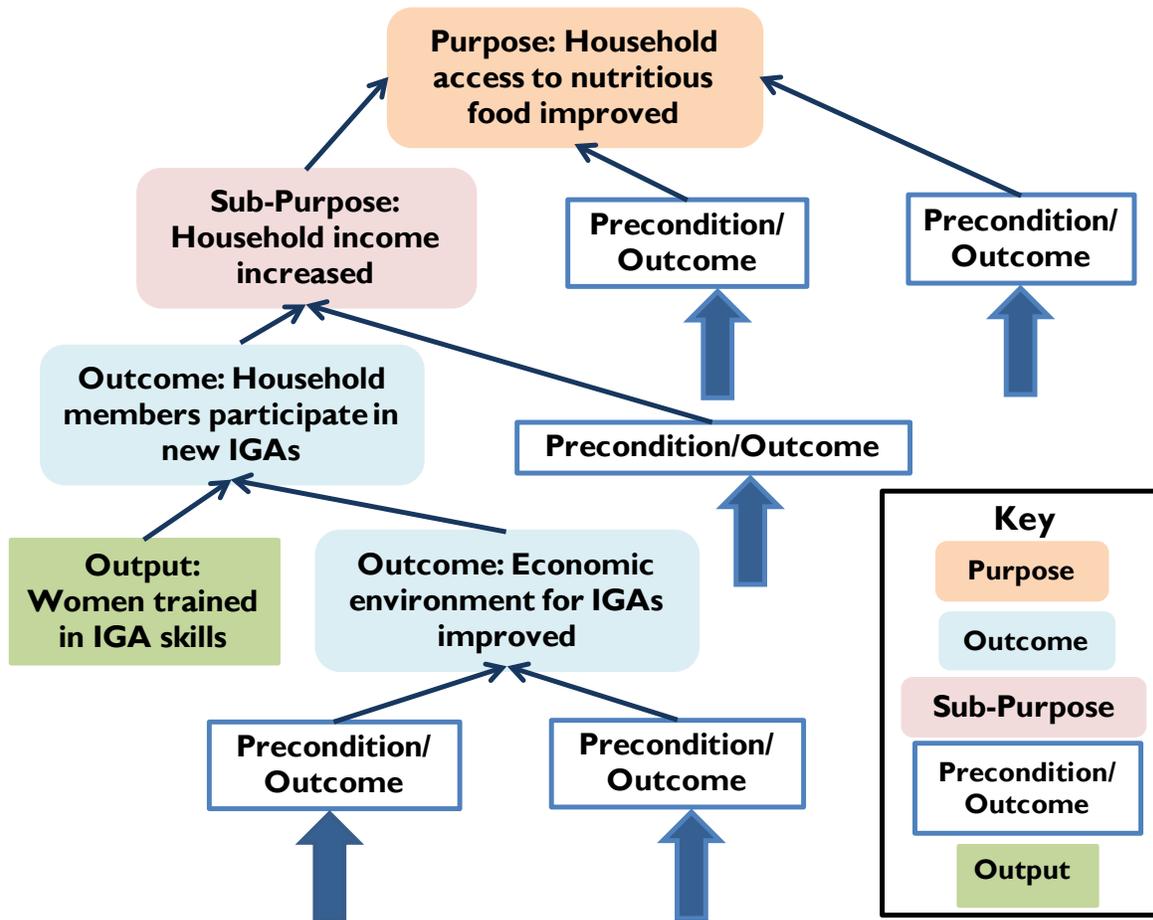
The improvement of the economic environment is too complex an Outcome to rely on simple activity Outputs. Therefore, the TOC must continue backward from this Outcome to define more levels of preconditions before reaching a direct Output of an activity intervention or a precondition outside the control of the activity. In Figure 1, the broad arrows pointing upward toward a precondition/Outcome indicate that more levels of preconditions will be added below these points before the TOC diagram is complete.

In TOC diagrams, FFP recommends the use of colors, numbers, fonts, shading, and/or shapes to distinguish the different elements of the TOC and the LogFrame and to distinguish Outcomes from preconditions outside the activity’s control from those influenced by the activity (see Figure 2 as an example). Every TOC diagram should include a key that explains the significance of the colors, fonts, shading, etc.

Assumptions and rationales should be inserted in TOC diagrams using a unique shape or color. An assumption might be shown floating in the background of a diagram to indicate that it is necessary for all of the pathways depicted in the diagram. Another assumption or rationale underlying or justifying a pathway between two Outcomes should be shown in a shape that points toward the arrow that connects those Outcomes. If the text needed to describe an assumption or rationale makes a diagram too crowded, a simple identifier (for example, A1, R2,

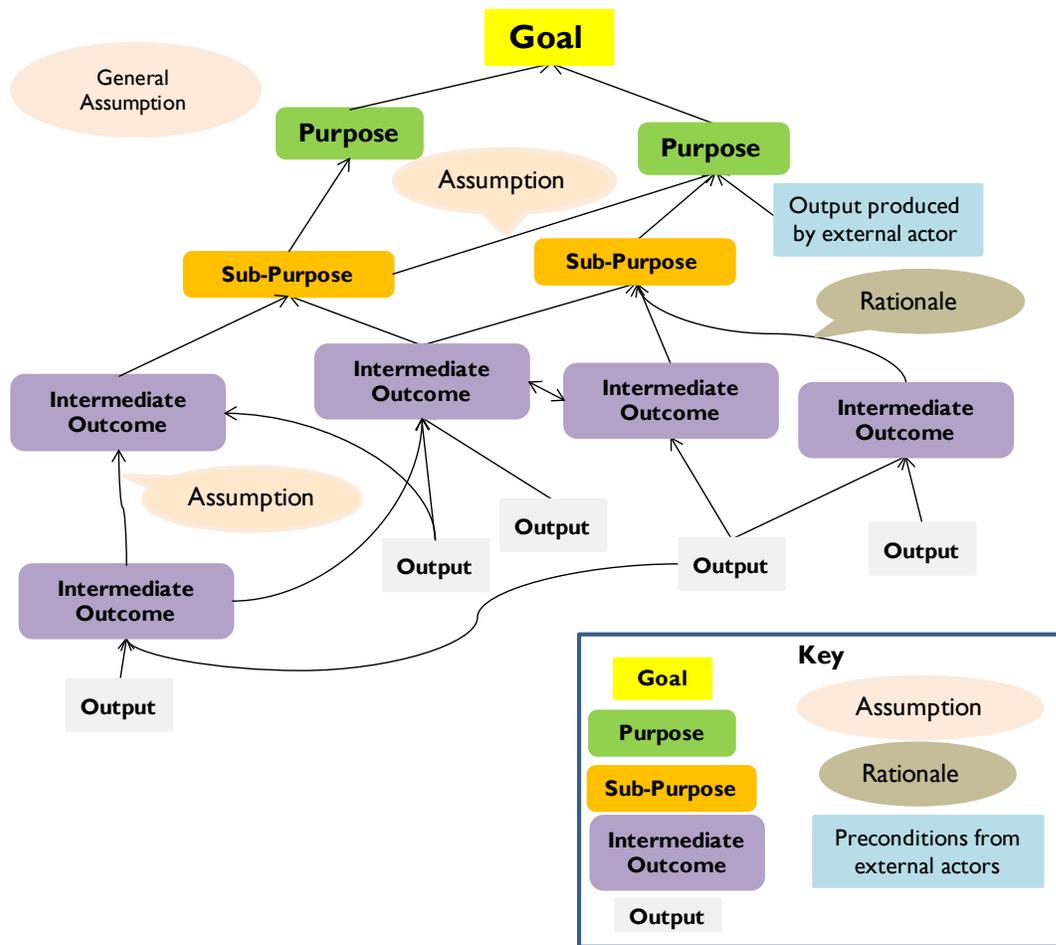
etc.) that refers to a description of the assumption or rationale in the TOC narrative or an attached table may be positioned on the diagram to show its relationship to the related Outcome, Output, or pathway (see Figure 1).

Figure 1: Example of Preconditions/Outcomes in a TOC



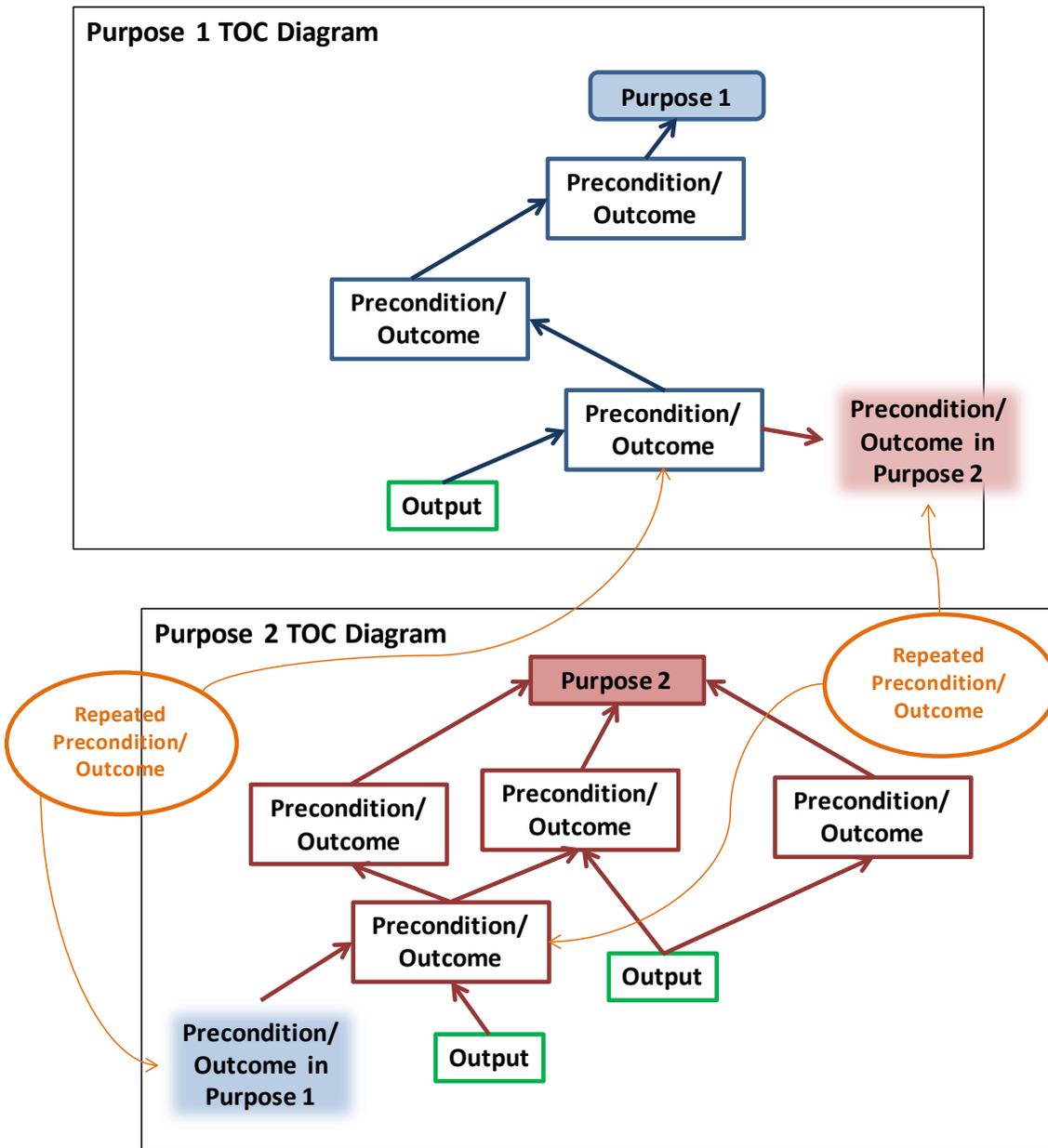
All preconditions, assumptions, and Outcomes in the TOC should be stated as results, not processes. For example, the results of training could be “Caretakers of children aged 6–36 months trained to prepare foods to complement breastfeeding,” not “Activity trains caretakers of children aged 6–36 months to prepare foods to complement breastfeeding.”

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



Because FFP development activities are multisectoral and complex, an activity TOC diagram may not fit legibly onto a single page. To keep the diagrams reader-friendly while maintaining detail, the TOC may comprise a set of diagrams. For example, it may have a page for each Purpose (or even Sub-Purpose). In integrated programs, Purposes and Sub-Purposes are designed to support one another. Therefore, some pathways may cross pages. Figure 3 shows one way that a crossing might be depicted by repeating the Outcome that appears on the page with the pathways leading up to it on a second page where the Outcome is a precondition for a higher-level Outcome. Likewise, the higher-level Outcome on the second page could be repeated on the first page. Color, shape, and/or special effects should be used to identify a precondition/Outcome that also appears on another page. (Note that the orange ovals and arrows are not part of the TOC diagram. They are added in this figure only to direct the reader to the repeated elements.)

Figure 3: Showing Pathways That Cross Diagrams in a TOC



FFP requests that, in addition to the set of Purpose- or Sub-Purpose-level diagrams, the awardee include a single-page, all-inclusive diagram. FFP does not require any specific application for developing and presenting TOC diagrams.

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

The “breadth” of the TOC relates to the degree to which it includes external influencing factors. “Depth” refers to how far back the TOC goes from the Goal. The TOC’s “level of

detail” depends on the magnitude of the step between adjacent preconditions and Outcomes in the various pathways of change.

The breadth of the TOC submitted with an application should demonstrate a good understanding of the proposed implementation context. Applicants should include the external preconditions that are most likely to affect the Outcomes necessary to the achievement of the activity’s Goal, either positively or negatively. For example, when distributing food with the intent to improve child nutritional status in an environment where potable water supplies are unstable, the TOC should depict the necessary preconditions related to water supply and water access and the health Outcomes related to water quality and quantities—even if the activity does not include interventions to stabilize the water supply.

FFP requires greater depth for the pathways directly affected by activity interventions than for those outside the control of the activity. The Output from every activity intervention must be depicted in the TOC diagram, and the pathways must show how every Output eventually connects to the Goal. For preconditions outside the control of the activity, the TOC diagram may show only the highest-level precondition controlled from outside, without showing how that precondition will be achieved. However, for those preconditions outside of the activity’s control, the TOC narrative must identify the actors or environmental circumstances that contribute to the precondition, identify sources of risk to the existence of that necessary precondition, and describe the consequences to higher-level Outcomes if the precondition does not exist.

The TOC submitted with an application should be at a level of detail sufficient to make clear to a reader who is not familiar with the activity how changes are expected to unfold. Awardees are required to submit an updated TOC post-award as part of their M&E Plan. FFP expects that the TOC will become more detailed throughout the LOA as M&E reveals more about the processes of change. The breadth, depth, and level of detail of an activity TOC is expected to increase throughout the LOA. Awardees are expected to add significantly to all three aspects of the TOC before receiving approval post-award.

2.1.4: The TOC Narrative

The TOC narrative **should not summarize or reiterate what is obvious** from the TOC diagrams. It need not be written to be understood as a stand-alone document, without the TOC diagrams. Instead, it should add information that is not easily communicated graphically or expressed in a few words on a diagram. It should provide reference to the evidence that was used to develop the TOC. It should also help the external reader understand the awardee’s degree of certainty that the pathways portrayed in the diagrams will occur and identify conditions that could be threats to progress along the pathways. The narrative may:

- Add detail about assumptions: For example, the narrative can describe prevailing opinions about the stability of critical conditions and describe trends that indicate growing or declining stability and the sources of risk. It can also highlight the Outcomes that are at greater or lesser risk if conditions change or an assumption fails. In cases of instability or high risk, the narrative may be used to describe how the activity will monitor conditions and act to mitigate the risks or effects of the changes.

- Provide text, web links, or references to research and/or literature that present evidence to support rationales for connections between a precondition and an Outcome, if it is not immediately obvious. For example, the narrative might include references to studies that show that a child is more likely to be fed a more nutritious diet if both parents contribute to decisions about his/her feeding instead of just one parent. In another example, the narrative could describe how a new type of committee or system promoted by the activity is expected to be instrumental in mobilizing or informing the community in innovative ways, thereby contributing to multiple Outcomes and Purposes.
- Identify the actors outside the activity who are intervening or will intervene to produce Outcomes or Outputs that are preconditions in a TOC pathway, the scale of their intervention relative to the activity's coverage, a sense of the likelihood that the preconditions will have been achieved by the time they are necessary for the TOC, and the risks to the activity if they are not. It may also describe the activity's level of collaboration with each actor, how that collaboration will better ensure the preconditions, and how the necessary Outputs and Outcomes will be monitored.
- Provide an explanation of how the activity assumes an intervention with a limited number of beneficiaries will result in population-level change. Some activities undertake specific interventions to broadcast knowledge across the whole population. Others target a large proportion of the population in each community to reach a critical mass, develop activities and processes in such a way that they will self-replicate, or use the activity participants as change agents in the community. If the awardee finds it difficult to portray the indirect approach in the TOC diagram, the TOC narrative could be used. For example, the narrative could explain that farmers who attend farmer field schools (FFSs) will be encouraged to invite neighbors to see how they changed the way they do things in their fields and to explain why.

Cross-Cutting Technical Areas

Activities approach the integration of the cross-cutting technical areas of gender, environment, community participation, sustainability, and conflict-sensitivity (“do no harm”) in different ways. Every activity's TOC should show how the activity has integrated these cross-cutting areas, but the way this is shown may vary.

Some activities implement specific interventions in cross-cutting technical areas to promote attitude changes or practices of a specific group of beneficiaries or to make structural or organizational changes in a community or natural environment. For example, an activity may undertake interventions that transmit key messages related to gender equity to the general community (e.g., through mass media) or at sites of community events (e.g., performing dramas at sites of food distribution and seed fairs). Some work with target communities on kitchen performance tests³ for better fuel-efficient cooking stoves during nutrition interventions to improve indoor air quality while messaging on more-effective timber harvesting and charcoal production. Others may facilitate discussions about principles of conflict avoidance and resolution among community leaders, married couples, community-based organizations

³ See: USAID. 2010. “Fuel Efficient Stoves Programs in Humanitarian Settings: An Implementer's Toolkit.” Available at: http://www.ifrc.org/PageFiles/95759/USAID_FES_Toolkit_July_2010.pdf.

(CBOs), or the general community. Pathways depicting these kinds of interventions that directly relate to a cross-cutting Purpose may be depicted in a diagram on a page dedicated to that cross-cutting Purpose, in which case the diagram should show connections to diagrams for other activity Purposes (see Figure 3).

Some activities integrate cross-cutting technical areas into the implementation methods for interventions that contribute more directly to other Purposes and sectors. For example, interventions to promote savings and loans are gender-responsive when their objectives and training consider that men and women might have different objectives for saving or borrowing or face different barriers to saving. In another example, an activity may drill wells for irrigation and foster a municipal governance structure to ensure that this valuable resource, which is increasingly threatened by climate change,⁴ is used in a productive and sustainable manner. Many improved agricultural practices benefit the natural environment as well as crop production. In these cases, the cross-cutting integration may be represented in the TOC in the wording of the Outcomes and Outputs in the diagrams for the other Purposes, for example, by using key words like “men/women,” “climate change sensitive,” “good environmental practices,” “gender-responsive,” “gender-equitable,” “with broad community input,” “inclusive,” and “conflict-sensitive.”

