ADS Chapter 203

Assessing and Learning

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ADS 203 – Assessing and Learning
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ADS 203 – Assessing and Learning

203.1 OVERVIEW

Effective Date: 11/02/2012

USAID plans and implements programs designed to improve the development status of the people in the selected countries and regions around the world in which we work. In order to meet these development results and to ensure accountability for the resources used to achieve them, USAID Operating Units must strive to continuously learn and improve their approach in achieving results. The purpose of strong evaluation and performance monitoring practices is to apply learning gained from evidence and analysis. USAID must rely on the best available evidence to rigorously and credibly make hard choices, learn more systematically, and document program effectiveness.

As outlined in **ADS 200**, learning links together all components of the Program Cycle. Sources for learning include data from performance monitoring, findings of research, evaluations, and analysis commissioned by USAID or third parties, and other sources. These sources should be used to develop and adapt plans, projects, and programs in order to improve development outcomes. **ADS 202** provides more detail about learning and adapting during the implementation of projects and programs. This ADS Chapter focuses on carrying out the monitoring and evaluation components of the Program Cycle. In this process, USAID Operating Units must establish systems, methods, and practices for ensuring that quality evaluation and performance monitoring practices directly inform their implementation and adapting as well as contribute to Agency decisions and learning.

Performance monitoring and evaluation are mutually reinforcing, but distinct, practices. It is important to understand the difference between performance monitoring and evaluation, as each performs different functions:

- Performance monitoring is an ongoing process that indicates whether desired results are occurring and whether Development Objective (DO) and project outcomes are on track. Performance monitoring uses preselected indicators to measure progress toward planned results at every level of the Results Framework continuously throughout the life of a DO.

- Evaluation is the systematic collection and analysis of information about the characteristics and outcomes of programs and projects as a basis for judgments to improve effectiveness, and/or inform decisions about current and future programming. Evaluation is distinct from assessment, which may be designed to examine country or sector context to inform project design, or an informal review of projects. Evaluation provides an opportunity to consider both planned and unplanned results and to reexamine the Development Hypothesis of the DO (as well as its underlying assumptions) and to make adjustments based on new evidence.

203.2 PRIMARY RESPONSIBILITIES

Effective Date: 09/01/2008

For specific responsibilities of various USAID Missions and Regional Platforms, see **ADS 200.2**.

203.3 POLICY DIRECTIVES AND REQUIRED PROCEDURES

203.3.1 Evaluation

Effective Date: 01/17/2012

Evaluation is the systematic collection and analysis of information about the characteristics and outcomes of programs and projects as a basis for judgments to improve effectiveness, and/or inform decisions about current and future programming. Evaluation is distinct from assessment, which may be designed to examine country or sector context to inform project design, or an informal review of projects.

The purpose of evaluations is to ensure accountability to stakeholders and to learn to improve effectiveness. Evaluations may be undertaken at any level of a Mission's portfolio, from an individual award, to a project, to a Development Objective.

Evaluations ensure accountability to stakeholders by measuring project effectiveness, relevance and efficiency, disclosing those findings to stakeholders, and using evaluation findings to inform resource allocation and other decisions. For evaluation to serve the aim of accountability, metrics should be matched to meaningful outputs and outcomes that are under the control, or sphere of influence, of the Agency.

Evaluations that are well designed and executed can also systematically generate knowledge about the magnitude and determinants of project performance, which can be used to inform and improve project and strategy design and implementation. Learning requires:

- Careful selection of evaluation questions to test fundamental assumptions underlying project designs,
- Methods that generate findings that are internally and externally valid, and
- Systems to share findings widely and facilitate integration of the evaluation conclusions and recommendations into decision-making.

To facilitate sharing evaluation findings, evaluation reports must be submitted to USAID's central document repository, the Development Experience Clearinghouse (DEC), within three months of the evaluation's conclusion (see **EvalWeb**).

203.3.1.1 Impact and Performance Evaluations

Effective Date: 01/17/2012

Evaluations at USAID are categorized as either impact or performance evaluations.

a) **Impact evaluations** measure the change in a development outcome that is attributable to a defined intervention. Impact evaluations are based on models of cause and effect and require a credible and rigorously defined counterfactual to control for factors other than the intervention that might account for the observed change.

b) **Performance evaluations** often incorporate before-after comparisons, but generally lack a rigorously defined counterfactual. Performance evaluations focus on descriptive and normative questions:

- What a particular project or program has achieved;
- How it is being implemented;
- How it is perceived and valued;
- Whether expected results are occurring; and
- Other questions pertinent to program design, management, and operational decision-making.