2.1.5: Reviewing TOCs

FFP recommends that an awardee convene activity stakeholders from all sectors at least annually to review the TOC. The group should consider how well the TOC represents the activity’s current implementation, observed Outcomes, and factors that have affected either the implementation or Outcomes. The continued validity of the underlying assumptions in the current context should also be considered. When reviewing TOCs, the group should consider what has been learned; what has changed; how the activity has been affected by the context; and what new evidence has come to light, including programmatic findings, since the previous review.

Additional reviews with all or a subset of activity stakeholders may also be useful. Examples of evidence or situational factors that might prompt a special revision to a TOC diagram and/or narrative at any time include:

- An intervention or lower-level Outcome that failed to influence the next level of Outcome, even though all other preconditions in the TOC were met (e.g., household income increased and knowledge of child nutrition improved, but child feeding practices did not improve).
- An intervention Output that was applied in an unanticipated way or led to an unanticipated Outcome. For example, new boreholes drilled near a village that were intended to provide water for the community’s livestock attracted a nomadic group that forcibly took control of the wells.
- Activity monitoring or a special study that revealed that the quality of or efficiency in reaching Outcomes depends on additional factors not portrayed in the TOC. For example, routine monitoring uncovers unanticipated reasons why some beneficiaries are

⁴ See: British Geological Survey. 2016. “Groundwater resilience to climate change in Africa.” Available at: <http://www.bgs.ac.uk/gwresilience/>.

quick to adopt promoted practices, but others are not; findings from a gender analysis reveals previously unrecognized cultural factors that are barriers to adoption of equitable practices; or the activity's completed Initial Environmental Examination (IEE) shows that an activity intervention could cause unintentional harm if preventive measures are not taken.

- New research external to the activity that supports previously unknown causal pathways or refutes previously accepted pathways portrayed in the TOC. For example, peer-reviewed literature and/or meta-analyses suggest for the first time that a factor prevalent in the activity area can contribute to stunting.
- Significant changes in the political or environmental conditions of the local context.

FFP will consider changes to the TOC, with justification, at any time. When submitting a revised TOC for AOR approval, the justification must explain how and why changes were made. In all cases, the awardee must consider and explain the implications of the changes in the TOC to the activity's interventions, implementation, and M&E Plan. Requests for any necessary approval of the related changes to the interventions, implementation, and M&E Plan should be submitted along with the request for approval of the revised TOC.

2.1.6: Resources

- The [Theory of Change Training Curriculum](#) developed by TANGO International includes slides and a facilitator's guide that contains five modules and explains the process of developing a complete TOC to support program planning, implementation, and monitoring. The facilitator's guide is available on the Food Security and Nutrition Network (www.fsnnetwork.org).
- The Center for [Theory of Change](#) promotes best practices for the development and implementation of a TOC. It particularly emphasizes its application in the areas of international development and sustainability.
- The Annie E. Casey Foundation has a [Practical Tool for Action, Results and Learning](#) that helps in the development and application of a TOC.
- A blog in the [Stanford Social Innovation Review](#) discusses pitfalls to avoid when designing and applying a TOC.
- The Overseas Development Institute offers short planning tools on [problem tree analysis](#).
- The Evaluation Toolbox provides a how-to guide for [problem tree/solution tree analysis](#).

Section 2.2: The Logical Framework

2.2.1: LogFrame Description and Definitions

Every application and M&E Plan must include a LogFrame that is consistent with the TOC. A LogFrame uses a standard matrix format to summarize key elements of the TOC in four columns titled "Narrative Summary," "Indicators," "Data Sources," and "Assumptions." Figure 4 provides an example of a portion of a LogFrame. Figure 5 shows the relationship between TOC and LogFrame components.

Box 2: Definitions of LogFrame Terms for TOC Preconditions/Outcomes

Goal: The highest-level Outcome to which an activity can contribute. Typically, a Goal cannot be fully accomplished through the activities during the award period. Factors beyond the control of the activity must also be addressed before the Goal can be fully accomplished, or achievement will take longer than the LOA. The Goal is the ultimate objective of the activity and is directly linked to a FFP Strategic Objective (SO) and/or a USAID country Development Objective. An example of a Goal for a FFP activity could be “Sustainable food security in households of XXX province achieved.”

Purpose: A key, high-level Outcome that the activity expects to accomplish during the LOA. A Purpose describes a desired change in the condition or status of the population in the target area to which the Outputs and Outcomes of the activity’s interventions should contribute significantly. An example of an activity Purpose could be “Nutritional status of women of reproductive age and children under 5 years improved.”

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

Intermediate Outcome: An Outcome that must occur before a Sub-Purpose or another Intermediate Outcome can be achieved, such as changes in knowledge or attitudes, mastery of skills, and adoption of new methods. Examples include “Increased application of improved farming practices on own land,” “Increased consumption of promoted foods,” and “Greater participation in growth monitoring.” There may be multiple levels of Intermediate Outcomes in sequence along a single pathway.

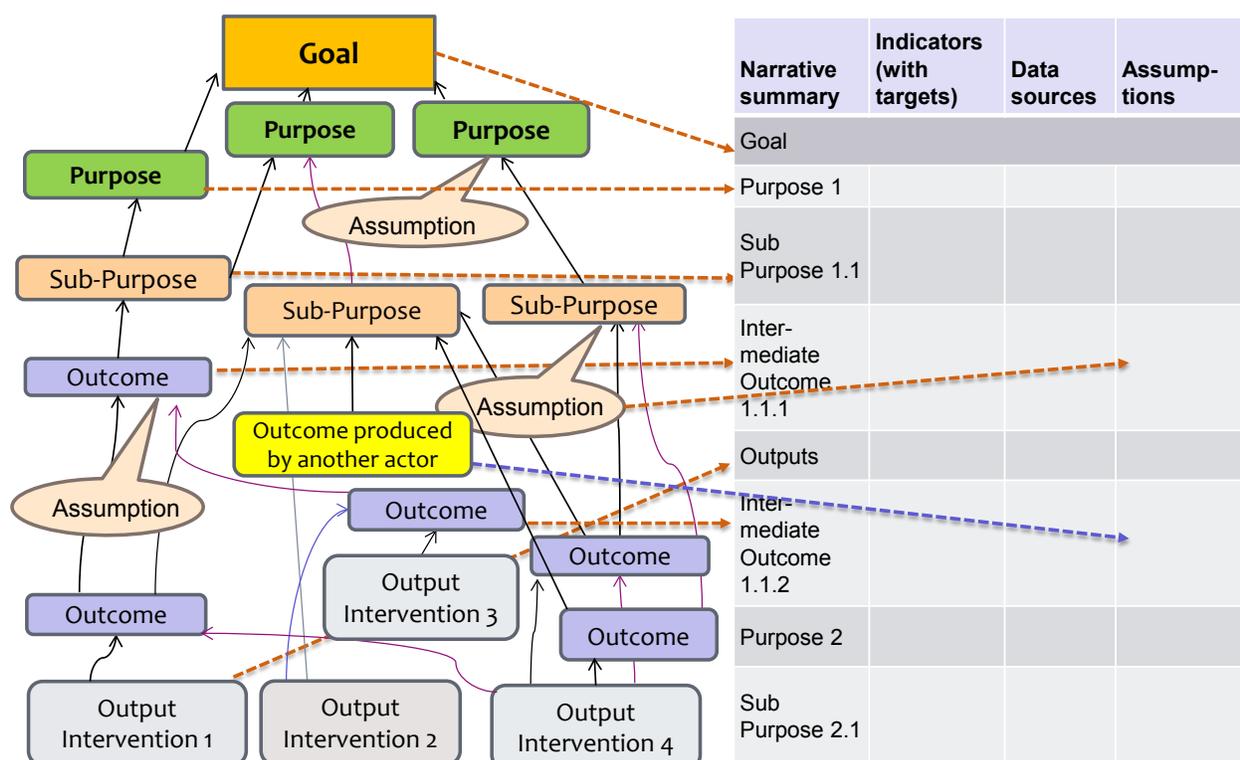
Output: Tangible, immediate product of an intervention under the activity’s control or influence. Examples include “Number of people trained,” “Quantity of food rations distributed,” “Number of groups formed,” and “Number of different types of infrastructure rehabilitated or improved.”

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

Figure 4: Example of a LogFrame Matrix

Narrative Summary	Indicators (with targets)	Data Sources	Assumptions
Goal: Male and female population in Tangail District are food secure			
Purpose 1: Chronic malnutrition in boys and girls under the age of 5 years is reduced	Prevalence of stunted children under 5 years of age (Baseline – 10%)	Baseline/Final evaluation	<ul style="list-style-type: none"> External health and WASH objectives in the area achieved No outbreak of disease for which national health system is not prepared
	Average height-for-age z-score of child beneficiaries that reach 12 months and 23 months of age during the year	No target needed for annual indicator	
Sub-Purpose 1.1: Maternal and child health and nutrition (MCHN) care practices improved	% of births receiving at least 4 ANC visits during pregnancy (90%)	Baseline/Final evaluation	Ministry of Health maintains adequate MCHN health service personnel and supplies in local health centers throughout LOA
	<ul style="list-style-type: none"> Number of live births receiving at least 4 ANC visits during pregnancy Number of women receiving postpartum family planning counseling % of child beneficiaries who receive all vaccinations on time 	Routine monitoring	
No targets needed for annual indicators			
Intermediate Outcome 1.1.1: Both men and women cooperate to support good MCHN care practices	% of men and women with children under 2 who make maternal health and nutrition decisions jointly	Baseline/Final evaluation	No target at level of Intermediate Outcome
Sub-Purpose 1.2: Household and community hygiene improved	<ul style="list-style-type: none"> % of HHs using an improved sanitation facility (Baseline + 10%) % of HHs with soap and water at a handwashing station commonly used by family members (Baseline + 15%) % of villages with active sanitation committees supported by their village council (100%) 	Baseline/Final Evaluation	Local supplies and prices of soap and sanitation maintenance materials remain constant relative to incomes
	Number of people gaining access to an improved sanitation facility	Routine monitoring	
	% of physically improved sanitation facilities with feces visibly present on the floor, wall, or area immediately surrounding the facility	Annual survey	
Purpose 2: Household access to a diversity of foods improved	Average Household Dietary Diversity Score (Baseline * 130%)		Prices of food and non-food necessities change similarly

Figure 5: Relationships between TOC and LogFrame Components



Indicators: For each Outcome and Output in the LogFrame, there should be at least one variable (indicator) that the activity will measure to show current status. There are three broad categories for reporting: *BL/FE indicators* that measure conditions in the general population of the activity area at the beginning and end of the LOA; *annual monitoring indicators* that are measured regularly among beneficiaries to report annually throughout the LOA; and *contextual indicators* to report annually about conditions that are outside the influence of the activity but important to the Outcomes of the activity.

All required FFP (R and RiA, see [Section 2.2.2](#)) and Mission indicators in all three categories must be included in every LogFrame.

In an award application, FFP requires applicants to propose targets for the final evaluation Purpose and Sub-Purpose indicators⁵ in parentheses following the indicator title in the second column. These targets may be presented as:

- A fixed value, for an indicator expressed in any unit (e.g., 5% for “Prevalence of wasted children under 5 years of age” or \$4 for “Daily per capita expenditures in U.S. Government-assisted areas”)
- A percentage point change from baseline, for indicators expressed as percentages (e.g., baseline value – 10% for the indicator “Prevalence of stunted children under 5 years of age”)

⁵ Targets for disaggregates are **not** required in the LogFrame.

- A percentage change from baseline, for indicators expressed in units other than percentages (e.g., baseline value * 130% for “Average Household Dietary Diversity Score”)

To establish final evaluation targets at the application stage, awardees may consider the TOC, achievements of similar activities, and existing literature. (See [Section 2.2.2](#) for more about indicators.)

After the baseline survey, the awardee should calculate numeric targets for all BL/FE indicators and enter the values on the activity IPTT. At the same time, all targets should be removed from the LogFrame, and the IPTT and revised LogFrame should be submitted together for approval by the AOR.

Data sources: A description of how and when the raw data used to calculate the indicator will be collected. Enter the data source as “BL/FE,” “RM,” “AS,” or “S,” using the following guidelines.

- **Baseline/final evaluation (BL/FE):** These data will be collected by an external contractor at the beginning and end of the award period using a quantitative, population-based survey.
- **Routine monitoring (RM):** Data for these indicators, including individual, household, community, intervention Output, or intervention-group level information, will be captured on a regular, “routine” basis in activity records at intervention sites usually for all beneficiaries or participants. Frequency of collection is at least annually (see [Section 3.1.2](#)). The indicators are reported annually on the IPTT, but may also be reported more frequently in other reports.
- **Annual or routine beneficiary survey (AS):** These data will be collected through a survey of all or a sample of direct activity participants (individual, household, community, or intervention group) or activity Outputs achieved during the year, at the same time of the year, every year. Data for all indicators do not necessarily have to be collected at once. The reliability of beneficiary reporting will be greater when beneficiaries are asked near to an event, e.g., harvest or planting (see [Section 3.1.2](#)).
- **Secondary data (S):** This information comes from sources outside the activity and is based on raw data collected by others. This source will most commonly be used for contextual indicators that are not collected as part of the reporting activity’s M&E activities, for example, rainfall information collected by the national meteorological office or number of people gaining access to potable water due to the efforts of a nongovernmental organization.

Assumptions: Assumptions are factors and conditions that are outside the activity’s influence that are necessary for an activity Outcome or Output to be achieved. This includes the assumptions in the TOC plus all preconditions that are identified in the TOC as being outside the control of the activity. Factors that the activity seeks to influence should not be included as an assumption, including the achievement of lower-level Outcomes. For example, for an activity that seeks to change behavior, “Beneficiaries are open to changing behavior” may sound like an assumption, but the activity interventions are seeking to change attitudes that would lead to behavior change. Hence, the degree of openness may be an activity Outcome.

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

2.2.2: Indicators

The activity indicators in the LogFrame should include:

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

The FFP Indicator List for activities awarded in or after FY 2014 is available at the [FFP Implementation and Reporting webpage](#).

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

- **R** indicators are required for all development activities.
- **RiA** indicators are required when applicable, based on the activity’s interventions.

Criteria for the applicability of an indicator are defined in a column in the FFP Indicator List and in the indicators’ PIRSs (see [Section 2.4](#)).

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

The FFP Indicator Handbook Parts I and II include PIRSs for FFP indicators, including questionnaires and tabulation instructions. The [FFP Implementation and Reporting webpage](#) has links to the handbook.

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

In 2012, USAID enacted an agency-wide gender policy requiring that all USAID activities collect appropriate sex-disaggregated data, ask clear questions about gender roles to reveal both

intended and unintended positive or negative changes, and develop indicators designed to track changes in key gender gaps from baseline to final evaluation. FFP expanded gender requirements, adopting a set of gender indicators. Current FFP M&E requirements for indicators for development food security activities are:

- Sex disaggregation of BL/FE and annual monitoring indicators
- One gender-related FFP annual monitoring R indicator (FFP #60)
- Eight RiA gender-related BL/FE indicators (FFP #61–68)
- At least one appropriate gender monitoring indicator for each activity Purpose at either the Sub-Purpose or Intermediate Outcome level (many of these will be custom indicators; see below)

The eight BL/FE indicators defined in the FFP Indicator Handbook Part I measure gender integration along a continuum of change from access to control of resources in two program intervention areas: improved agriculture and livelihoods and improved nutritional status. These areas represent FFP first-level objectives and, thus, are primary areas of action in virtually all FFP development activity programming.

Mission indicators: Post-award, the FFP Officer at the relevant USAID Mission will inform the awardee about required Mission indicators, which are defined or selected by the Mission. The Mission should provide the awardee with the PIRs that define the indicators. FFP does not expect applicants to include Mission indicators in applications.

Contextual indicators: There are factors in the activity context that are not expected to be influenced by the activity but may affect activity Outcomes. These factors may be identified as LogFrame assumptions. For example, an activity may not implement any intervention to help reduce intercommunity conflict. However, peace and stability in the activity area are necessary to achieve activity Outcomes. For this reason, FFP may require the activity to add contextual indicators to monitor conflict-related migration, number of days without access to activity area, or other conflict-related indicator, to have information to assess how much the context may have affected activity Outcomes. The awardee may also define custom contextual indicators that it feels are important to the interpretation of other indicators. Actual values for context indicators must be reported in the IPTT, but no targets are required.

Custom indicators: Awardees are encouraged to create custom indicators to measure specific, essential activity Outputs, Outcomes, and context for which there are no corresponding FFP or Mission indicators. FFP indicators are developed to meet FFP and USAID's reporting requirements. Most custom indicators measure high-level Outcomes or Outputs, and few relate to Intermediate Outcomes, largely because of the wide diversity of possible pathways. Custom indicators are important and should be carefully identified to enable an awardee and the MTE team to track progress along the TOC and to identify how far along a pathway change has occurred. In particular, FFP recognizes that required indicators are not adequate to measure many activity Outputs and Outcomes related to community participation; community assets; resilience; social capital; social accountability; self-efficacy; inter- and intracommunity conflict, governance, and resilience; and other important aspects of many activities' TOCs. Awardees are encouraged to design custom indicators for these elements. Also, every activity's M&E Plan must show how the activity will implement the activity's

Environmental Mitigation and Monitoring Plan (EMMP).⁶ Specific custom indicators from the EMMP may be brought into the LogFrame, as appropriate.

Useful indicators that may be adopted for use as custom indicators might be found among other U.S. Government (USG) standard indicators or indicators defined by others (e.g., the United Nations or other donors or professional organizations), or they may be created by the activity's M&E personnel.

2.2.3: Resources

- FFP's *Implementation and Reporting* webpage provides links to a variety of resources to assist with the implementation and reporting on food security activities.
- A *USAID Technical Note on Logical Framework* describes the rationale, theory, and essential elements of the LogFrame as it relates to USAID's Program Cycle.
- The *USAID Program Cycle USAID Learning Guide* provides basic information and resources related to LogFrames.
- USAID provides guidance in *ADS 205* on integrating gender equality and female empowerment in USAID's program cycle and, in *ADS 204*, on integrating environmental safeguards into programs to optimize socioeconomic development results.
- The International Labour Organization's *Integrating Gender Equality in Monitoring and Evaluation of Projects* discusses the importance of systematically integrating gender equality and a human rights perspective into M&E processes.
- The World Bank's *Gender Issues in Monitoring and Evaluation* provides ideas for improving the M&E of outcomes and impacts.
- *USAID's Ending Child Marriage & Meeting the Needs of Married Children: The USAID Vision for Action* outlines USAID's efforts to prevent child marriage and to respond to the need of the more than 50 million girls and boys who are already married and have limited access to education, reproductive and other health services, and economic opportunities.
- The *United States Strategy to Prevent and Respond to Gender-Based Violence Globally* establishes a government-wide approach to addressing gender-based violence and a set of concrete goals and actions for Federal agencies.
- The USAID *Global Environmental Management Support (GEMS)* project provides environmental safeguards and compliance, including *IEE* and *EMMP* development.

⁶ The EMMP needs to be in the work stream of the M&E staff, as is a formal and actionable monitoring plan to implement the activity's IEE results.

Section 2.3: Indicator Performance Tracking Table

The first time an awardee must submit an IPTT is as part of the M&E Plan post-award. No IPTT is required at application. Note that the initial IPTT will not be approved until a PIRS, which defines an indicator (see [Section 2.4](#)), has also been submitted and approved for every indicator in the IPTT. An updated IPTT is required with every ARR submission, but an awardee may submit a request to revise an IPTT at any time.

The IPTT is useful for following activity performance and comparing it against planned progress. Using the FFP IPTT template,⁷ which [can be found here](#), all activity indicators in the LogFrame and required disaggregates must be presented in the IPTT's rows. The IPTT may include indicators that are not in the LogFrame. The targets and actual values for the indicators are presented in the columns.

The template contains separate Excel workbooks containing worksheets for BL/FE indicators, annual monitoring indicators, base value data sources, deviation narrative/comment, target change comments, and archived annual monitoring indicators.

Baseline, Final Evaluation, and Annual Monitoring Indicator Worksheets

Indicator sequence and titles in both sheets must mirror the LogFrame.

Information in addition to the indicator name, targets, and actual values is required for each indicator, in the designated columns in the templates for the baseline, final evaluation, and annual monitoring indicator tabs. This information is described below.

Indicator Number: For ease of reference, all indicators in the IPTT must be numbered in the order in which they appear in the IPTT. Mark the first annual monitoring indicator as 1, the second as 2, and so on, until all indicators have been assigned a number. When an indicator is deleted from an IPTT, its number may not be reused, and the numbers for the indicators that followed it in the IPTT do not change. If an indicator is added to an IPTT, it should be assigned the next number in sequence following the number assigned to the last indicator in the IPTT. For example, if the IPTT previously had indicators numbered 1 through 65, the new indicator would be assigned the number 66. However, its position on the IPTT must correspond to the position of the associated Purpose, Sub-Purpose, Intermediate Outcome, or Output in the LogFrame, i.e., its assigned number will be out of sequence in the IPTT.

Data Source: Enter BL/FE, RM, AS, or S, as defined in [Section 2.2.1](#).

Indicator: Enter the indicator title, which should match the corresponding Narrative Summary on the LogFrame and the notation on the TOC. For FFP and Mission indicators, indicator titles must be entered exactly as they appear on the FFP and/or Mission list. No substitutions or modifications will be accepted.

⁷ The IPTT template was developed using an Excel spreadsheet. However, for illustration, a truncated Word version is attached as Annex 4. Note that the red jagged lines in the Annual Monitoring Indicators Tab show the locations of the columns removed when the table was truncated.

Indicator Type: For all indicators, specify whether the indicator is a FFP (FFP), Mission (M), custom (C), or EMMP (E) indicator.

- Further identify FFP indicators by number using the FFP Indicator List, e.g., FFP #56.
- For Mission and custom indicators that have been adopted from the USG standard indicator list, note the identifier from that list, e.g., C (F 4.8.2-26).
- If FFP or the Mission requires an activity to report an indicator that is not an R or RiA indicator, e.g., a measure of conflict levels in transitional contexts, identify the indicator as FFP or M and C.
- If an indicator is required by both FFP and the Mission, indicate both FFP (with number) and M (with identifier, if relevant).
- If an indicator is part of the EMMP, also indicate E.
- Indicators required by Feed the Future for an activity that are not FFP indicators should be identified as C, with the USG standard indicator number, as applicable.
- Feed the Future indicators that are also FFP indicators should be specified only as FFP.

Data Collection Method: Briefly describe how data will be collected for each **annual** indicator, including the mode and timing of data collection and the specific intervention groups or Output types that will be counted or comprise the sampling frame, for example, “Copied from maternal and child health and nutrition (MCHN) beneficiaries’ health cards at food distributions,” “Recorded for savings and loan groups by group secretaries,” “Livelihoods supervisors administer surveys to a sample of FFS participants during the post-harvest season,” “Health supervisors monitor supported health centers twice annually using standard checklist,” “Activity engineers conduct technical inspections of food for asset Outputs immediately after completion using standard checklist,” or other appropriate methods or tools for routine or annual data collection. A more detailed description of the data collection method must be included in the indicator’s PIRS.

Desired Direction of Change (+/-): For all indicators other than contextual indicators, enter “+” or “-” to indicate whether the desired direction of change for the value is positive or negative. For example, the desired direction of change for diarrhea prevalence is negative (i.e., a successful activity will reduce diarrhea prevalence), but the desired direction of change in the percentage of farmers who apply an improved technique is positive (a successful activity will promote adoption of the technique among a larger proportion of farmers).

Cumulative (C) or Non-Cumulative (NC): For **annual** indicators, enter “C” or “NC” to indicate whether the indicator is cumulative or non-cumulative.

- An indicator is cumulative if every year its calculation takes into consideration all the achievements from the beginning of the activity that have lasted into the reporting year. An example of a FFP annual monitoring indicator that is cumulative is “Number of people gaining access to an improved drinking water source.” The PIRS explains that the number reported for a given year should include the people who first gained access to a water source during the reporting year in addition to those who first gained access during a previous activity year and **continue to have access** during the reporting year. The continuation of the Outcome or Output should be verified every year. For example, if a community receives certification as open-defecation free in one activity

year, the continued adherence to terms for certification should be verified the next year before the community is included in the reporting year's count.

- Non-cumulative indicators consider only the achievements during the reporting year, without any regard to those who achieved or benefited during previous years. For example, indicators that report the number of people who were trained during the year count the trainees who completed the reporting year's training sessions and not those who completed similar training during the previous year.

Base Value: The initial IPTT should include a base value for every Output indicator and required disaggregate. By the end of the second FY (first FY for first-quarter awards), an IPTT must be submitted that has a base value for every annual monitoring indicator (including Outcome indicators) and required disaggregates. Later paragraphs in this section define and lay out requirements for base values.

Base Value Data Source: For all **annual** indicators with a non-zero base value, enter a reference number to direct the reader to text in the base value data source tab that describes the method of data collection and the activity-specific groups that will comprise the sampling frame for the base value estimation.

Target: The initial IPTT should include targets for every FY and LOA for every Output indicator, and a final evaluation target for every BL/FE indicator either as a fixed value or an expression in relation to the baseline value (see [Section 2.2.1](#)). By the end of the second FY (end of the first FY for first-quarter awards), an IPTT must be submitted that also includes a base value for every annual monitoring indicator, other than contextual indicators, and required disaggregates.

Target Change Comment: Whenever an IPTT is submitted with targets that differ from those in a previous submission, a reason must be provided for every change. An annual target may not be changed in the same or any earlier FY that the actual will be reported, except with the ARR submission for the previous FY. (For example, the last opportunity to change a target for 2018 will be with the submission of the ARR results for 2017.) Changes from "TBD" ("to be determined") to an actual value do not require target change comments. When a reason for a change requires a lengthy explanation, the awardee may enter numbered comments on a separate sheet in the IPTT workbook labeled "Target Change Comments" and enter the relevant comment number in the Target Change Comment column on the BL/FE or annual monitoring indicator worksheet. With every new submission, all comments should be retained on the sheet and numbering should continue throughout the LOA, not start from "1" with every new submission.

Actual Value: With each ARR submission, values measured during the reporting year must be added, as relevant, i.e., every reporting year for annual monitoring indicators and after the final evaluation for BL/FE indicators.

% of Target Achieved: For annual indicators with a positive direction of change, the percent of target achieved should be calculated by dividing the reporting year actual value by the reporting year target value and multiplying the result by 100, i.e.:

$$\% \text{ of target achieved} = \frac{\text{reporting year actual value}}{\text{reporting year target value}} \times 100$$

For indicators with a negative direction of change, the percent of target achieved should be calculated by dividing the target value by the reporting year actual value and multiplying the result by 100, i.e.:

$$\% \text{ of target achieved} = \frac{\text{reporting year target value}}{\text{reporting year actual value}} \times 100$$

For example, underweight is an indicator with an expected negative direction of change. If the target for underweight is 25% but the actual achievement is 35%⁸. Percent of target achieved should be calculated as $(0.25/0.35) * 100 = 71\%$.

Deviation Narrative/Comment: When the “% of target achieved” is less than 90% or more than 110%, the awardee must explain the factors that led to over- or underachievement. As with the target change comment, if a lengthy explanation is required, numbered comments may be entered on a separate sheet labeled “Deviation Narrative/Comment,” with the relevant comment number entered in this column on the Baseline/Final Evaluation or Annual Monitoring Indicator worksheet. As with the target change comments, numbering should continue throughout the LOA.

Archive Annual Monitoring Indicators Worksheet

The “Archive Annual Monitoring Indicators” worksheet in the template is used to record information about indicators that were once on the IPTT but that have been subsequently deleted with the approval of the AOR. The template provides columns to record indicator number, source, indicator, and indicator type, as described above.

TOC/LogFrame Reference: Specify whether the indicator was associated with a Purpose, Sub-Purpose, Intermediate Outcome, Output, or assumption.

Indicator Level: Specify whether the indicator measures Output, Outcome, impact, or context.

Justification Summary: Briefly explain why the indicator was deleted.

Date Initiated: The FY for which the indicator was first reported on the IPTT.

Date Archived: The FY for which the AOR approved the deletion of the indicator from the IPTT.

IPTT Submission and Revision

Because the LogFrame includes activity indicators, FFP no longer requires an IPTT with award applications. The deadline for the submission of the first IPTT and the PIRs for the indicators in the IPTT will be specified in the award document or at an M&E workshop.

⁸ Meaning the achievement is 10 percentage point less than the target

Post-award, with every ARR submission, the awardee must submit an IPTT updated with actual values for the reporting (i.e., just-completed) FY. With each ARR, the awardee may request changes to targets for the current year (i.e., the year following the reporting year). However, once a current-year target has been approved in that year, it may not be changed. This is the value against which actual achievement will be compared in the next ARR. If circumstances change that justify under- or overachievement of this target, the awardee will have opportunity to explain what happened in a Deviation Narrative/Comment in the IPTT submitted with the next ARR.

At any time, with justification, the awardee may request approval for other modifications to the IPTT, e.g., the addition or deletion of indicators; data collection methods; or targets for future years, LOA, or final evaluation.

All requests for revisions to the IPTT must include a narrative that describes and justifies the proposed changes. The addition, removal, redefinition, or change of data collection methods for an indicator on the IPTT often requires changes to other components of the M&E Plan, e.g., the LogFrame, the PIRs, and data flow descriptions. When requesting a change to the IPTT, awardees should prepare a package that clearly identifies and justifies all related changes to the M&E Plan in a single, complete request to the AOR.

Baseline Values, Base Values, and Targets

In the FFP IPTT, baseline values and base values are **not** the same because they have different sample frames. Similarly, final evaluation and LOA targets are not the same.

Baseline Values and Final Evaluation Targets: Baseline values and final evaluation values are entered only for BL/FE indicators, and their values are derived from data collected by the external contractor(s) during the baseline and final evaluation surveys. They reflect the situation at a population level, including households and individuals that are not specifically targeted and do not directly benefit from activity interventions.

Before the baseline survey results are available, awardees may enter “TBD” as baseline values on IPTTs and express final evaluation targets in relation to the baseline value, like the targets submitted with the initial LogFrame (see [Section 2.2.1](#)). Once the survey results are available, awardees must include the actual baseline values, as measured by the survey, and replace final evaluation targets with numeric values in all IPTT submissions.

Base Values and Annual and LOA Targets: Base values and LOA targets are measured by the awardee for annual monitoring indicators. They count Outputs and measure Outcomes among those who directly benefit from related activity interventions. For every annual monitoring indicator, the IPTT must include a base value and targets for every FY and the LOA.

For most Output and some Outcome indicators, base values will be zero. Some indicators may be non-zero, for example, Outcome indicators for which the intended change is a reduction, like those measuring conflict. Another example for an Output would be when an awardee has been working in the same area prior to a new award and supported some community groups and associations with funds from a previous USG award. If it plans to continue to support these existing groups under the new activity, in addition to other groups, then the base value for the Output “Number of food security community-based organizations supported by the activity,”

for example, would be a count of the previously supported community groups that will receive continued support. For these indicators in the first and all other IPTT submissions, zeros or a count of “continuing” entities at activity start-up should be entered as base values, and numeric annual and LOA targets must be established.

Base values and LOA targets for annual Outcome monitoring indicators should reflect the desired and actual values measured only among the relevant beneficiary groups, not the situation among all activity beneficiaries. For example, measures of child feeding practices should consider only those who benefit directly from interventions that pass messages about or provide support to enable optimal feeding practices, and measures of incremental agricultural sales should be collected only from smallholder, direct beneficiaries of activity interventions intending to increase sales of the targeted value chain commodities.

For many annual Outcome indicators, an awardee will need time to collect data to establish base values that truly represent the situation among activity beneficiaries as interventions begin. These include indicators related to such things as prevalence of attitudes or practices, agricultural production or sales, and anthropometric measures. To allow time for the enrollment of beneficiaries and for the collection of information from them, in the early submission of the activity IPTT, “TBD” may be entered for these indicators’ base values, LOA targets, and all annual targets in between. Collection of data to establish true beneficiary estimates should be completed within approximately a year, and awardees must submit an IPTT with real estimates and targets with the ARR of the first FY if the award was awarded during the first quarter of that year and with the ARR of the second FY for those awarded after the first quarter of the first FY.

The magnitude of change among beneficiaries during the LOA is expected to be greater than the magnitude of change in the population as a whole. Therefore, LOA targets should always be more ambitious than final evaluation targets.

The sources of the base value should be indicated in the “Base Value Data Source” in the IPTT, with additional detail in the “Description” section of the indicator’s PIRS.

Disaggregates

Awardees must include baseline, base, and target values for all of the required disaggregates of FFP indicators that are defined in the PIRS:

- Baseline values and final evaluation targets for all required disaggregations of FFP BL/FE indicators
- Base values and targets for all required disaggregations of FFP annual monitoring indicators for the LOA and all years other than the FY of the award
- Targets for all required disaggregations of FFP annual monitoring indicators for the first FY of the award for activities awarded during the first quarter of the FY

Section 2.4: Performance Indicator Reference Sheets

A PIRS should unambiguously define an indicator and its disaggregation. It should describe all of the raw data that will be collected to calculate the indicator, the methods and frequency of collection, and the calculations used to derive final values from the collected data.

The objective for the PIRS developer is to describe the indicator to such a level of detail that anyone could use the PIRS to know exactly:

- What raw data are needed
- What questions to ask or processes of observation to follow to get the accurate raw data without causing harm
- Who will collect the data or observe the activity
- Which tools will be used to collect the data (see [Section 3.1.2](#))
- From whom data will be gathered, what performance will be assessed, and/or what infrastructure or activity will be observed
- Precisely when the data will be collected
- How the collected data will be used to calculate the indicator value
- In what unit the data will be presented and the range of possible values

Draft PIRSs for all custom baseline and final evaluation indicators must be submitted to the AOR no later than 2 weeks prior to the baseline workshop. The final PIRSs for these indicators, revised on input received during the baseline workshop, must be submitted within 14 days of the end of the workshop.

The schedule for submitting PIRSs for annual indicators will be specified in the award or at an M&E workshop. At a minimum, the awardee will be asked to include PIRSs for complex custom indicators with the initial IPTT, so that FFP reviewers can understand the indicators. Generally speaking, the awardee should also plan to submit customized PIRSs for all FFP and Mission indicators with the first draft of the IPTT. PIRSs for simpler, straightforward indicators (e.g., for Outputs) can usually be submitted later. However, the AOR will give final approval of the awardee's M&E Plan only when it includes a PIRS for **every** indicator in the IPTT, regardless of source.

With every request for a revision to the IPTT that adds or modifies an annual indicator, the awardee must also submit to the AOR a modified PIRS that reflects the change. Narrative accompanying the request should draw attention to and justify the requested changes.

FFP and Mission PIRSs

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

- The [FFP Indicators Handbook Part I: Indicators for Baseline and Final Evaluation Surveys](#) contains PIRSs for FFP indicators required for collection in baseline and endline surveys.
- The PIRSs for FFP annual monitoring indicators are in the [FFP Indicators Handbook Part II: Annual Monitoring Indicators](#).
- PIRSs for Mission indicators should be obtained from the FFP Officer at the relevant Mission post-award.

For some FFP or Mission indicators, awardees must add activity-specific information to the FFP or Mission PIRS to clarify details about the indicator. For example, for the annual indicator, “Number of farmers and others who have applied improved technologies or management practices as a result of USG assistance,” the activity’s PIRS should add text after each technology type to specify the different technologies and practices that will be promoted and counted, e.g., which type of crops and seeds and which specific cultural and livestock management practices. Additional text should also clarify the types of “farmers and others” who will be beneficiaries and counted for each technology type, e.g., characteristics of farmers who will be targeted, types of entrepreneurial processors, and traders of which commodities. It is helpful to identify the interventions that will benefit these individuals (i.e., the intervention groups).

For all FFP and Mission annual indicators, text must be added to identify the specific activity intervention groups or Outputs that will comprise the sampling frame for the indicator. For example, for the indicator, “Number of people trained in disaster preparedness as a result of USG assistance,” in the “Definition” box, the awardee should insert text that identifies the specific interventions in which the beneficiaries participate and when they will be counted, something like: “Beneficiaries who will be counted include (1) Community Resilience Committee members who completed a series of three training sessions related to resolution of intercommunity conflicts and/or prepared the community to recognize and respond to pending drought, and (2) community advocates who completed the activity training module designed to build capacities to organize and moderate discussions between members of marginalized groups and the larger community.” This example shows the specific training module that the individual must complete to be counted for this indicator and the types of trainees who are targeted. In this case, the types of trainees are defined with regard to their role in the community, but the types might relate to livelihood group, household role, age group, etc. For FFP indicators, the text clarifying the sampling frame would fit well in the “Measurement Notes,” following “Level of Collection?”

Awardees may make other additions to clarify the use of a FFP or Mission indicator in the activity’s M&E Plan. For example, text may be added to the Rationale section to identify the indicator as part of the activity’s EMMP and explain how the indicator is environmentally sensitive to the activity context.

Clarifications inserted in the PIRs, like those described above, do not “change” the FFP or Mission indicator; they simply add more information about how the indicator will be collected and which activities beneficiaries or Outputs will be considered. All text inserted into a FFP or Mission PIRS should be in a different font and/or a different color, to clearly differentiate it from the standard text.

The awardee may not change the core definition of a FFP or Mission indicator and still identify it as FFP or Mission. For example, if the indicator counts individuals, the awardee may not count groups. If the FFP indicator specifies a count of infrastructure that was completed during the year, the awardee may not change to count infrastructure on which any work was done, whether completed or not. If the FFP indicator is cumulative, the awardee may not make it non-cumulative. Any indicator changed in these or similar ways becomes a custom indicator.

A common way that awardees have transformed a FFP indicator into a custom indicator is by adopting a FFP BL/FE indicator for use as an annual monitoring indicator. Awardees collect raw data using the same questions as those used in the baseline, and they perform the same calculations defined in the PIRS. However, because annual monitoring indicators measure results only among beneficiaries, the sampling frame for the **custom** annual monitoring indicator (the specified beneficiary groups) is different from the sampling frame for the FFP BL/FE indicator (population). Therefore, the indicator has “changed” and is no longer a FFP indicator.

When an awardee changes a FFP or Mission indicator with regard to frequency of report, sampling frame, or calculation, the modified indicator must be identified as a custom indicator because the values no longer match those that would be produced using the FFP or Mission indicator definition. In such cases, the activity still must report on the original required FFP or Mission indicator, both the custom and FFP or Mission indicators must be in the IPTT, and a PIRS must be submitted for each.