Required evaluations (i.e. for large or pilot projects, **ADS 203.3.1.3**) at USAID must be led by an external team leader, managed in most cases by Program Office staff and supported by Development Objective (DO) team members, other knowledgeable members of a USG Operating Unit, or partner organizations.

In addition to required evaluations, USAID Missions/Offices are encouraged to conduct internal or self-evaluations as needed for management purposes or organizational learning.

203.3.1.2 Basic Organizational Roles and Responsibilities

Effective Date: 01/17/2012

Figure A below illustrates the evaluation roles and responsibilities of USAID program and technical offices.

Figure A: Roles and Responsibilities

	Program Offices	Technical Offices
Leadership	Identify an evaluation point of contact	
Training & Learning	Invest in training of key staff	
	Actively encourage staff to participate in an evaluation community of practice	
Planning	Ensure planning for evaluation questions in context of CDCS development	Provide relevant technical support to development of evaluation questions, PMPs and M&E Plans
	Ensure adequacy of Evaluation section of Mission portfolio wide PMP	
	Ensure M&E Plans are incorporated into Project Designs	
	Develop a budget estimate for evaluations	
	Allocate program funds for external evaluations (Goal: three percent of USAID Mission/Office's total program budget)	
Evaluation Scopes of Work and Evaluation Reports	Ensure that final scopes of work for external evaluations adhere to standards in Section 4 of Evaluation Policy	Provide relevant technical support to ensure that SOWs address standards of the Evaluation Policy
	Manage, in most cases, required external evaluations	
	Organize in-house peer technical reviews to assess quality of evaluation SOWs and draft reports	Participate in peer technical reviews
Evaluation Technical Support	Prepare a Mission Order on evaluation describing context-specific approaches	
Reporting & Knowledge Management	Include evaluation reporting and plans in the Performance Plan and Report annex on evaluation	
	Warehouse evaluation data	

203.3.1.3 When Is an Evaluation Appropriate?

Effective Date: 01/17/2012

Each USAID Mission/Office is required to conduct at least one evaluation of each large project it implements. For these purposes, a "large project" is one that equals or exceeds in dollar value the mean (average) project size for each Development Objective (DO) for the USAID Mission/Office (Washington Operating Units are exempted from this requirement as ADS 201 guidance on projects applies only to field operating units). All field Operating Units (OUs) should calculate the average project size at the Development Objective (DO) level (formerly known as a Strategic Objective or Assistance Objective). Use the definition for project provided in **ADS 200**. The goal of this approach is to ensure that major projects in each DO undergo evaluation, even when a DO is a relatively small share of an OU's budget. Missions can use several means of calculating a large project. The main principle is that Missions conduct an appropriate analysis to determine the mean project size and document their analysis. For more information on calculating the mean project size, please see the Evaluation Policy FAQs posted on **ProgramNet**.

In cases where there are factors that make it difficult to calculate mean project size – for example, when many projects are co-funded with other USG partners – USAID Missions/Offices should consult with PPL/LER to determine an appropriate means of calculation.

Additionally, any activity within a project involving untested hypotheses or demonstrating new approaches that are anticipated to be expanded in scale or scope through USG foreign assistance or other funding sources will, if feasible, undergo an impact evaluation. If it is not possible to effectively undertake an impact evaluation, USAID Missions/Offices may undertake a performance evaluation, provided that the final evaluation report includes a concise but detailed statement about why an impact evaluation was not conducted.

Regardless of whether an impact or performance evaluation is selected, the evaluation should be integrated into the design of the project. Any activity or project designated as a "pilot" or "proof of concept" will fall under this requirement.

For USAID Missions engaged in the preparation of a three- to five-year Country Development Cooperation Strategy (CDCS), mission leadership must identify at least one opportunity for an impact evaluation for each DO as well as high priority evaluation questions for each DO. Identifying key evaluation questions at the outset will improve the quality of the project design and guide data collection during implementation.

USAID Missions/Offices are encouraged to identify opportunities for evaluations at the program or sector level. This is particularly valuable in a period preceding the development of a new strategy.