Custom Indicators

Awardees must develop and submit a PIRS for every custom indicator following the FFP template provided below (Figure 6). An indicator’s PIRS should fully describe the meaning of the indicator value in unambiguous terms, and it must include details about exactly what raw data must be collected to calculate the indicator’s value; when, where, by what mechanism, from whom, and by whom the raw data will be collected; and how the raw data will be aggregated and used in calculations to derive the final indicator value. These details should be sufficient so that the reader could derive the indicator’s value using the information in the PIRS. The different sections required for a custom PIRS are described below.

Indicator: Indicator number and name (see definitions in [Section 2.3](#)), followed by the data source (BL/FE, RM, AS, or S; see definitions in [Section 2.2.1](#)) in parentheses. After approval of the IPTT, the unique number associated with the indicator in the IPTT should be added to its PIRS.

Definition: A precise description of what the indicator is and how it is derived. This section should unambiguously define key words, terms, and phrases.

As an example, for an indicator “% of children who completed postnatal visits on time,” the key words that require definition are “children,” “completed,” “postnatal visit,” and “on time.” Thus, it would identify criteria for a “postnatal visit,” e.g., it might specify who is qualified to provide postnatal care (e.g., nurse, doctor, or midwife) and what care must be given (e.g., immunizations, measurements of length and weight). It must also explain how many visits should take place and/or what services must be received for “completion.” The definition of “on time” would indicate the maximum amount of time that may lapse after the child’s birth before the visits are “completed.” “Children” should be defined as those who benefit directly from interventions that promote postnatal visits and who are old enough to have completed all the postnatal visits, but who are not so old that they were long past the time when the visits should be completed. Therefore, if postnatal care should be completed within 6 months of delivery, “children” could be defined as those whose mother is a member of a care group or

recipient of supplementary feeding and who reached the age of 6.5 months (195 days) during the reporting period (allowing an additional 2 weeks for completion).

For counts of Outputs, individuals, or other entities that meet a certain set of criteria, the criteria for being counted should be clearly laid out in the definition. For example, for an indicator, “Number of communities with multisectoral development plans proceeding on schedule,” the definition should identify the number and types of sectors that must be included for the plan to be considered “multisectoral” and the basic requirements of the plan (e.g., written document, endorsed by the community and regional authorities) and lay out criteria for being “on schedule” (e.g., completed x% of annual action items between October 1 of the previous year and September 30 of the reporting year).

For data collected using questionnaires, the indicator definition should include the specific question(s) that data collectors will use to gather all of the raw data needed to calculate and present the indicator and its disaggregates. For the first example above, to select the right children and get an accurate count, the necessary raw data might be the mothers’ beneficiary registration number, the children’s birth dates, the dates of every postnatal visit, and the types of services received at each visit. Note the need to define not only data used to calculate the indicator, but also data to ensure selection of beneficiaries who are in the defined sampling frame (i.e., birth date).

Note that the definition for custom indicators should **not** explain why the indicator is included in the IPTT, i.e., do not provide a rationale for either the indicator or the interventions for which it measures performance; the indicators’ and interventions’ Purposes should be clear from the TOC and the LogFrame.

Calculations: How the collected raw data will be processed to derive the indicator values. Show the formula for calculation and fully define each factor in the formula, e.g., identify the characteristics of individuals who will be counted in the numerator and in the denominator for all proportions or explain how a score sheet will be converted to an aggregate rating score for a health center’s performance to be rated as “outstanding,” “acceptable,” “partially acceptable,” or “unacceptable.” For the example related to postnatal visits presented under Definition above, the text in the Calculations section could define the numerator as “the number of children who completed postnatal visits on time” and the denominator as “the number of children.” Note that, because “children,” “postnatal visits,” “completed,” and “on time” are defined precisely in the Definition section, there is no need to repeat the beneficiary status, age limitation, timing, etc.

Unit and Range/Code List. The unit of measure in which the indicator will be presented (e.g., number, percent, kilometer, acres, code, or score) and, as applicable, the range of minimum and/or maximum indicator values or a list of the possible encoded values, with their meanings. For indicators reported as a “score,” for example, a child dietary diversity score, an explanation of the method of scoring must be included in the Calculations section.

Disaggregate by: A list of all the different ways the indicator values will be disaggregated (male/female, youth/adult, urban/rural, region, ethnicity, region of origin, age group, type of training, religion, etc.).

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

- Female: $\frac{\text{\# of female farmers who applied a technique}}{\text{\# of female farmers}}$
- Male: $\frac{\text{\# of male farmers who applied a technique}}{\text{\# of male farmers}}$

Indicator Type: “FFP,” “M,” or “C,” with references, plus “E,” as appropriate (see definitions in [Section 2.3](#)).

Level: Identify the indicator as an impact, Outcome, Output, or context indicator. Note that the level must correspond to the related level in the TOC, i.e., Outputs must be associated with Outputs, and Outcomes must be associated with Purposes, Intermediate Outcomes, or Goals. Impact indicators typically will relate only to Goals. Context indicators could appear at any level or be associated with an assumption.

Cumulative/Non-Cumulative: See definition in [Section 2.3](#).

Direction of Change: See definition in [Section 2.3](#).

Data Collection Method: Expand on the basic definition provided in the IPTT (see [Section 2.3](#)) about the sampling frame, the frequency of data collection, and the method. The sections on BL/FE indicators will be the same, with fixed information entered as described below. For annual monitoring indicators, the information will vary in each of the subsections.

Sampling Frame

- For BL/FE indicators, the sampling frame is “Population.”
- For annual monitoring indicators, identify the specific category(ies) of beneficiaries (i.e., intervention groups) or Outputs that will be counted, questioned, or observed. Examples include food for asset infrastructure Outputs completed during the year, training sessions completed during the year, FFS participants, women’s group members, or village resilience committee members.
- When the entire sampling frame is not represented in the measurement, a description of the sample size and the details of the procedures for selection within the sampling frame must be described in the Measurement Notes or Definition section of the PIRS.

Frequency of Collection

- For BL/FE indicators, the frequency is “Baseline and endline.”
- For annual indicators, identify how often the raw data collection takes place. Examples include “Monthly when savings and loan groups meet,” “Annually, at the end of rice planting season,” “Twice annually in January and July,” “After the first and second harvest,” and “Mid-quarter at FFS sessions.”

Method of Collection

- For BL/FE indicators, this will always be “Baseline and final evaluation surveys.”
- For annual indicators, describe the method used to collect the raw data that are used to calculate the indicator. Examples include “Direct observation during site visits,” “Recorded by commodity management staff at food distribution sites,” “Administration of a questionnaire to participants of FFS sessions,” “Use of a standard checklist to review and score community actions during the report period against planned,” and “Household survey in communities in radio broadcast area.”
- Note that extraction of information from an internal report is **not** a method of collecting data. Data in a report were collected by activity staff or participants before the report was written, and extraction from the report is a later step in the data flow. An exception would be information for context indicators drawn from a report generated **outside** of the activity. For example, information could be taken from a market report compiled by the government using data collected by others. In such cases, for the purposes of the activity, “Extraction from the Ministry of Trade quarterly market report” would be the data collection method, because neither activity staff nor beneficiaries were involved in the collection of the data for the report.

Data Collection Instrument

- For BL/FE indicators, the instrument is either “Baseline/Final Evaluation Community Questionnaire” or “Baseline/Final Evaluation Household Questionnaire.”
- For all annual indicators, the submitted M&E Plan must include examples of all data collection instruments, each with a unique identifier, and the awardee should simply enter the unique identifier in this space to show which of those data instruments will be used to collect the raw data for the indicator.

Data Collectors/Recorders

- For BL/FE indicators, enter “Third-party firm.”
- For annual indicators, describe, by function or role, the individual(s) who will record the raw data at the site of collection. Examples for annual indicators include M&E field monitors, community health volunteers, activity health and nutrition field supervisors, food distribution receptionists, vendors who redeem vouchers, and agriculture extension workers.

Measurement Notes: This section may be useful to describe more about “how” the data will be collected, for example:

- M&E activities must consider “do no harm” principles, paying attention to who is collecting data, from whom, where, when, and how, especially for sensitive information.

This section may be used to explain measures that will be taken to minimize the possibility of doing harm while collecting data for this indicator.⁹

- For indicators that use raw data drawn from a subset of beneficiaries or Outputs rather than all of them, this section may describe the process of selecting which sites, Outputs, and individuals from the sampling frame will be included.

Further Guidance: References to additional information or guidance for an indicator that has been defined elsewhere. For example, if the activity is adopting an internationally recognized indicator that has not been adopted by FFP, provide links to associated reference documents or publications here.

Figure 6: Custom Indicator PIRS Template

INDICATOR: [ENTER INDICATOR #, TITLE, and DATA SOURCE (BL/FE, RM, AS or S)]			
DEFINITION:			
CALCULATIONS:			
UNIT and RANGE/CODELIST:		DISAGGREGATE BY:	
INDICATOR TYPE (FFP& REFERENCE/M/C, plus E, as relevant.)	LEVEL (OUTPUT/ OUTCOME/IMPACT/ CONTEXT):	CUMULATIVE/NON-CUMULATIVE: *Only for Annual Monitoring Indicators	DIRECTION OF CHANGE (+/-): *Not for Context indicators

⁹ In conflict-prone areas, where any data collection of any type of data can create tension and unintended consequences, an awardee may consider including a specific section in the M&E Plan to advise and inform about how the potential for doing harm will be minimized, in general, rather than addressing each indicator individually in the PIRS.

<p>DATA COLLECTION METHOD</p> <p>Sampling Frame:</p> <p>Frequency of collection:</p> <p>Method of collection:</p> <p>Data collection instrument(s):</p> <p>Data collector(s)/recorder(s):</p>
<p>MEASUREMENT NOTES:</p>
<p>FURTHER GUIDANCE:</p>

2.4.1: Resources

- The *FFP Indicators Handbook Part I: Indicators for Baseline and Final Evaluation Surveys* contains PIRSs for all current FFP indicators required for collection in baseline and endline surveys.
- The PIRSs for FFP annual monitoring indicators are in the *FFP Indicators Handbook Part II: Annual Monitoring Indicators*.
- [*The Gender Indicators: What, Why and How?*](#) briefly highlights the use of gender indicators as a way of measuring change.
- The [*Asian Development Bank's Toolkit on Gender Equality Results and Indicators*](#) provides information on monitoring and evaluating gender equality results.
- *USAID Initial Environmental Examination for Food for Peace FYFY2016 Request for Applications* provides information on how to integrate environmental considerations into FFP M&E systems.

Chapter 3: Annual Monitoring Strategy

Section 3.1: Annual Monitoring

3.1.1: Overview

Applicants must include a broad overview of proposed annual monitoring activities. The post-award M&E Plan should present a detailed description of annual monitoring activities that addresses all annual indicators in the approved IPTT and all cross-cutting technical areas (gender, environment, conflict-sensitivity, community participation, and sustainability). The plan must be submitted post-award, according to the schedule specified in the award document or at an M&E workshop. Any change to the plan for any indicator must be documented and approved by the AOR before implementation.

The Annual Monitoring Strategy section of the M&E Plan should detail the processes and actors involved in the collection and processing of data to get “actual” values for the IPTT annual monitoring indicators. For partnership and consortium-managed awards, this section must describe how partners share responsibilities for these processes and identify where responsibility lies for finalizing the values.

A PIRS describes the collection of the raw data and the calculations but does not necessarily describe all of the steps in the process between collection and final report, nor does it identify the actors responsible for these steps. For example, a PIRS for multiple annual indicators related to women’s groups’ IGAs might specify that women’s groups’ secretaries are responsible for collecting basic information about their membership and activities (e.g., number, male/female breakdown, date of joining, date of leaving, attendance at last meeting, current involvement in IGAs, and reported monthly income). However, the PIRS might not explain how the information from several women’s groups will be transferred by the activity field officer overseeing the groups’ activities to a summary report, how the summary reports then go to a data entry team who uses them to update information in a database containing historic information about the groups, or how an M&E analyst will access the database annually to generate values for several IPTT indicators using the calculations in the PIRS. In this case, because data for several indicators “travel” the same pathway, it would be more efficient to describe the process once in the Annual Monitoring Strategy section instead of repeating the same information in each PIRS for the several IPTT indicators. Hence, awardees might consider organizing some information in this section by data collection instrument.

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

3.1.2: Data Collection

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

For FFP and Mission indicators, direct beneficiaries include individuals, households, communities, institutions, and groups that receive significant goods, services, and/or other support as a direct result of activity interventions. In cases where an intervention employs a deliberate strategy of training a small number of individuals to deliver services or pass knowledge directly to other individuals or organizations (e.g., cascade training), both those who are directly trained by activity personnel and the individuals who are trained by the activity-trained individuals or organizations, in accordance to an activity-defined training or knowledge-transfer plan, are considered direct beneficiaries.

People who might be exposed to activity messages by attending an occasional sensitization meeting or community theater presentation or by hearing a radio message or seeing a poster in the health clinic or input suppliers shop **should not be counted** as direct beneficiaries for FFP or Mission indicators.

Spontaneous spillover learning or adoption of improved practices after informal contact with individuals trained by the activity or those trained by activity trainees who were not trained to be "trainers" or who did not follow activity-designed training protocols does not count as a deliberate service delivery strategy. Neighbors and other household members who apply new practices based on observation and/or informal interactions with direct beneficiaries should not be counted for FFP annual monitoring indicators.

People who directly benefit from an activity Output, such as community infrastructure developed or rehabilitated by the activity, are considered direct beneficiaries for a few FFP or Mission indicators, even though the individuals may have had no direct contact with any activity staff or trainees of the activity. For example, those who live near a rehabilitated borehole and are assumed to be drawing water from it are counted for the indicator "Number of people who gained access to an improved drinking water source," regardless of the level of their exposure to other activities. The relevant indicators' PIRs make it clear when people with no little or no exposure should be counted.

Ideally, annual indicator values should be derived from data collected for all of the direct beneficiaries of the interventions that will influence the indicator, not a subset. In cases where the indicator's sampling frame is only a subset of direct beneficiaries, the sampling methodology and selection process must be approved by the activity's AOR after review by the responsible FFP M&E team member. In these cases, the sampling frame and selection process must be described in the M&E Plan, in the Annual Monitoring Strategy section, or in the indicators' PIRs.

Awardees may propose different data collection approaches for different indicators. However, FFP strongly encourages partners to develop processes that capture and report as much data as

possible throughout the year, i.e., using routine data collection, so that annual reporting values for most indicators can be derived from these data.

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

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

Examples of routine data collection are:

- Trained service providers, e.g., extension agents or activity staff, record information about trainees, participants in FFSs, or mothers who attend care groups, e.g., their attendance, achievements, and sex.
- Community-based health workers, midwives, or other volunteers collect information directly from beneficiaries when they receive services or extract information from beneficiary health records during home visits or at sites of growth monitoring, food distribution, and health or nutrition education, e.g., date of antenatal or postnatal care visits, quantities and types of commodities received, and date of receipt.
- Members of beneficiary groups or communities record information about their activities and submit written reports to activity field supervisors monthly or quarterly. Sectoral supervisors verify the data for validity and reliability and extract and aggregate information from the various groups' reports, e.g., information from savings and loan groups about loans granted and repaid or the types of actions taken by community committees, to enter into a database or for submission to M&E staff.
- Activity specialists review community early warning or disaster risk reduction plans at regular intervals (e.g., twice annually) to assess whether they are complete, viable, and on schedule, and record a score, determined according to the standard described in the PIRS, for each community plan.

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

- Regular visits (e.g., monthly, quarterly, twice a year) by M&E staff to carefully selected samples of intervention sites to observe and record information about the implementation process or to interview a systematically selected sample of beneficiaries about their experiences or current knowledge, attitudes, or practices. Collection times and sampling approaches (sites and beneficiaries) must be consistent across years.
- Surveys by M&E staff of carefully selected samples of members of targeted community groups (e.g., youth, farmers, or livestock holders) at regular intervals (e.g., monthly, quarterly) to determine exposure to, knowledge of, or reactions to messages broadcast generally in the communities (e.g., through radio, on billboards, or in community

meetings) or perceptions about or use of community services or infrastructure supported by the activity.

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

Most FFP activities include numerous interventions, each of which benefits different individuals, households, and communities. Each annual monitoring indicator relates to beneficiaries involved in a specific set of interventions. When designing an annual survey, a sampling frame must be developed for each indicator for which data will be collected, based on its related interventions. FFP discourages the use of large household surveys to simultaneously collect information for indicators that relate to different intervention groups because of the difficulties in ensuring the accurate coverage of households from more than one sampling frame. This is especially difficult when any indicator's sampling frame is small relative to the others.

FFP will approve annual surveys only for those indicators for which data collection through routine monitoring or beneficiary surveys is determined as not feasible or unreliable. When the awardee chooses to conduct a large-scale annual beneficiary-based survey to collect information from multiple beneficiary groups, the AOR must approve the survey SOW prior to implementation of the survey and, when the survey will be done by an external party, prior to solicitation. FFP and the Bureau of Food Security jointly developed a [Sampling Guide for Beneficiary-Based Surveys](#) and [Sample Size Calculator in Support of Data Collection for Selected Feed the Future Agricultural Annual Monitoring Indicators](#). The guide helps FFP awardees decide whether collecting data via an annual beneficiary survey makes sense and provides tips and information on developing a SOW if they wish to contract work for the survey. The guide also contains information concerning choosing an appropriate sample design, developing a sample frame, determining sample size, constructing sample weights, and calculating sample-weighted totals for the entire beneficiary population. Note that FFP does not consider Lot Quality Assurance Sampling an acceptable method to collect annual indicator data.

An annual beneficiary-based survey SOW submitted for approval to the AOR must include:

- Justification for using this type of survey instead of routine monitoring or routine beneficiary survey methods
- The indicators to be measured and the intervention groups in each sampling frame
- Justification of the sampling design, and how many from each intervention group will be included
- Methodology
- Awardee and/or external contractor responsibilities
- Awardee staff and/or external contractor qualifications
- Timeline for activities and deliverables

Data Collection Tools

Data collection tools should be standardized, to the extent possible, to ensure consistency. Reasons for nonstandardized tools, e.g., if different tools are used by sub-partners or at different locations, must be explained in the M&E Plan's Annual Monitoring Strategy section.

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

Additional Guidance for Data Collection

For the following four agricultural indicators, FFP encourages awardees to refer to the [Feed the Future Agricultural Indicator Guide](#) for data collection guidance:

- Indicator #8 (EG3.6,7,8): Farmer's gross margin per hectare, per animal, per cage obtained with USG assistance
- Indicator #9 (EG3.2-17): Number of farmers and others who have applied improved technologies or management practices with USG assistance
- Indicator #15 (EG3.2-18): Number of hectares under improved technologies or management practices with USG assistance
- Indicator #16 (EG3.2.19): Value of smallholder incremental sales generated with USG assistance

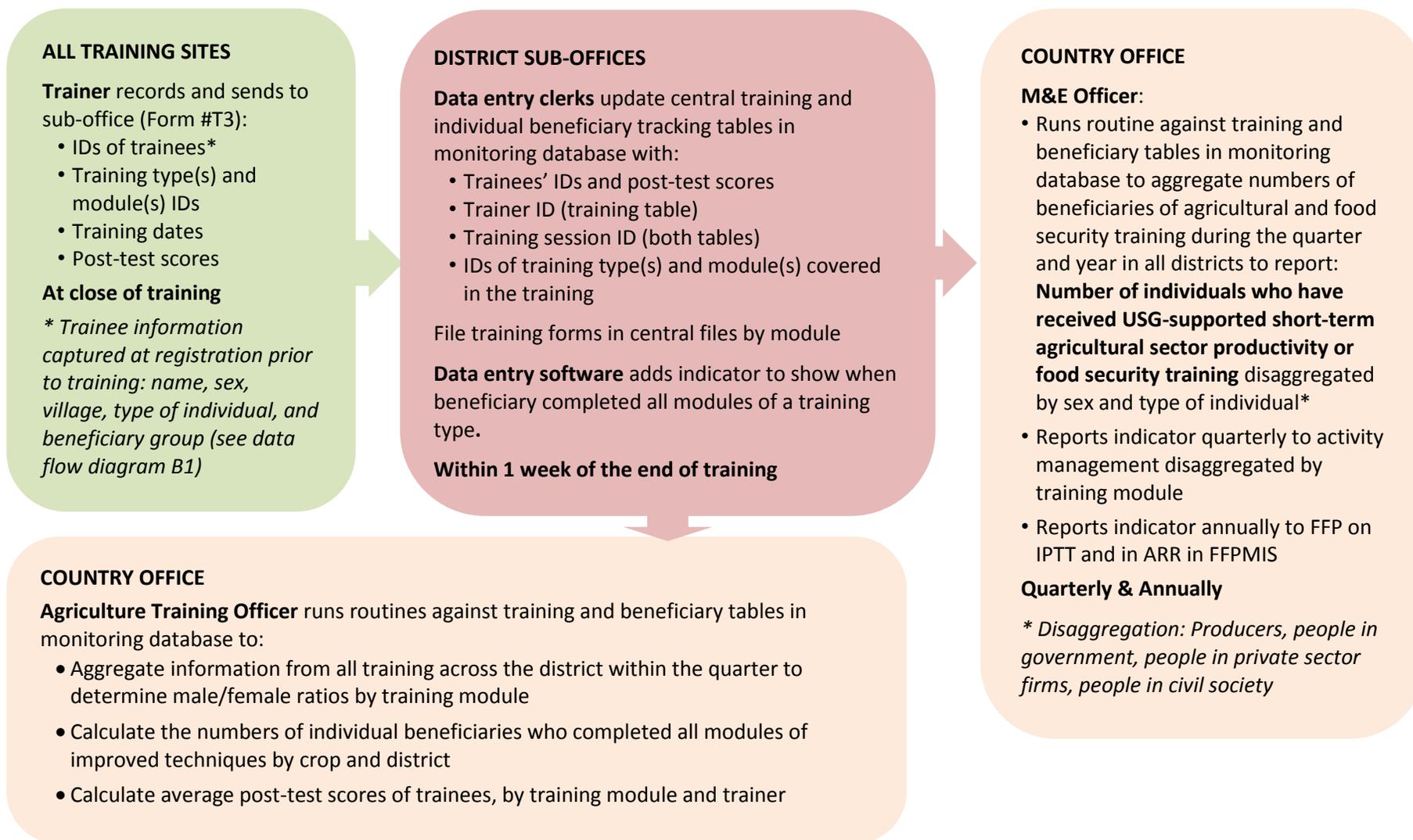
3.1.3: Data Flow

To ensure accurate values, all collection, recording, transfer, storage, aggregation, disaggregation, and other processing of data should follow standardized, well-documented procedures. The Annual Monitoring Strategy section should include data flow diagrams, matrices, or other forms of visual summaries for individual or groups of raw data types to show the flow of data from the point of collection through the various offices or individuals where they are verified, aggregated, disaggregated, entered into electronic devices, and otherwise processed to derive the values for the indicators that are finally reported in the IPTT. Accompanying narrative should add details about the nature of processing accomplished at each point and the mode, frequency, and timing of movement of data between points.

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

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

Example 1: Using a Diagram



Example 2: Using a Matrix

	WHO	WHAT	HOW	WHEN	WHERE
Collection	All trainers	<ul style="list-style-type: none"> ▶ Fills Form #T3 (paper) with: <ul style="list-style-type: none"> • Trainees' beneficiary IDs and post-test scores • Training session information: <ul style="list-style-type: none"> ○ Trainer ○ Training dates ○ Type(s) and module(s) ▶ Sends completed form to sub-office via fax, scan, or courier 	<ul style="list-style-type: none"> • Paper form provided by Agricultural Training Officer • Email of filled form to sub-offices 	Within 3 days of end of training session	Training sites/trainers' offices
Entry	Sub-office data entry clerks	<ul style="list-style-type: none"> ▶ Enters into training table in monitoring database: <ul style="list-style-type: none"> • Trainees' beneficiary IDs and post-test scores • Training session information: <ul style="list-style-type: none"> ○ Trainer ○ Training dates ○ Type(s) and module(s) ▶ Paper Form #T3 filed in sub-office training file by training type and trainer 	Training table data entry system	Within 1 week of end of each training	District sub-offices
Storage	Database management staff	Maintains and safeguards monitoring database and data entry system		Indefinite	Cloud based
Processing	M&E Officer	<ul style="list-style-type: none"> • Aggregation of training data across districts • Disaggregation by sex, module • Disaggregation by sex, type of individual, and type of training, annually 	<ul style="list-style-type: none"> • Computing module T1 annually • Computing module T2 quarterly 	Quarterly and annually	Country office
	Ag Training Officer	<ul style="list-style-type: none"> • Aggregation of training data by district • Calculation of : <ul style="list-style-type: none"> ○ Male/female ratios by module by district ○ Numbers of beneficiaries who completed all modules of improved techniques by crop, sex, and district ○ Average post-test scores by module and trainer 	<ul style="list-style-type: none"> • Computing module T3 	Quarterly	Country office
Report	M&E Officer	Number of individuals who have received USG-supported short-term agricultural sector productivity or food security training	Manual transfer of numbers to IPTT and entry to ARR in FPMIS	Annually	Country office

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

3.1.4: Monitoring Databases

FFP strongly recommends that activities create and maintain monitoring databases to capture and track beneficiary- (individual, household, community) and intervention-level data needed to calculate values for all indicators reported to FFP annually and other indicators useful for activity monitoring.

Databases should be designed for use. FFP recommends that, before creating the database, the needs and uses should be clearly defined, i.e., the IPTT, the annual monitoring indicators' PIRs, the Annual Monitoring Plan, and the data flow portions of the activity's M&E Plan, should be complete or close to completion before the database design is finalized and data entry begins.

Data that are captured in databases are available at all times for analysis by activity staff to use to examine trends through the year and to answer questions about beneficiary participation or differences in beneficiary response and activity Outputs and Outcomes across geographic locations. For example, databases containing regular records of monthly income of microfinance group members involved in different activities would allow activity staff to monitor and compare rates of increase. With these data, activity staff can assess at any time the value of participation to the beneficiaries to answer questions like “Are participants entering the right markets?” and “Are some IGAs more (or less) successful than others?” and then adjust support, as appropriate.

Databases with details about intervention participants and their households, e.g., sex, age, address, enrollment and graduation dates in different interventions, training completed, goods or materials received, and household composition, are particularly useful resources for developing sampling frames for annual monitoring.

FFP encourages awardees to create relational databases with unique community-, household-, and individual-level identifiers that enable accurate connections among the different beneficiary units (e.g., connecting multiple household members who benefit from different interventions to their common household, and connecting multiple beneficiary households to their common community). These connections help ensure the accuracy of reporting, avoid double counting of beneficiaries or households that benefit from multiple interventions, demonstrate the degree of integration achieved through the activity's targeting, and allow for the comparison of Outcomes in households that benefit from only a single intervention to Outcomes in households that benefit from several.

Databases may be created using any management software (e.g., CPro, MS Access, SPSS, and MS Excel). Before developing a new database system from scratch, an awardee should review existing systems that were developed using FFP resources to evaluate whether one could be adapted to fit the activity's needs. *McAID* and *SAMI*, developed by Save the Children, and *I-SMART*, developed by ACDI/VOCA, are examples of such database systems.

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

3.1.5: Cross-Cutting Technical Areas

In the Annual Monitoring Strategy section, awardees must describe how the activity's M&E system will monitor and measure the frequency and quality of efforts to ensure that all activities consider the cross-cutting themes of gender integration, environmental protection, conflict sensitivity, community participation, and sustainability. Awardees are encouraged to use both quantitative and qualitative methods to assess and monitor the degree to which these technical areas are integrated into activity operations. The Annual Monitoring Strategy section should highlight all of the methods that the M&E system will employ beyond the use of FFP indicators in sections dedicated to these themes, including descriptions of the staff members involved, methods used, frequency, locations, and types of informants.

Monitoring Conflict Sensitivity and Community Participation

FFP expects awardees to include members of the target communities as plans and decisions are made at all stages of the activity. Done well, inclusive involvement can help bring community members together cohesively while providing activity staff more-complete and -accurate input for decision making; on the other hand, non-inclusive engagement can reinforce power imbalances, divide communities, and yield biased input.

The M&E system should monitor the extent and quality of community participation and the benefits and challenges of involvement at each stage. It should record an awardee's efforts to avoid harm and strengthen intracommunity cohesion and cooperation. FFP has not yet developed indicators to measure community participation. Nevertheless, awardees are required to describe in the M&E Plan how the activity's M&E system will measure the frequency, extent, and quality of community input and activity-community interaction throughout the LOA. The strategy and tools to measure community participation must be context-specific, taking into consideration cultural norms and practices, activity Purposes, cross-cutting technical areas, and interventions. This process may be largely qualitative, from which quantitative indicators may or may not be derived.

Methods to measure community involvement might include:

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

Community-Based/Participatory M&E

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

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

However, in community-based or participatory monitoring, in addition to being informants, some community members get involved in the M&E annual monitoring processes as data collectors, reporters, and analysts. Community leaders, volunteers, groups supported by the activity, or even the whole community can collect and report information related to intervention Outputs and Outcomes, and these data are used to calculate the indicators reported on the IPTT.

FFP does not require that awardees incorporate participatory monitoring into their M&E Plans and does not recommend any particular methodology or tools for participatory M&E. A plethora of guidance and tools are available that could be applied (see [Section 3.1.6](#)). However, when an awardee relies on community members in the collection or analysis of data reported in the activity IPTT, their roles and responsibilities should be described in the PIRS (see [Section 2.4](#)), the data flow (see [Section 3.1.3](#)), and the M&E staffing (see [Section 3.3](#)). Details about how the activity ensures the quality of these data through supervision and verification should be covered in the data quality assurance (see [Section 3.2](#)).

3.1.6: Resources

- [Feed the Future Agricultural Indicator Guide](#) provides guidance on the collection and use of data for selected Feed the Future agricultural indicators.
- [McAID](#) and [SAMI](#), developed by Save the Children, and [I-SMART](#), developed by ACIDI/VOCA, are examples of database systems for monitoring.
- An issue of [Participatory and Learning Notes](#) provides articles related to participatory monitoring and evaluation.
- The World Bank's webpage on [Participatory Monitoring and Evaluation](#) offers basic information and key readings.
- The World Bank's [Sleeping on Our Own Mats: An Introductory Guide to Community-Based Monitoring and Evaluation](#) offers an approach for projects and tools.

- The Food and Agriculture Organization of the United Nations offers a short *Training Module on Participatory Community M&E*.
- The USAID Center for Development Information and Evaluation offers a brief on *Conducting a Participatory Evaluation*.

Section 3.2: Data Quality Assurance, Management, and Safeguard

M&E Plans must describe how an awardee will ensure data quality and protect data throughout the processes of collection, transfer, processing, reporting, and storage. The way data are routinely collected, checked, and managed helps ensure data quality. To ensure data quality, every M&E Plan should incorporate measures to protect the integrity of data as they are handled and managed routinely, include cross-checks to test validity and reliability, and use processes of supervision and verification to test the precision and integrity of the values collected. In addition, periodically, internal Data Quality Assessments (DQAs) should test the rigor and effectiveness of these processes for a few key indicators. Finally, the M&E Plan must describe the measures taken to safeguard the data from inappropriate access, use, or manipulation.

3.2.1: Data Quality Assurance

The M&E Plans for all FFP development activities must describe the routine measures awardees will take to ensure the quality of data collected and generated by their M&E systems. The Data Quality Assurance section of the plan should describe how the awardee will ensure that data meet the five key attributes of high quality: validity, reliability, timeliness, precision, and integrity. It must describe the strategies incorporated into the routine monitoring to reduce biases and errors in measurement, transcription, and processing, and the procedures for verifying and validating the data that are collected or generated by the systems.

Along with the development of PIRSs and provision of data collection tools, as required in other sections of this guidance, to ensure data quality, in addition to clearly defining each indicator, awardees must describe measures to protect and verify data quality by ensuring:

1. Complete, detailed documentation of methods and protocols for every process related to data collection, cleaning, recording, aggregation, disaggregation, documentation, access, safeguard, reporting, and storage, written in easily understood language and readily available to the collectors and processors at the sites of collection and/or processing.
2. Regular verification and cross-checking that all data collectors and processors are following the documented methods and protocols consistently. Cross-checking and verification methods include such measures as:
 - Visits by supervisors or M&E officers to a sample of farmers, mothers, or households to verify the information previously collected by community volunteers or implementing staff
 - Inclusion of photographs, video or audio recordings, or other evidence to allow others to verify observations, transcriptions, and interpretations by the collector
 - Triangulation of findings by asking the same thing in different ways or in different contexts

- Systematic review of collected data to compare values collected across time and location to flag outliers or reversals of trends that should be investigated
- Incorporation of reasonability checks and comparisons into data collection, entry, and processing software; double keying of data in entry procedures; use of dropdowns and conditional entry fields; and developing filters, macros, and scripts to identify data outside reasonable parameters or data that contradict each other
- Adequate staffing by individuals who receive regular supervision, training, and support to build and maintain their capacity, and who are held accountable for good performance, considering clarity of task descriptions of the specific functions related to data collection, recording, and processing
- Adequate financial resources and logistical support to ensure timely performance, e.g., for travel, training, and procurement/reproduction of instruments and tools

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

3.2.2: Data Quality Assessment

DQAs are periodic reviews to assess how well the data quality assurance processes have ensured that indicators reported in the IPTT meet the five standards provided in [USAID's ADS 201.3.5.8](#): validity, reliability, timeliness, precision, and integrity. The purposes of a DQA are to identify factors that contribute to higher or lower quality and ways to improve quality.

Each activity DQA reviews the quality of selected annual monitoring indicators that are collected through **non-survey methods**. Annual survey indicators are not included because their quality must be verified via supervision and verification during the survey.

For each DQA, FFP recommends that an awardee focus on 3–5 indicators for each year of implementation. Selection should be strategic, for example:

- Indicators that are complicated to measure
- Indicators of suspect data quality
- Indicators of high importance to decision making or to demonstrate interventions' progress
- Indicators that represent different data flow processes¹⁰

In the DQA process, reviewers reconstruct the flow of data for each of the selected indicators to verify their quality and potential sources of error at every stage, beginning from the initial

¹⁰ As the DQA assesses the effectiveness and integrity of the data collection, storage, aggregation, and reporting systems, an awardee may want to classify the indicators according to similar data flow (e.g., those that follow the same processes of data collection, storage, aggregation, and reporting; see [Section 3.1.3](#)) and select indicators to represent different groups.

point of collection and continuing through to the highest level of reporting and use. The [FFP DQA webinar](#) and [MEASURE Evaluation Data Quality Assessment Methodology and Tools](#) are useful resources for DQAs.

A DQA process may examine:

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

In the initial submission of the activity M&E Plan, the Awardee must describe the timing and processes of DQAs planned to take place during the first 12 months of the award implementation. Because interventions may not get under way for several months, it may be too soon to conduct a DQA within 12 months of the first submission. In this case, the first submission of the M&E Plan should explain that no DQA is scheduled during the first 12 months, outline basic criteria for selecting the indicators to be assessed in the first DQA, and estimate the approximate timing of the first DQA. With each PREP submission, an awardee should describe all DQAs planned for the following 12 months or provide a strong justification for why no DQAs are planned.

The description of activity's DQAs must include:

- A list of indicators to be reviewed and justification for the selection
- Time frame: timing and duration
- Any particular focus of the review
- Who will participate in the DQA along with their roles and qualifications

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

During the LOA, the relevant USAID Mission may also conduct one or more DQAs for a selection of activity indicators. These typically examine only indicators used by the Mission for annual reporting. The Mission DQAs do not replace the need for awardees to conduct DQAs to test the adequacy of their data quality assurance functions, and the USAID Mission DQAs are not part of an Awardee's M&E Plan.

3.2.3: Data Management and Safeguards

The submitted M&E Plan must describe an awardee's plans for protecting data from unintended change, misuse, loss, or destruction as it is collected and as it flows between and through the various sites of processing to its final storage location. This relates to data on paper, on other media, and in digital format. Any breach of privacy or inappropriate use of data can potentially

result in negative unintended consequences, especially in contexts with conflict or internal divisions and tensions. Therefore, access to data for viewing, use, and modification must be restricted. The plan should also describe how and for how long the data will be preserved for future use, for example, for evaluations, DQAs, or future studies. For consortium or partnership activities, the M&E Plan must describe how data management will be coordinated across partners.

Examples of data management and safeguards include:

- Measures that will be taken to ensure and safeguard beneficiary confidentiality and protect personal identity information, both of hard copy and digital files
- Systems to store/maintain original data files/activity records: Where original data will be stored, how they will be protected, who can access them, how long the awardee will retain them, and procedures and timeline for their destruction
- Methods, frequency, and locations of file and database backups and who is responsible for making backups; measures to prevent and detect unauthorized data access for data entry, editing, processing, or retrieval; virus protection of digital data; and security measures to protect the physical location of hard copies, databases, and data backups

Section 3.3: M&E Staffing and Capacity Development

3.3.1: Overview

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

3.3.2: M&E Staffing and Capacity Development Strategy

The M&E Plan should identify the positions of **all** staff members and external actors who will contribute to data collection, processing, management, and reporting in the Annual Monitoring Strategy section. The list should include more than the M&E staff members whose time is fully or largely dedicated to M&E. It should also include the field staff, sectoral specialists, staff members of partner organizations and government agencies, consultants, volunteers, and other members in beneficiary communities who contribute to any annual monitoring function, and should identify the monitoring roles and responsibilities for each position and the percentage of time incumbents will devote to each function and responsibility.

The plan must include an organogram that graphically displays the lines of supervision and reporting among the identified actors with regard to their M&E functions. In the case of partnerships or consortium-managed activities, the plan must identify the organization for each position in the descriptions and on the organogram.

Awardees should present the M&E staffing and capacity development strategy in the award application. This strategy should include how staff will be trained to collect data, applying gender-equity, environmental protection, community engagement, and “do no harm” principles. The M&E budget should identify the costs related to capacity building.