USAID Missions/Offices may evaluate additional projects for learning or management purposes, at any point in implementation. Evaluations should be timed so that their findings can inform decisions such as exercising option years, designing a follow-on program, creating a country or sector strategic plan, or making a policy decision. In the course of implementing a DO, the following situations could serve as triggers for an evaluation:

- A key management decision is required, but there is inadequate information to make it;
- Performance information indicates an unexpected result (positive or negative) that should be explained, such as unanticipated results affecting either men or women (Refer to gender analysis conducted per **ADS 201**);
- Customer, partner, or other informed feedback, such as a contractor performance evaluation required by the Federal Acquisition Regulation (48 CFR Subpart 42.15) and USAID Acquisition Regulation (48 CFR Subpart 742.15)(**ADS 302.3.8.7**), suggests that there are implementation problems, unmet needs, or unintended consequences or impacts;
- Issues of sustainability, cost-effectiveness, or relevance arise;
- The validity of Results Framework hypotheses or critical assumptions is questioned, for example: due to unanticipated changes in the host country environment; or
- Periodic Portfolio Reviews have identified key questions that need to be answered or require consensus.

203.3.1.4 Planning Evaluations

Effective Date: 01/17/2012

Missions should be actively involved in evaluation planning to ensure the final product is useful. Stakeholders should be consulted to assist in prioritizing the evaluation questions. Evaluations may directly involve ultimate customers in data collection and analysis. Regardless of an evaluation's scope, the planning process should involve the following steps:

1. Clarify the evaluation purpose (including what will be evaluated, who wants the information, what they want to know, and how the information will be used);
2. Review and understand the development hypothesis as a basis for identifying evaluation questions;

3. Identify a small number of key questions and specific issues answerable with empirical evidence;

4. Consider past evaluations and research that could inform project design and evaluation planning;

5. Select evaluation methods that are rigorous and appropriate to the evaluation questions, specify methods with sufficient detail that findings will be reproducible; and

6. Plan for data collection and analysis, including gender issues.

These plans will be used to inform evaluation statements of work.

The scope of an evaluation will vary according to available management information needs and resources. During the design phase of each project, Missions will give consideration to the evaluations that will be undertaken, and identify key evaluation questions at the outset. This will improve the quality of the project design, guide data collection during implementation, and ensure evaluations are planned and used to inform decisions.

Significant attention is required to ensure that baseline data, including sex-disaggregated data, are collected using high-quality methods early in the project lifespan, before any significant implementation has occurred. Working closely with the Program Office, project managers will ensure that implementing partners collect relevant monitoring data and maintain data and documentation that can be accessed for future evaluations.

Evaluations will address the most important and relevant questions about project performance. The importance and relevance will be achieved by explicitly linking evaluation questions to specific future decisions made by USAID leadership, partner governments, and/or other key stakeholders.

Most evaluations will be conducted by external experts and managed by Program Office staff, with support from DO team members, other knowledgeable members of a USG Operating Unit, or partner organizations. Required evaluation teams (for large or innovative projects) will always be led by an independent expert outside USAID, with no fiduciary relationship with the implementing partner. To the extent possible, evaluation specialists with appropriate expertise from partner countries, but not involved in project implementation, will lead and/or be included in evaluation teams.

In cases where impact evaluations are undertaken to examine the relationship between an intervention or set of interventions and changes in key development outcome, a parallel contractual instrument may be established at the inception to accompany implementation. That contractual instrument will include sufficient resources for data collection and analysis. Under unusual circumstances, when a separate arrangement is

infeasible, implementing partners may subcontract an impact evaluation of a project subcomponent.

The USAID Mission/Office Program Office should manage evaluations. USAID Mission/Office management may make exceptions under unusual circumstances. Exceptions must be documented in the Mission's overall Performance Management Plan (PMP).

USAID Missions/Offices should devote approximately three percent of total program funding, on average, to external evaluation.

203.3.1.5 Statement of Work

Effective Date: 01/17/2012

A statement of work (SOW) will be needed to contract out evaluations to external entities. The SOW provides the framework for the evaluation and communicates the research questions. The Contracting Officer may have to place restrictions on an evaluation contractor's future work. For more information, see ADS 302, (specifically section 302.3.4.5 Organizational Conflicts of Interest and **Contract Information Bulletin (CIB) 99-17)** or **http://www.usaid.gov/business**.