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

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

Chapter 4: Evaluation Plan

The evaluation plan must include:

- A baseline study
- An MTE
- A final evaluation

Section 4.1: Baseline Studies

4.1.1: Requirements for All Baseline Studies

A baseline study is required for all FFP development activities. The purposes of the study are to collect baseline values for specific Outcome and impact indicators that will be compared to values collected in the final evaluation and to provide information to an awardee about the activity's target population that can help improve the design and targeting of interventions.

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

- All current R and RiA FFP BL/FE indicators. These must be collected and tabulated exactly as described in the *FFP Indicators Handbook Part I: Indicators for Baseline and Final Evaluation Surveys*. No modifications or substitutes will be accepted.
- Additional custom indicators, as agreed and approved by the AOR after consultation with the responsible FFP M&E team member.

The baseline survey must use the questions included in the *FFP Indicators Handbook for Baseline and Final Evaluation Surveys*, with only contextual adjustments permitted. The survey design must follow the sampling plan, the sample size calculation formulas, the suggested level of statistical precision and power, and the respondent selection procedures presented in the *Sampling Guide (with 2012 Addendum)*.

In cases where the baseline study covers multiple awards, the baseline study report should provide both aggregate FFP country implementation area and stratified awardee-specific results.

FFP does not require a qualitative component in the baseline study. However, an awardee may propose a qualitative component, for example, to help interpret the quantitative data, improve specificity, or learn more about the context. When proposing a qualitative component, an awardee should describe the Purpose, methods, and timing in the draft baseline study SOW that is submitted for AOR approval. A qualitative component may be conducted after or during the quantitative study as part of the baseline study design.

The final report must adhere to the requirements of the *USAID Evaluation Policy*.

Timing

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

data comparability, the baseline and endline surveys for the activity must be collected at the same time of year.

External Baseline Study

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

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

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

- FFP will contract a third-party firm to conduct the study and will oversee and manage the process.¹¹ In countries with multiple awards from the same FFP solicitation, the firm will implement a joint study.
- The awardee will contract and manage a third-party firm, approved by FFP, to implement the baseline study with limited awardee involvement. In this scenario, FFP must approve the SOW prior to solicitation and prior to contracting the third-party firm and specific members of the baseline study team. In countries with multiple awards from the same FFP solicitation, FFP encourages awardees to collaborate and hire a single firm to implement a joint study.

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

Awardee Involvement in the Baseline Study

For both FFP-managed and awardee-managed baseline studies, the third-party firm must independently hire a local data collection firm or engage enumerators and supervisors to collect baseline data. To manage the perception of an unbiased study and to ensure that the initiation of activities advances efficiently, the third-party firm must not use activity staff as enumerators or supervisors or use activity vehicles.

Awardee staff members must not participate in the development of the survey sampling frame, sample selection, or data collection, and may not accompany enumerators during the survey. However, the awardee is responsible for providing a list of the activity's implementation communities so that the firm can develop the survey sampling frame. Awardees should also brief the third-party firm on the political, social, and cultural norms and context in which the baseline data collection will be taking place so that the third-party firm can effectively apply "do no harm" principles to its data collection approaches. Awardees may be invited to observe some or all training sessions for enumerators and supervisors. Awardees may provide

¹¹ When FFP contracts a third-party firm for a baseline study or final evaluation, the Contracting Officer's Representative (COR) will often be someone different from the FFP development activity's AOR.

information that can improve the quality of the training and make specific parts of the survey instrument context-specific.

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

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

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

Baseline Planning Workshop

An awardee must send representatives to a baseline planning workshop organized by the third-party firm to discuss the scope of the baseline, the data collection timeline, and the survey sampling frame and logistics; contextualize the survey questionnaire; and review custom BL/FE indicators. Typically, this workshop is conducted within 3 months of the FFP M&E workshop and lasts 3–4 days. Awardees should submit the draft PIRs for custom BL/FE indicators and FFP PIRs with text added to clarify activity-specific details (see [Section 2.4](#)) to the AOR for review by the responsible FFP M&E team member at least 2 weeks before the start of the baseline planning workshop. Awardees may be tasked with additional follow-up actions required to launch the study.

To facilitate baseline implementation, during or following the baseline planning workshop, awardees will be responsible for providing the third-party firm the following:

- Inputs and information related to sampling:
 - A complete list of all communities where the activity will implement interventions during the life of the activity, including geographic location and number of households in each community (awardees may refer to preexisting sources, such as national census data or Demographic and Health Survey [DHS] data, provided these sources are collected within the previous 2–3 years; the accuracy of this list is extremely important to construct the sampling frame, and an incorrect or incomplete list can compromise the quantitative measurement of activity performance)
 - A description of the prevalence, typical composition, and living arrangements of polygamous households
 - Similar or related interventions that overlap with the FFP activity areas and beneficiaries (e.g., Feed the Future)
- Information to contextualize the survey instruments:
 - Foods commonly available and eaten, including brand names

- Commonly raised crops and livestock
- Titles of local government service providers
- Sources of household income
- Common household non-food expenditures
- Common arrangements for accessing land and financing or renting housing
- Gender roles and norms
- Activity-approved EMMP
- Techniques, knowledge, and practices that will be promoted by the activity
- Information related to data collection timing:
 - Cropping calendar
 - Periods unfavorable to data collection due to holidays, insecurity, and/or road conditions
 - Migration calendar
 - Planned food distribution and activities
- Advice on logistics:
 - Best and worst times of day to find people at home
 - Sites of lodging, restaurants, and other sources of food available in or near the survey area
 - Travel times among survey communities and sites of accommodation; road conditions and suggested modes of travel
 - Available infrastructure and services (e.g., electricity, Internet, ATMs)
 - Security issues and sources of updates regarding security conditions
- Inputs and information relating to data collection instruments and methods:
 - Languages into which questionnaires need to be translated, including any non-written languages
 - Feedback on the sampling strategy, data analysis and treatment plan, field implementation manual, quantitative survey instrument, qualitative site selection strategy, key questions, and methods
- Advice on the data collection team composition:
 - Gender considerations
 - Mix and balance of language skills
 - Ethnic, religious, political, or other identifying issues that should be considered
- Advice related to introductions and permissions:
 - Local protocols for obtaining permissions to operate within the country and study area, accessing and introducing the study and enumerators to communities and households
 - Contact information, introductions to and information about relevant stakeholders (e.g., government and local authorities)

Collaboration across Activities

In countries with multiple awards from the same FFP solicitation and a single firm implementing a joint baseline study, a common survey questionnaire will be used to collect FFP indicator data across all activity areas. However, the full definitions of a number of FFP indicators depend on local context and award-specific interventions. The contextualization of these questions may differ across the individual awardee's activity areas. For example, the indicator "Percentage of farmers who used at least [an activity-defined minimum number of] sustainable agriculture (crop, livestock, and/or natural resource management) practices and/or technologies in the past 12 months" requires each awardee to define the minimum number of practices and/or technologies and the specific types of practices and/or technologies that will be counted, drawing from the activity-approved EMMP analysis describing relevant climate and environment strategies.

In addition to the required FFP BL/FE indicators, each awardee may request the inclusion of a limited number of custom BL/FE indicators, approved by the AOR in consultation with the responsible FFP M&E team member. The inclusion of these custom indicators could result in minor differences in the questionnaires used in the different awardees' activity areas.

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

Reporting Baseline Values and Final Evaluation Targets

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

- Submit a revised IPTT that includes for each BL/FE indicator the actual baseline values and final evaluation targets adjusted based on the baseline values
- Enter the baseline values into FFP MIS as part of the ARR submitted after the end of the FY in which the values become available (note that the contextual indicators do not require an awardee to provide targets; see BL/FE indicator PIRS for information)

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

Sharing Baseline Report across the Field Teams

FFP expects that awardees will share the baseline study report with all staff and implementing partners. A best practice to widely communicate the key findings from the baseline study is to hold workshops to share the results and to ask the staff and partners to identify potential implications to the activity strategies and targeting.

Additional Guidance for Awardee-Managed Baseline Studies

Awardee-managed baseline studies must follow FFP guidance as stated in the overall requirements described above. Third-party firms and key personnel must be approved by the AOR and may not involve an employee or affiliate of the awardee who contributed to the

activity's study design. Before starting data collection, the final study design and survey questionnaire must be approved by the AOR, with advice from the responsible FFP M&E team member. The third-party firm will lead the study implementation and prepare the final report.

Baseline Study SOW

Within 3 months of award, an awardee must submit a draft SOW and budget for the baseline study to the AOR for approval before beginning the solicitation process. This SOW and budget should outline awardee expectations and requirements of the third-party firm. Guidance on developing a baseline study SOW is provided in *Annex I*.

4.1.2: Use of Baseline Study Results to Refine Activity Strategies

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

4.1.3: Resources

- The *FFP Indicators Handbook Part I: Indicators for Baseline and Final Evaluation Surveys* contains all current required indicators for collection in baseline and endline surveys.
- Sampling guidance for baseline and final performance evaluation surveys is provided in the *Sampling Guide (with 2012 Addendum)*.
- The *USAID Evaluation Policy* provides information on the purposes of evaluation; the types of evaluations that are required and recommended; and the approach for conducting, disseminating, and using evaluations.
- *USAID ADS 579: USAID Development Data* provides guidance for complying with the requirement for all quantitative data to be stored in a central database.
- Ethical guidelines for an evaluation team are outlined in the *American Evaluation Association's Guiding Principles for Evaluators*.

Section 4.2: Midterm Evaluation

4.2.1: Requirements

FFP requires an externally led MTE for awards of 4 or more years. The MTEs are process evaluations designed to gather evidence about the quality and effectiveness of service delivery and the efficiency and acceptability of activity implementation; to identify and examine unexpected results, both positive and negative; to assess the effectiveness of the targeting strategy; and to develop recommendations for adjustments that will improve the activity's final Outcomes.

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

Normally, the MTE is managed by the awardee. In countries with multiple awards from the same FFP solicitation, FFP encourages awardees to collaborate and hire a single MTE team to implement a joint evaluation for all awards. FFP and the awardee may decide to carry out joint evaluation using technical staff from FFP, awardee HQs or regional offices, and/or the Mission. In any case, the MTE team must not include anyone who had any participation in the design or implementation of the activities under evaluation.

Awardees must gain FFP approval on the following deliverables:

- Final SOW and estimated budget: First draft submitted to the AOR within 15 months of the award
- MTE team: The individuals selected to serve as team leader and sectoral experts, approved at least 5–6 months before data collection will begin
- Final MTE plan: Before primary data collection begins
- Final report: Within 36 months of award

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

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

The awardee must submit the final MTE report to the DEC within 30 days of FFP approval and upload it to FPPMIS as part of the ARR for the FY in which the report was approved (see [Section 4.3.1](#)). Also within 30 days of FFP approval, the awardee should provide the AOR with digital transcripts of interviews and discussions conducted as part of the MTE and data sets created or used by the evaluators, including copies of the monitoring database tables or other activity data, as analyzed by the evaluators. FFP will review and submit the files to the [Development Data Library](#), as appropriate, in accordance with USAID [ADS 579: USAID Development Data](#) and the award's standard provisions. [Section 4.3.1](#) describes the requirements for submissions. Awardees should review these requirements to prepare the data sets and provide the requested information.

Within 45 days of FFP's approval of the final report, the awardee and FFP will develop and agree to a plan of action in response to the MTE results and recommendations.

Process Evaluation

An MTE should focus on implementation processes, including quality of training, facilitation techniques, knowledge of the trainers and extension agents, activity management, monitoring, the application of results of activity studies, the integration of cross-cutting themes, intervention protocols, and Outputs and Inputs. The MTE's purposes are to assess how successfully the activity implementation matches the proposed plans approved by FFP; to explain why delays,

accelerations, or deviations from the strategy have occurred; to identify the strengths of and challenges to the ways the interventions are implemented; and to recommend adjustments to improve the effectiveness and acceptability of interventions in the targeted communities.

The MTE should also assess how various stakeholders (e.g., implementing staff members, beneficiaries, other community members, local experts, external partners) perceive the interventions and implementation methods to understand what they think is and is not working, what adjustments should be made, and why. This should include understanding how well beneficiary communities believe the chosen interventions match household and community priorities, including the degree to which the interventions do no harm and increase community cohesion. To identify strengths of and challenges to implementation, evaluators should compare implementation details and stakeholders' perceptions across purposively selected sites to assess the relationships of contextual and implementation factors with acceptance, relevance, efficiency, and Output quality.

In addition, the MTE seeks evidence of early Outcomes—changes in beneficiaries' lives or communities that they associate with the activity interventions—and compare contexts, implementation, and Outcomes across locations to identify factors that may be affecting the types and rates of change. When looking for early Outcomes, evaluators should look for any change, not just the anticipated change. This is an opportunity to spot unintended results of the activity's implementation—both positive and negative—and make adjustments to implementation to either promote or deter these changes. The evaluators should also compare the perceived Outcomes to the activity's TOC or Results Framework (RF)¹² to validate, refute, or refine the pathways of change.

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

Timing of the MTE

By the end of the first year of an award (preferably as part of the first PREP), FFP and the awardee should establish when the MTE will take place. The optimal time is when the evaluation team's opportunities to directly observe service delivery, activity Outputs, and interventions as they are implemented are maximized. For example, the team member who will evaluate the quality of asset development interventions should collect data while the associated labor is taking place (e.g., while workers are constructing an asset) or when s/he can best observe the benefit of the assets (e.g., some period of time after water pans have filled). If FFSs are an important component of knowledge promotion, technology transfer, and behavior change, then the agricultural expert would learn the most if s/he observes a few of the FFS sessions during the season when the participants are learning and applying new techniques.

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

¹² For activities awarded prior to FY 2014, FFP did not require a TOC; hence, the MTE should review the RF to assess progress and verify activity logic.

MTE Timeline

Preparation for an MTE should begin at least 1 year before the results are needed. For example, for a 5-year development activity, which should be evaluated in the third year, preparation should start at the beginning of the second implementation year. This is based on the following illustrative time requirement of 11–15 months from start to finish:

- Drafting and approval of SOW: 12–16 weeks
- Procurement of evaluators: 12–16 weeks
- Secondary data review and MTE work plan preparation: 4–6 weeks
- Data collection: 6–8 weeks, excluding travel time
- Data analysis and drafting of report: 6–8 weeks
- Feedback from USAID and finalization of MTE report: 4–8 weeks

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

Guidance regarding the contents and preparation of SOWs can be found in [Annex 2](#).

Evaluation Team Composition

An MTE team consists of a team leader plus technical specialists. No member of the MTE team may have had any responsibility in the design or implementation of the activity under evaluation. The team leader for the externally conducted MTE must be external to the activity and all agencies involved in activity implementation.

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

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

4.2.2: Budget

At application, awardees should allocate a minimum of \$150,000–\$300,000 in the activity budget to cover costs associated with MTEs. This would include the cost of contracted MTE

team members, international and local travel, and in-country lodging and per diem. Salary for technical specialists who are members of the awardee’s organization may be charged for the days that they are directly involved with the evaluation. Other related costs that might be in the budget include expenditures for hiring local personnel (drivers, translators, enumerators, local technical experts, etc.), translating reports, and renting meeting rooms for presentations.

Table 2: Template for Action Plan to Follow Up on MTE Recommendations

Activity:							
Country:		Awardee (Prime):				FY:	
Recommendation	Priority level	Resources required	Influence	Activity	Time frame	Responsible party	Indicator
(Example) Beneficiaries for Purpose 2 (P2) agriculture and natural resource management interventions should be selected from Purpose 3 (P3) nutrition beneficiary households.	High	\$\$	Major	<ul style="list-style-type: none"> • Agree on revision to targeting criteria • Modify written protocols and train staff to use the revised criteria • Select all future P2 beneficiaries using the revised targeting criteria • 	By xx/xxxx	Deputy Chief of Party P2 & P3 Leads P2 & P3 field supervisors	Percentage of new P2 beneficiaries that are also P3 beneficiaries.

4.2.3: Follow-Up Action Plan

Within 45 days of FFP’s approval of the MTE report, the awardee, in collaboration with the FFP Officer, must develop a plan of action to apply the MTE recommendations and submit it for AOR and USAID Mission approval. Prioritization of actions (e.g., “essential,” “high,” “moderate,” “low,” “impractical”) should be based on the potential of each action to influence the activity’s final Outcomes positively (e.g., “major,” “significant,” “minor,” or “negligible”) and available resources (time, material, money).

Once FFP and the awardee agree to follow-up actions, they should establish a time frame and a means of measuring progress and achievement for each action and assign responsibility for each action. The awardee, using the agreed means of measuring progress, must describe progress in subsequent ARRs. See Table 2 for a template designed by FFP to describe and track progress of these actions.

4.2.4: Resources

- Ethical guidelines for an evaluation team are outlined in the *American Evaluation Association’s Guiding Principles for Evaluators*.

Section 4.3: Submission Requirements for Reports and Data Sets

4.3.1: Submitting M&E Documents to USAID DEC and FFPMIS

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

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

If the awardee or FFP has any concerns that publicizing the documents could cause harm to activity participants, the awardee should seek AOR approval and/or guidance to anonymize or even remove sensitive sections of the report.

When submitting to the DEC, the awardee should:

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

For more information on DEC submission requirements, please refer to [ADS 540: USAID Development Experience](#) information and the [Development Experience Clearinghouse](#) website.

4.3.2: Requirements for Submitting M&E Data Sets to FFP

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

FFP will review and submit the files to the [Development Data Library](#) in accordance with USAID [ADS 579: USAID Development Data](#) and the award standard provisions.

The requirements for submission include:

1. **Introduction to the data set:** A brief description of the activity for which the data were collected, including background, context, and purpose.
2. **Data:** Raw and cleaned data sets with computed variables (e.g., anthropometric z-scores), one copy in CSV and a second copy in SPSS or STATA. **Please note that because USAID will make the data available to the public, the data sets should not contain any identifier that would enable users to identify any survey respondent.**
3. **Metadata:** Provide details about the data set contents and properties. The description of the data set should supplement the title by providing additional information about the data set information to help potential users determine the relevance of the data set to their particular interests and to facilitate the use of the data sets.
4. **Other associated files (pdf format preferred, except as noted), including:**
 - a. A “Readme” file that explains the contents of the submission and file organization in an easily read format (e.g., MS Word, MS Notepad) and that includes:
 - i. Country, name of awardee, and beginning and end of LOA
 - ii. Dates of data collection
 - iii. Data in the native format of the data sets, including software/version
 - iv. Subfolder content description
 - v. Name of the person(s) and/or firms who collected and processed the data, with full reference information
 - b. Documentation of the process and rules followed to clean the data sets and the results of cleaning, including data losses and inconsistencies uncovered.
 - c. Syntax files detailing all processing steps followed to prepare the data. This includes syntax used to create variables and transform raw data into variables.
 - d. Weight files, including final sampling weights and sampling weights at each selection stage. This file must include:
 - i. All the sampling weights that were created and used
 - ii. Description of and rationale behind the weighting (i.e., how and why they were created)
 - iii. A detailed description of how nonresponding households were treated and individual nonresponses as a percentage of total expected sample size
 - iv. Indications of where final sampling weights were adjusted
 - e. Sampling frame used to select sample clusters and associated size measures (such as number of households in each cluster).
 - f. Survey questionnaires and enumerator/supervisor field manuals in English that describe quantitative survey question administration; field manuals that describe qualitative data collection techniques, data quality controls, and other relevant field procedures; and qualitative collection tools (e.g., interview guides, observation checklists). If the questionnaire was written for an iPad, smartphone, or tablet, the software name and program file developed to carry out the survey must be included. If a paper quantitative questionnaire was used, the final version(s) must be submitted in Word.

5. **Privacy protection:** Data should be cleared of privacy considerations. Awardees must remove personal identifiers, such as individuals' names, birthdates, sex, and addresses and community-level geocodes. However, cluster distinctions should be maintained through non-identifiable labeling, and the members of a household should be linked to the household and children to caretakers within households through non-identifiable identifiers. If removal of personal and geographic information makes the data meaningless, an alternative approach is "pseudonymization," i.e., the replacement of recognizable identifiers with artificially generated identifiers, such as a codes or pseudonyms. With pseudonymization, the information that identifies the individual or community is maintained separately, often in different data sets that can be merged together using the identifier without the consequence of direct identification of the individual.
6. **Human subjects research:** Indication of whether or not the data set contains information on human research subjects, as defined in ADS 200.
7. **Creation/collection date:** The date the data set was created.
8. **Date of last update:** The most recent date the data set was updated or modified.
9. **Temporal start:** The start date of the applicability of the data set. For surveys or a census, the temporal start is the date that data collection began.
10. **Temporal end:** The end date of the applicability of the data set. For a survey or census, the temporal end is the final date of data collection.
11. **Data quality:** Indicate whether these data meet USAID's quality standards outlined for performance monitoring data in [ADS 201.3.5.8](#).
12. **Data quality notes:** Descriptions of known issues with or limitations of the quality of the data.
13. **Spatial applicability:** The range of spatial applicability of the data set. This could be a place name (e.g., Uttar Pradesh, India) or a geographic location expressed using longitude/latitude pairs. See the [Common Core Metadata Schema v1.0](#) for further information.
14. **Data dictionary:** A complete data dictionary, including, for each variable, name, label, value labels, format (alphabetic, numeric, currency, percent, etc.), type (dichotomous, categorical, continuous), and size (number of characters or format of numeric data). Also, submit references of other documentation that would facilitate proper use of the data by others.
15. **Landing page:** Where the user can find additional contextual information about the data set when selecting this resource from the [Development Data Library](#) user interface.
16. **Language:** Must be English.

4.3.3: Resources

- USAID's [ADS 540: USAID Development Experience](#) provides policy directives, required procedures, and roles and responsibilities governing the submission of materials to the DEC.
- USAID's [Development Experience Clearinghouse](#) website is the largest online resource for USAID-funded technical and activity materials.
- USAID's [Development Data Library](#) is a public repository of USAID-funded, machine-readable data.

- USAID's *ADS 579: USAID Development Data* provides guidance for complying with the requirement for all quantitative data to be stored in a central database.
- USAID's *ADS 201.3.5.8* provides information on data quality.
- Project Open Data's *Common Core Metadata Schema v1.0* provides guidance to support the use of common core metadata to list data sets.

Section 4.4: Final Evaluation

- Forthcoming

Annex I: Guidance to Develop Statements of Work for a Baseline Study

This annex is relevant only for awardee-managed baseline studies. FFP will develop SOWs for FFP-managed studies.

Baseline Study SOW

Within 3 months of award, an awardee must submit a draft SOW for the baseline study to the AOR for approval before beginning the solicitation process. This SOW should outline awardee expectations and requirements of the third-party firm.

Below are sample SOW contents:

- I. Introduction
 - a. Overview
 - b. Activity Background
- II. Purpose and Objectives of the Baseline Study
- III. Indicators for Collection
- IV. Baseline Study Design and Methodology
 - a. Representative, Population-Based Household Survey
 - i. Sampling Design
 - ii. Field Procedure Manuals for Enumerators and Supervisors
 - iii. Anthropometry
 - iv. Data Entry, Treatment, and Analysis Plan
 - b. Qualitative Study (*Optional*)
- V. Deliverables, Timeline, and Report Outline
- VI. Contractor Responsibilities/Tasks
- VII. Contractor/Firm Qualifications
 - a. Contractor Qualifications
 - b. Subcontractor Qualifications
- VIII. Team Composition and Qualifications
 - a. Key Personnel
 - i. Baseline Study Team Leader
 - ii. Senior Survey Specialist
 - iii. Field Operation Manager(s)
 - iv. Anthropometry Specialist
 - b. Other Team Members
- IX. Baseline Study Management
 - a. Logistics
 - b. Schedule
- X. Evaluation Criteria for Proposals
- XI. Price Quote/Budget from Contractor/Firm
- XII. Intellectual Property

XIII. Ethical Guidelines

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

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

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

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

Awardees should brief the third-party firm on the cultural, political, and social contexts in which it will be collecting data to help it develop a survey design that will do no harm. The third-party firm should also demonstrate its understanding of how “do no harm” principles apply within the baseline study context. After the data collection, the third-party firm should advise the awardee of the steps it took to ensure the conflict sensitivity of its approaches for consistency during the final evaluation.

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

After the study is complete, the third-party firm will submit a draft study report to the awardee for comment by the awardee and USAID. After responding to the comments, the third-party firm will submit the final report for approval by the awardee and FFP. Once approved by the AOR, the firm must submit the report, supporting documents, and all related data sets to the awardee in time for submission to FFP and the DEC within 30 days (see [Section 4.3.1](#)).

Baseline Survey Design

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

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

Comparability with Final Evaluation

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

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

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

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

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

Baseline Survey Sampling

For FFP baseline surveys, sample size should be sufficient to detect a 6 percentage point, statistically significant reduction in stunting among children under 5 years of age between baseline and final evaluation surveys.

FFP requires that sample sizes be derived following the processes described in the [Sampling Guide and 2012 Addendum](#), using the following parameters:

- 95% confidence level for one-tailed test
- 80% power
- 8 percentage point reduction in the prevalence of stunting
- Design effect of 2

The sample should be appropriately inflated to account for nonresponse among sampled households and the uneven distribution of children under 5 years of age among households in the sample area. Survey implementers should refer to the 2012 Addendum to the [Sampling Guide](#) for the latest guidance on sample size inflation.

To draw a representative sample, the third-party firm must use probability-based methods, where every unit in the population has a known, non-zero probability of selection and where selections are made using well-established random mechanisms, such as PPS sampling or simple

random sampling. Sampling frames should ideally include every cluster (e.g., village or community) in the FFP activity implementation area. The third-party firm may be able to source information about the clusters from national census or DHS data.

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

- First stage: random selection of clusters (e.g., villages, communities, or enumeration areas) from all clusters in the sampling frame using PPS.
- Second stage: systematic selection of dwellings within clusters after canvassing and listing all dwellings in the sampled clusters. Methods that do not qualify as probability-based methods, such as “random walk,” are discouraged.
- Third stage: random selection of a single household within each selected dwelling.
- FFP advises against a fourth stage selection of individuals within households. Data should be collected for all eligible individuals in the selected household for indicators related to individuals (e.g., all children under 5 for stunting, all women of reproductive age for Women’s Dietary Diversity Score).

Qualitative Components

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

A qualitative component may be conducted after or during the quantitative study as part of the baseline study design.

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

- Component design and sampling frame
- Site selection and sampling methods
- Data collection methodology (including the fieldwork process and staffing plan)
- Training, data management, and analysis plan (including data collection, transcriptions, translations, coding and analysis, and quality assurance and control)

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

Intellectual Property

The SOW must clearly indicate the awardee’s, USAID’s, and the third-party firm’s rights to intellectual property produced under the baseline study. Unless otherwise provided in the award’s provisions, the awardee may retain the rights, title, and interest to data that are first acquired or produced under the award. With regard to USAID’s rights to the data, the SOW

should state the following: “USAID reserves a royalty-free, worldwide, nonexclusive, and irrevocable right to use, disclose, reproduce, prepare derivative works, distribute copies to the public, and perform publicly and display publicly, in any manner and for any purpose, and to have or permit others to do so.”

Ethical Guidelines

The SOW must clearly state that every member of the evaluation team must adhere to ethical guidelines as outlined in the *American Evaluation Association’s Guiding Principles for Evaluators*. A summary of these guidelines is provided below.

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

Table A1: Example of Baseline Survey Time Frame

Required technical expertise	Approximate level of involvement
Survey specialist with extensive experience and expertise in survey design, management and implementation	16 weeks
Data analyst to complement survey specialist’s skills	6 weeks
Anthropometry specialist with practical experience in anthropometry measurements, training, standardization, supervision, and guidance	8 weeks
If using computer-assisted personal interviewing (CAPI), a CAPI programmer	5 weeks
Database developer skilled in CSPRO, MS Access, SPSS, or other database application(s)	3 weeks
Field operations manager to coordinate survey implementation and data entry, particularly with supervisors, anthropometry teams, headquarters, government officials, awardee staff, data entry staff, and subcontractor	12 weeks
Qualitative researchers, if a qualitative component is planned, to carry out qualitative research, analyze qualitative information, and draft sections of report	8 weeks

Baseline Survey Budget

FFP recommends a baseline survey budget in the range of \$200,000–\$250,000. Typically, personnel costs comprise the largest part of the budget. In addition to enumerators, anthropometric measurement staff, supervisors, team leaders, and data entry staff, a baseline survey will require a survey specialist, a data analyst, an anthropometric specialist, a database developer, and a survey coordinator. The example provided in Table A1 provides some general input that can be used to develop a budget for the baseline. These time frames are illustrative. Timing and costs will vary significantly according to context. FFP may accept costs outside the recommended range, with justification.

Annex 2: Guidance to Develop Statements of Work for a Midterm Evaluation

Typical SOW components include:

- A. Introduction
 - Overview
 - Activity Background
- B. MTE Objectives
- C. MTE Methods
 - Key Evaluation Questions, Focus Areas, and Illustrative Methods
- D. Contractor Responsibilities:
 - Deliverables
 - Pertinent Permissions, Approvals, Insurance, and Other Required Permits
 - Time Frame
 - Logistics
- E. MTE Team Composition, Qualifications, and Roles
 - MTE Team Composition
 - MTE Team Members' Qualifications
 - MTE Team Members' Roles
- F. Activity Responsibilities
 - Provision of Secondary Data
 - Logistical and Administrative Advice and Support
- G. Intellectual Property
- H. Ethical Guidelines

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

A. Introduction

The introduction should outline the activity Goal and Purposes (including those for cross-cutting technical areas) and briefly describe the implementation setting, interventions, and factors that have significantly affected implementation so far. It should highlight new or unconventional approaches used in the activity's implementation and particular concerns or interests of either the awardee or USAID. The description should include a diagrammatic presentation of the activity's TOC or RF, with supportive narrative. Because the evaluation will focus on processes, this description must include key aspects of the activity's management and operations, including M&E.

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

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

B. MTE Objectives

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

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

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

To accomplish Objective 1, evaluators should assess the interventions undertaken to promote behavior change and new technologies plus activity implementation processes and approaches. For example, they must examine the internal activity management of staff and resources, consortium management, internal and external communication and coordination, community participation, problem solving, the M&E system, and partnerships with other activities, among others. Measures taken to protect the local ecology, ensure gender integration, conform to FFP regulations, and avoid unintentional harm must also be considered.

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

they should consider the accuracy and relevance of the pathways and critical assumptions of the activity's TOC or RF.

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

C. MTE Methods

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

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

Generally, FFP will not support costs for a large-scale, population-based quantitative survey as part of MTE primary data collection. Under exceptional circumstances, an awardee may request approval from the AOR and responsible FFP M&E team member for such a survey, but the request must include compelling justification for the expenditure. However, the evaluation team may use localized surveys to collect primary data to test a hypothesis, to capture beneficiary or non-beneficiary perceptions of a local implementation, or to cross-check local findings, as long as the evaluators explain the purpose, sampling methods, and potential biases and representativeness. Results from these surveys should not be extrapolated beyond the local context.

As part of the methods section, the SOW should alert applicants to factors in the activity context that could limit the use or effectiveness of certain methods or hinder investigation of certain topics due to contextual circumstances, for example, limited access, cultural practices, seasonality, or inter-group tensions.

The methods section should reference a list and descriptions of secondary data resources that the awardee will provide the MTE team (found in the "activity responsibilities" section of the

SOW) and indicate how far in advance of primary data collection the resources will be available to the team. These resources should include documentation describing the activity's M&E processes, including monitoring data bases; all reports from formative research, gender analysis, barrier analyses, and other special studies; and the data sets, analyses, and results of beneficiary surveys.

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

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

All MTEs for FFP-funded activities must use the following five categories of key evaluation questions to guide the inquiry for the required objectives (see "MTE Objectives," above):

For Objective 1:

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

For these questions, the evaluators may use secondary data from the activity proposal, detailed implementation plans, intervention reports, and other activity resources to compare plans to actual start dates and achievement of Outputs. To understand promoting and inhibiting factors, the evaluators should interview members from various stakeholder groups and compare and contrast achievements across different intervention sites, beneficiary groups, implementing partners, administrative units, geographic regions, etc.

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

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

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

To answer these questions, the technical experts should observe interventions to the extent possible and use other methods to further assess: the technical quality of interventions and Outputs; implementing staff members' accuracy of knowledge and level of confidence in delivering services and messages; how well intervention protocols meet national and international standards of good practice and match the priorities and contexts of the target communities; the level of satisfaction of beneficiaries with implementation methods, timing, location, etc.; environmental compliance; gender integration; level of community engagement; conflict-sensitivity and measures to do no harm; and how well the sector is integrated with the activity's other sectors.

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

For Objective 2:

4. *What changes—expected and unexpected, positive and negative—do community members and other stakeholders associate with the activity's interventions? What factors appear to promote and deter the changes? Which interventions appear to be more or less potential to influence knowledge or behaviors? How do the changes correspond to those hypothesized by the activity's TOC or RF?*

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

- Changes in behavior, practices, attitudes, and knowledge that individuals have made themselves or observed in others
- Changes that have occurred in the biophysical, social, or household environment (e.g., reduced erosion, better pasture condition, safer pesticide use, improved water quality, change in market prices or terms of trade between livestock and staple goods, reduced flooding of residences)

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

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

For Objective 3:

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

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

In addition to presenting these questions, the SOW should include (probably in an annex) a matrix that identifies more-detailed areas of focus for each question, aspects to consider within each focus area, and illustrative methods for investigation. An example of such a matrix is presented in Annex 3. This matrix should be tailored to the details and concerns of each activity. The awardee and USAID should use this matrix to clearly communicate to the evaluators the general and specific features and components of activity implementation that should be investigated and the level of detail that is desired. It should highlight areas of concern and optimism, as well as new or different approaches that were implemented in the activity.

D. Contractor Responsibilities

Deliverables

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

This section must specify that USAID’s evaluation policy requires that the report describe the strengths and limitations of the evaluation methods and how and to what degree these factors influenced the process and findings of the evaluation.

The SOW should specify that the report must clearly separate in different sections the evidence (i.e., raw data) collected by the evaluation team, the conclusions and recommendations that are based on the presented evidence. It should also state that sources of all evidence must be identified; conclusions must be based only on evidence presented in the report; and recommendations must directly correspond to the conclusions.

After the MTE is complete, the contractor/firm will submit a draft report to the awardee for comment by the awardee and USAID. After responding to the comments, the contractor will submit the final report for approval by the awardee and FFP. The final report must adhere to the requirements in USAID’s Evaluation Policy. Once approved by the AOR, the firm must submit the report, supporting documents, and related data sets to the awardee in time for submission to FFP and the DEC within 30 days (see [Section 4.3.1](#)).

This section may detail specific requirements for the content, format, or length of the final report.

Pertinent Permissions, Approvals, Insurance, and Other Required Permits

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

Time Frame

This section should identify the data collection period for the MTE, as agreed by the awardee and FFP (see [Section 4.2.1](#)), and provide an illustrative time allocation for the various stages of the evaluation. This will help USAID, the awardee, and MTE team estimate the financial resources needed for the evaluation. The time allocation should consider the number of team members and the accessibility of intervention sites. The SOW should also specifically state that the time frame provided is illustrative and subject to adjustment until the MTE work plan is finalized and approved by the awardee and USAID.

Logistics

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

E. MTE Team Composition, Qualifications, and Roles

MTE Team Composition

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

MTE Team Members' Qualifications

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

- Every team member's resume must show substantial application of qualitative research skills in developing countries.
- The team leader must have significant formal education in a field relevant to evaluation (e.g., program evaluation, statistics, economics, agricultural economics, anthropology, applied research, organizational development, sociology, or organizational change) at a post-graduate or an evaluation professional continuing-education level.

- The team leader must have extensive experience in evaluation using mixed methods of investigation (qualitative and quantitative) in developing countries. Knowledge of the conceptual framework of food security and experience evaluating food security programming is highly desirable.
- Each technical specialist should have a post-graduate degree in a field related to at least one of the technical sectors of the activity, plus extensive practical experience in developing countries with interventions similar to those implemented by the activity.
- At least one member of the team must have substantial demonstrated experience in gender integration.
- The MTE team should comprise technical expertise from all activity sectors and activity management.
- No member of the MTE team should have had any prior input to the activity's design or implementation.
- Having conflict sensitivity expertise on the MTE team is also desirable, particularly when an MTE will be undertaken in a context that is prone to violent conflict.

MTE Team Members' Roles

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

Team Leader

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

Technical Specialists:

- Lead the collection and analyses of primary and secondary technical data related to his/her field(s) of expertise, document findings, and draw conclusions and form recommendations for the sector(s)
- Evaluate the general aspects of the implementation of all interventions related to his/her sector(s). While the team leader will likely be tasked as the primary investigator for the

activity management overall, a technical specialist must consider management aspects of the implementation of interventions in his/her technical sector and the interaction between his/her technical sector and other activity sectors by examining:

- Staff and material resources
- Communication, both internal and external
- Community involvement
- Beneficiary targeting (especially overlap/consistency with other sectors)
- Management of food and non-food commodities
- Transfers of entitlements (food, non-food, cash)
- Branding
- Partnerships and linkages
- Consortium management
- Routine monitoring and data quality assurance for all interventions
- Exit/sustainability strategies
- Gender integration
- Environmental protection
- Draft the report sections assigned by the team leader in the specified format

F. Activity Responsibilities

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

Provision of Secondary Data

This section of the SOW should list the resources that the awardee will supply the team and the date when each resource will be available to the evaluators. To enable adequate time for secondary data analyses, the awardee's staff should assemble maps, documents, databases, and other resources for the evaluators' use and deliver them to the evaluators at least 2 months before the start of primary data collection, and the MTE team members should accomplish the review before arriving at the activity site. The contract should include at least 2–4 weeks of paid time during this period for each team member to review the secondary data. FFP recommends that awardees collect and archive these materials throughout the life of the activity rather than waiting until the evaluation time approaches. This should be part of the M&E Plan.

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

- Lists of intervention sites, identifying the type(s) of interventions at each location, with start dates of implementation, numbers of direct and indirect beneficiaries, quantities of commodities distributed, etc., for each type. (This list should include locations of all community assets developed or rehabilitated using activity resources, including those still in process of development or rehabilitation.)