A well-written statement of work should:

1. Describe the specific intervention, project/program, or process to be evaluated;

2. Provide a brief background on the development hypothesis and its implementation;

3. Identify existing performance information sources, with special attention to monitoring data;

4. State the purpose of, audience for, and anticipated use(s) of the evaluation;

5. Identify a small number of evaluation questions that are relevant to future decisions and answerable with empirical evidence;

6. Identify all evaluation questions for which gender-disaggregated data are expected; also identify questions for which an examination of gender specific or gender differential effects are expected;

7. Identify evaluation method(s) that will generate the highest quality and most credible evidence on each evaluation question, taking time, budget, and other practical considerations into account and specify methods with sufficient detail;

8. Describe how data collected on evaluation questions will be analyzed;

9. Describe strengths and limitations of the evaluation methods;

10. Specify the evaluation deliverable(s) and their timelines and logistics, including requirements for the transfer of data to USAID and expectations concerning evaluation team involvement in the dissemination of evaluation results;

11. Clarify expectations about the methodological and subject matter expertise and composition of the evaluation team, including expectations concerning the involvement of local evaluation team members (one team member should be an evaluation specialist);

12. Describe intended participation of USAID staff, implementing partners, national counterparts or customer/beneficiaries in the design or conduct of the evaluation;

13. Address scheduling, logistics and other support;

14. Clarify requirements for reporting and dissemination, including mandatory inclusion of Appendix 1 of the Mandatory Reference on Evaluation; and

15. Include a budget.

For more information, see the Evaluation Statement of Work Checklist: **http://transition.usaid.gov/policy/evalweb/evaluation_resources.html**.

203.3.1.6 Evaluation Methodologies

Effective Date: 01/17/2012

Evaluations will use methods that generate the highest quality and most credible evidence that corresponds to the questions being asked, taking into consideration time, budget, and other practical considerations. Both qualitative and quantitative methods yield valuable findings, and a combination is often optimal.

Depending on the scope, purpose, and key questions of the evaluation, the design and the types of methodology used may be relatively simple or more complex. For impact evaluations, USAID Missions/Offices should use experimental methods (randomization) or quasi-experimental methods. For performance evaluations, a mix of qualitative and quantitative methods applied in a systematic and structured way is optimal.

A number of tasks involved in all evaluations – measuring outcomes, ensuring the consistency and quality of data collected, establishing the causal connection between activities and outcomes, and identifying the influence of extraneous factors – raise technical or logistical problems that may not be easy to resolve. Therefore, when

selecting among evaluation methods, USAID Missions/Offices should consider issues such as:

- The nature of the information, analysis, or feedback needed;
- Cost-effectiveness;
- Cultural considerations;
- The timeframe of the management need for information;
- Time and resources available; and
- The level of accuracy required.

Careful consideration will help minimize unexpected technical or logistical problems.

If the purpose of the evaluation is to establish the impact of a project and if there are sufficient resources (funding, time, and technical expertise), more complex evaluation designs involving randomized techniques may be used. Randomization is best established at the beginning of a project as it may be difficult to define “pure” control groups after project implementation has begun. Two factors should be considered before embarking on this type of evaluation:

(1) The importance of maintaining control and treatment groups throughout implementation, and

(2) The need for a particularly high standard of data quality in order to maintain the integrity of the evaluation design.

Before settling on any particular method, evaluators should determine the extent and quality of existing data sources and potential biases, and take steps to minimize bias. USAID Missions/Offices should be as rigorous as possible in the evaluation data collection and analysis, regardless of the methodology.

Evaluation methods should use sex-disaggregated data and incorporate attention to gender relations in all relevant areas. Methodological strengths and limitations will be communicated explicitly both in evaluation scopes of work and in evaluation reports.

203.3.1.7 Participation in Evaluations

Effective Date: 01/17/2012

USAID Missions/Offices are strongly encouraged to include customers and partners (implementing partners, alliance partners, host-country government partners, and so forth) in planning and conducting evaluations. Evaluations will be undertaken so that they are not subject to even the perception of biased measurement or reporting due to

conflict of interest or other factors. In most cases, evaluations should be externally-led (i.e., a third-party contractor or grantee, managed directly by USAID), and the contract or grant for the evaluation should be managed by the USAID Mission/Office's Program Office.