- Food, voucher, cash, and non-food item distribution reports that include location of distribution; type of distribution; and planned and actual quantities, ration sizes, and timing of distributions
- Locations of all warehouses and identification of the managing organization, with uses and storage capacities
- Activity commodity management tools and reports
- Maps showing the activity area with administrative boundaries, roads, markets, food distribution points, intervention sites, partner offices, lodging, livelihood or ecologic zones, etc.
- Approved activity proposal narrative and relevant attachments with documentation of approved modifications
- Inception report
- Baseline study report and reports from all research conducted for the activity's benefit (e.g., formative research, barrier analyses, gender analyses, and market analyses)
- A current organogram of activity staff (with names and phone numbers for incumbents and notation of vacancies) showing partner organization and supervision/management lines
- Intervention implementation protocols and guidelines and identification of activity staff who use each
- Descriptions, dates, and numbers of beneficiaries of capacity building activities for activity staff and activity beneficiaries (individuals, groups, and communities)
- Complete M&E Plan, including monitoring tools, manuals, and reports
- Examples and lists of recipients of all types of M&E reports
- Activity monitoring databases
- Descriptions of the nature (e.g., format, location) and contents (e.g., type of data, period of collection) of the various data sets that the awardee will provide for the evaluation
- Exit strategy and sustainability plan
- IEE, EMMP, and all related reports
- All ARRs
- All PREPs

Logistical and Administrative Advice and Support

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

- Arrange meetings between the evaluation team and USAID, at a minimum at the beginning and end of the evaluation process
- Provide contact details for key partners' staff
- Provide administrative support: communication, photocopying, printing, etc.
- Advise about local protocols and permissions to gain entry to operational areas

- Provide advice and support related to travel (international travel, travel routes, security conditions, local vehicles, and drivers for hire)
- Identify local firms with potential to provide technical expertise, including translation, to the MTE team (Note: The awardee may not interact with the firm on the MTE team's behalf, discuss the evaluation with the firm prior to contracting, or contract the local firm)

G. Intellectual Property

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

H. Ethical Guidelines

The SOW must clearly state that every member of the evaluation team must adhere to ethical guidelines as outlined in the *American Evaluation Association's Guiding Principles for Evaluators*. A summary of these guidelines is provided below.

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

Annex 3: Matrix to Guide MTE Investigation of Key Evaluation Questions

Areas of focus	Aspects to consider	Illustrative methods of investigation/evaluation
1. How well have the activity's interventions met planned schedules, beneficiary numbers, and Outputs? What factors promoted or inhibited adherence to schedules? How were problems and challenges managed?		
Adherence to planned schedules	<ul style="list-style-type: none"> • Start dates and rates of expansion of coverage for each intervention • Numbers and timeliness of planned beneficiaries and Outputs, e.g.: <ul style="list-style-type: none"> ○ Formative research, barrier analyses, gender analysis ○ Various types of direct trainings ○ Indirect training through trainees, e.g., farmer to farmer or cascade training ○ Formation of or connections with community groups ○ Construction or rehabilitation of assets ○ Development and progress of community action plans ○ Distribution of cash and goods 	<ul style="list-style-type: none"> • Use secondary data from routine monitoring, ARRs, and other reports to compare planned and actual start dates, numbers of Outputs, and other targets, noting differences in achievements according to location, implementing partner, or sector. • Compare across locations, beneficiary groups, activity administrative units, etc. to identify factors associated with differing degrees of achievement. • Interview members of activity staff at various levels about factors that delayed or interrupted interventions and Outputs, and how problems were identified and managed. • Ask groups and individuals from different stakeholder groups at locations of greater and lesser achievements about factors they believed inhibited or promoted efficiency and efforts have been made to overcome barriers.
2. What are the strengths of and challenges to the overall activity design, implementation, management, communication, and collaboration so far? What factors appear to promote or challenge the activity operations or effective collaboration and cooperation among the various stakeholders?		
Activity management	<ul style="list-style-type: none"> • Strengths and weaknesses of the activity work plan and schedule • Evidence that management has explored and implemented new and/or innovative ideas and approaches • Changes and challenges in the operating context and how management responded 	<ul style="list-style-type: none"> • Review the activity work plan and schedule to assess how completely and clearly they define the work needed to meet objectives, when, and by whom. Is the schedule feasible? • Examine the roles of the different implementing partners and how the plan promotes good collaboration among them and leverages partners' relative advantages. • Interview members of management about Outcomes of work plan reviews and how they handled changes and challenges that presented. • Ask implementing staff in different roles how feedback and ideas are solicited and shared within and among partners, especially among field, country office, and headquarters.
Staffing	<ul style="list-style-type: none"> • Adequacy of numbers and capacities (knowledge, experience) from beginning of the activity until present • Strengths and weaknesses of supervision and support to ensure accountability, performance, and confidence among implementing staff • Adequacy or inadequacy of resources (tools, work space, transportation, communication, information, work aids) to support interventions' efficient performance at all times from start to current time • Gender sensitivity and balance at various levels of staff • Conflict sensitivity 	<ul style="list-style-type: none"> • Review the characteristics and capacities of staff at all levels in all sectors, and assess their confidence and capacities to perform assigned tasks. • Review training and supervision schedules for monitoring and supporting implementing staff, including an assessment of the numbers of people and sites per supervisor. • Interview a sample of field staff and supervisors in different sectors and interventions and at different levels about: <ul style="list-style-type: none"> ○ Factors that affect their performance and motivation ○ Sources of satisfaction and dissatisfaction with resources, training, supervision, and support from technical experts ○ Their roles in decisions about intervention design and implementation ○ Training they received
Community engagement and participation	<ul style="list-style-type: none"> • Strengths and weaknesses of the ways the activity has included community members, including vulnerable or marginalized members, in decisions about intervention choices, design, implementation, and monitoring • Community members' perceptions about their participation in the activity and the 	<ul style="list-style-type: none"> • Interview groups and individuals from different stakeholder groups about: <ul style="list-style-type: none"> ○ Who has been involved in the activity and how? ○ Who else would have liked to be involved, and how? ○ Satisfaction and dissatisfaction with the way activity staff and community members engaged ○ Reports of or potential for exploitation or discrimination by implementing staff or with activity resources

Areas of focus	Aspects to consider	Illustrative methods of investigation/evaluation
	<ul style="list-style-type: none"> degree and nature of their engagement with activity staff • Use of incentives of different types • Safeguards against exploitation and discrimination • Application of “do no harm” principles 	<ul style="list-style-type: none"> • Interview volunteers who contribute significant amounts of unpaid time to activity-supported interventions to learn what motivates their participation and performance.
Cultural acceptability	<ul style="list-style-type: none"> • Implementation methods: type, timing, style • Interactions between implementing staff and community members • Messages, and methods and timing of communication • Outputs 	<ul style="list-style-type: none"> • Interview members of target communities, government counterpart agencies, and field staff to assess perceptions and attitudes about the choice, implementation, and Outputs of interventions: <ul style="list-style-type: none"> ○ How well do the interventions address perceived needs? ○ What aspects do they like or dislike? ○ How would they prefer things to be done?
Communications	<ul style="list-style-type: none"> • Quality and timeliness of communications of vision, objectives, plans, implementation guidelines, and other activity information among activity staff, partners, government counterparts, and communities • Knowledge in various stakeholder groups about the activity • Strengths and weaknesses of the ways the activity encourages and handles feedback from community members, staff, and partners 	<ul style="list-style-type: none"> • Interview members of implementing partners, communities, government counterparts, and other stakeholder groups to assess: <ul style="list-style-type: none"> ○ Knowledge of objectives, interventions and implementation, intervention duration, eligibility, Outputs, and entitlement transfers ○ How and when they learned about activity objectives and interventions ○ Frequency and content of communications with other types of stakeholders ○ Satisfaction and dissatisfaction with ways feedback is received and responded to
Partnerships and linkages	<ul style="list-style-type: none"> • Consider collaboration and links with: <ul style="list-style-type: none"> ○ Other USAID activities ○ Government activities ○ Community based organizations ○ Other complementary activities in the activity area • Strengths and weaknesses of coordination within the activity and between the activity and other activities and agencies • Factors that make partnerships more or less beneficial to activity implementation 	<ul style="list-style-type: none"> • Interview implementing staff, government counterparts, members of CBOs, and staff of linked or collaborating activities about: <ul style="list-style-type: none"> ○ The nature and sources of satisfaction and dissatisfaction with their collaboration and ways that it could be improved ○ How they feel their cooperation benefits the implementation and results on both sides ○ Other activities, agencies, and groups that are doing similar or complementary work to which the activity is not linked • Review samples of activity’s memorandums of understanding with collaborators
Financial management	<ul style="list-style-type: none"> • Financial accountability • Sufficiency of finances to ensure good activity implementation • Flexibility of the budget to respond to changing conditions 	<ul style="list-style-type: none"> • Review financial records • Interview managers about: <ul style="list-style-type: none"> ○ The adequacy of finances and effects of financial constraints on activity implementation ○ Perceived limits of financial flexibility to respond to change
Branding	<ul style="list-style-type: none"> • Compliance with USAID policy • Knowledge and attitudes toward donor and implementers within target communities 	<ul style="list-style-type: none"> • Assess how well planned and actual actions do or do not comply with USAID branding requirements. • Interview beneficiaries and community leaders about their knowledge of and attitudes toward USAID and implementing partner agencies.
M&E	<ul style="list-style-type: none"> • Completeness and clarity of the documented M&E Plan • Ways the system: <ul style="list-style-type: none"> ○ Collects data useful to monitor the quality and Outputs of processes ○ Solicits and reports opinions, ideas, and concerns from field staff ○ Provides constructive feedback to implementing staff to inform, assist, and ensure accountability and motivate good performance ○ Ensures accurate reporting to USAID 	<ul style="list-style-type: none"> • Critically review the M&E Plan and systems: staffing, processes, and Outputs. • Interview staff in various roles in the collection, analysis, and reporting of routine monitoring about their activities and roles, to determine their understanding and confidence in the data collected, and challenges they face getting or using the data. • Interview recipients of reports and other Outputs about how they use the information they receive, which information is most useful, the timeliness of the information, and any other information they would like to have.

Areas of focus	Aspects to consider	Illustrative methods of investigation/evaluation
	<ul style="list-style-type: none"> ○ Supports timely problem solving and decision making for all stakeholders ○ Ensures data quality: validity, reliability, timeliness, integrity, and precision ○ Has been used to adjust implementation ○ Is or is not supported by the institutional structures ○ Monitors environmental impact ○ Monitors gender equity ○ Monitors context ○ Monitors unintentional results (positive and negative) ● Strengths and weaknesses of data collection methods ● Design; management; and roles in monitoring, analysis, and report generation of data bases. ● Challenges the M&E team faces 	<ul style="list-style-type: none"> ● Interview key decision makers about the timeliness and usefulness of the data from the M&E system.
Environmental safeguards and compliance	<ul style="list-style-type: none"> ● Adequacy of the EMMP ● Adherence to the details of the EMMP through specific environmental monitoring systems ● Incorporation of the EMMP into the IPTT and annual monitoring processes ● Recognition or avoidance of unforeseen environmental damage and climate stressors 	<ul style="list-style-type: none"> ● Examine how well planned and actual actions and Outputs do or do not comply with the activity's EMMP. ● Interview technical experts, implementing staff, and other key informants about activity interventions' apparent or potential threats to the environment and identify those not addressed by the EMMP and how well the activity implementation has addressed these threats.
Commodity management	<ul style="list-style-type: none"> ● Division of roles and cooperation among activity staff, external partners, and community members ● Common causes of delivery delays and commodity losses ● Adequacy of mechanisms to safeguard against loss or abuse ● Adequacy of mechanisms to ensure adherence to "do no harm" principles ● Quality and cleanliness of storage facilities ● Completeness and clarity of commodity records and reports 	<ul style="list-style-type: none"> ● Review processes and records related to tracking, management, and delivery of commodities to points of use or distribution: identify challenges and measures taken to address them. ● Inspect warehouses and storerooms of various sizes and managed by different entities. ● Interview people managing the resources about what is and is not working well, why, and how problems have been addressed.
Exit and sustainability strategies	<ul style="list-style-type: none"> ● Comprehensiveness of the exit and sustainability strategies ● Factors that threaten the continuation of targeted practices and services and the maintenance of new infrastructure ● Progress in implementing the strategy ● Ways the activity is strengthening or establishing links between communities and private or public financial or technical resources 	<ul style="list-style-type: none"> ● Critically review the exit and sustainability strategies and progress in its implementation in light of the findings related to the challenges to practices promoted by and threats to infrastructure developed by the activity. ● Interview key informants and beneficiaries about threats and promoters of targeted practices and infrastructure.
<p>3. In each technical sector, what are the strengths of and challenges to the efficiency of interventions' implementation and their acceptance in the target communities? How well do implementation processes adhere to underlying principles and activity protocols? What factors in the implementation and context are associated with greater or lesser efficiency in producing Outputs of higher or lower quality? Which interventions and implementation processes are more or less acceptable to members of the target communities and why?</p>		
<ul style="list-style-type: none"> ● Behavior change communication ● Direct and indirect training ● Health and nutrition ● Water, sanitation, and hygiene ● Agricultural production 	<ul style="list-style-type: none"> ● Application of findings from formative research and gender analyses to implementation ● Technical quality of activity Inputs and Outputs ● Strengths and weaknesses of how the various interventions engage target groups and protect against unintentional harm 	<ul style="list-style-type: none"> ● Review formative research and evaluate how well implementation has applied the findings. ● Observe interventions (training sessions, distributions, construction, community meetings, FSS or care group sessions...) and talk with implementing staff and direct beneficiaries about: <ul style="list-style-type: none"> ○ What interventions are more and less effective ○ What and how could interventions be improved

Areas of focus	Aspects to consider	Illustrative methods of investigation/evaluation
<ul style="list-style-type: none"> • Income generation • Savings and loans • Natural resource management and environmental protection • Women's empowerment and promotion of gender equity • Prevention of gender-based violence • Early warning systems and disaster risk reduction • Community governance • Food/cash for work 	<ul style="list-style-type: none"> • Selection of direct beneficiaries; coverage of target groups • Perceptions of quality, appropriateness, and use of distributed goods and promoted services • Composition, activities, and governance of groups created or promoted by the activity • Networks and connections facilitated by the activity • Collaboration with and support to relevant government service providers • Cultural acceptability and relevance of intervention methods and messages • Consistency of content and recipients' understanding of similar messages received via different pathways • Strengths and weaknesses of measures taken to ensure gender equity with regard to access to, participation in, and benefit from activity interventions • Strengths and weaknesses of linkages, coordination, and integration among the different sectoral and cross-cutting technical areas • Validity and comprehensiveness of assumptions in the activity's TOC that are critical to intervention implementation and Outputs 	<ul style="list-style-type: none"> ○ Which interventions are more or less interesting or useful ○ Who benefits; who should benefit; how are beneficiaries selected ○ Opportunity costs of participation in interventions ○ Knowledge and understanding of key activity messages • Talk with non-beneficiaries from the same communities about: <ul style="list-style-type: none"> ○ Which interventions are more or less interesting or seem more or less useful ○ Who benefits; who should benefit; how are beneficiaries selected ○ Perceptions about the benefits they could gain with participation in interventions • Compare and contrast men's and women's participation and perceptions. • Review messages on the same topic transmitted through different pathways for consistency and clarity. • Compare the understanding of the key messages of trainers and direct and indirect trainees. • Inspect the technical quality of community and household infrastructure and natural resources to which the activity contributed. • Examine the composition of the various groups created or supported by the activity: Who in the community did or did not join. Why or why not? How is the gender balance? Are marginalized groups represented? • Talk with members of groups formed or promoted by the activity about: <ul style="list-style-type: none"> ○ How the group was formed; level of satisfaction with group composition ○ Challenges and successes working as a group ○ Nature and adequacy of support from program ○ How and why the group chooses interventions ○ How members' other roles in the community affect their participation in the group • Examine beneficiary records to assess the proportion of households and communities that benefit from multiple sectors in different combinations: <ul style="list-style-type: none"> ○ Talk with program staff to understand who was targeted for multiple sectors and why. • Interview members of households benefiting from interventions in single and multiple program sectors about their participation; compare characteristics of those who benefit from one vs. multiple sectors. • Interview staff members about their interactions with staff working in other sectors, especially regarding site and beneficiary selection and developing messages to beneficiaries. • Interview members of various types of groups initiated by the activity about, e.g., making decisions, managing joint resources, and sharing information and experiences.

Areas of focus	Aspects to consider	Illustrative methods of investigation/evaluation
4. What changes—expected and unexpected, positive and negative—do community members and other stakeholders associate with the activity’s interventions? What factors appear to promote and deter the changes? How do the changes correspond to those hypothesized by the activity’s TOC or RF?		
Changes observed or reported	<ul style="list-style-type: none"> • The activity’s TOC or RF • Intended and unintended change • Positive and negative change • Differential change among beneficiaries (individual, community) of one sector, beneficiaries of multiple sectors, and non-beneficiaries • Differential change among beneficiaries representing different population sub-groups • Perceived benefits of participation in interventions from multiple sectors vs. a single sector • Perceived trajectory of change and conditions that threaten or promote sustained change • Changes in conditions related to assumptions 	<ul style="list-style-type: none"> • Interview community members (beneficiaries of one or more sectors and non-beneficiaries) and activity staff to gain perspectives about: <ul style="list-style-type: none"> ○ Changes they have made themselves, observed in others, or observe in the social, economic, or physical environment ○ Factors that promoted the changes ○ Barriers to changes intended by the activity ○ Conditions that promote or threaten sustained change • Technically evaluate how strategically selected infrastructural Outputs affect or can affect livelihoods, well-being, or environmental conditions.
5. Based on the findings from Questions 1–4, how could the activity be modified to improve its acceptability to targeted communities or the efficiency and effectiveness of its implementation? How should the activity’s TOC or RF be refined or modified?		
Based on findings from 1-4 above	<ul style="list-style-type: none"> • Observed and perceived strengths and weaknesses of the implementation so far • Factors in the design, implementation, and context that affect the efficiency or acceptability of the processes, Outputs, and Intermediate Outcomes • Targeted communities’ and individuals’ perceptions and priorities • Relative cost and feasibility and anticipated value of acting and benefiting within the life of the activity • Potential to advance the activity’s ultimate objectives and Goal 	<ul style="list-style-type: none"> • Use the results of inquiries to the questions above to form conclusions and recommend concrete actions to help improve activity performance and final results. • Prioritize the recommendations and identify the actor(s), the purpose for change, and anticipated benefits. All recommendations should be directly related to stated conclusions and based on evidence presented as findings.

Annex 4: Illustrative Indicator Performance Tracking Table

Indicator No.	Source	Indicator	Data Collection Method	Desired direction of change (+/-)	Cumulative (C) or Non-Cumulative (NC)	Base Value	Base Value Data Source	Fiscal Yr 1				Fiscal Yr 6				LOA value				Deviation Narrative/ Comment
								Target	Actual FY Value	% of Target Achieved	Deviation Narrative/ Comment	Target	Revised target	Actual	% of Target Achieved	Target	Revised target	Actual	% of Target Achieved	
Purpose 1:																				
Outcome Indicators																				
Sub Purpose 1.1:																				
Outcome Indicators																				
Intermediate Outcome 1.1.1:																				
Outcome Indicators																				
Output Indicators																				
Purpose 2:																				
Outcome Indicators																				
Sub Purpose 2.1:																				
Outcome Indicators																				
Intermediate Outcome 2.1.1:																				
Outcome Indicators																				
Output Indicators																				

The Excel Spreadsheet Template of the IPTT [is available here](#).