For required evaluations (i.e. large or innovative), the evaluation team leader must be an independent expert from outside USAID, with no fiduciary relationship with the implementing partner.

In cases where USAID Mission/Office management determines that appropriate expertise exists within the Agency and that engaging USAID staff in an evaluation will facilitate institutional learning, an evaluation team may be predominantly composed of USAID staff. However, an outside expert with appropriate skills and experience will be recruited to lead the team, mitigating the potential for conflict of interest. The outside expert may come from another USG agency uninvolved in project implementation or be engaged through a contractual mechanism.

For non-required evaluations (i.e. neither large nor innovative), funding may be dedicated within a project design for implementing partners to engage in evaluative work for their own institutional learning or accountability purposes. In cases where project funding from USAID supports an evaluation conducted or commissioned by an implementing partner, the findings from that evaluation must be shared in written form with the responsible technical officer within three months of the evaluation's conclusion.

203.3.1.8 Documenting Evaluations

Effective Date: 11/02/2012

Evaluation reports must meet the following criteria:

1. Evaluation reports must represent a thoughtful, well-researched, and well-organized effort to objectively evaluate what worked in the project, what did not work, and why.

2. Evaluation reports must address all evaluation questions included in the scope of work. The evaluation report should include the evaluation statement of work as an annex. The technical officer (who is the COR when the evaluation is conducted by a contractor) must agree upon, in writing, all modifications to the statement of work, whether in technical requirements, evaluation questions, evaluation team composition, methodology or timeline.

3. Evaluation methodology must be explained in detail and all tools used in conducting the evaluation such as questionnaires, checklists, and discussion guides will be included in an annex in the final report.

4. When evaluation findings address outcomes and impact, they must be assessed on males and females.

5. Limitations to the evaluation must be disclosed in the report, with particular attention to the limitations associated with the evaluation methodology (selection bias, recall bias, unobservable differences between comparator groups, etc.).

6. Evaluation findings must be presented as analyzed facts, evidence, and data and not based on anecdotes, hearsay, or simply the compilation of people's opinions. Findings should be specific, concise, and supported by strong quantitative or qualitative evidence.

7. Sources of information must be properly identified and listed in an annex.

8. Recommendations must be supported by a specific set of findings and should be action-oriented, practical and specific, with defined responsibility for the action.

USAID Missions/Offices must maintain appropriate documentation at the conclusion of any evaluation. The nature of the documentation will vary depending on the formality, importance, scope, and resources committed to the evaluation. At a minimum, documentation should highlight:

1. Raw quantitative data and any code books;

2. Scope and methodology used to collect and analyze data;

3. Important findings (empirical facts collected by evaluators);

4. Conclusions (evaluators' interpretations and judgments based on the findings);

5. Recommendations (proposed actions for management based on the conclusions);

6. Disclosure of conflict of interest and statement of differences, if any; and

7. If appropriate, lessons learned. Generally, evaluations at the project level are not expected to produce lessons learned that are broadly generalized to different contexts unless they use impact evaluation methodologies.

Evaluation reports should be readily understood and should identify key points clearly, distinctly, and succinctly. All reports should include an executive summary that presents a concise and accurate statement of the most critical elements of the report.

Evaluation Reports must follow all USAID Branding and Graphic Standards (see **http://transition.usaid.gov/branding/USAID_Graphic_Standards_Manual.pdf**). In

addition, the cover of an evaluation report should provide enough information that a reader can immediately understand that it is an evaluation and what was evaluated. As described in **Evaluation Report How-To Note**, all evaluation report covers should:

1. Include a title block in USAID light blue background color;

2. Include the word "Evaluation" at the top of the title block and center the report title underneath that. The title should also include the word "evaluation";

3. Include the following statement across the bottom of the cover page: "This publication was produced at the request of the United States Agency for International Development. It was prepared independently by [list authors and/or organizations involved in the preparation of the report]"; and

4. Feature one high-quality photograph representative of the project being evaluated and include a brief caption on the inside front cover explaining the photo with photographer credit.

203.3.1.9 Responding to Evaluation Findings

Effective Date: 01/31/2003

USAID Missions/Offices should address findings and recommendations of evaluations that relate to their specific activities and Development Objectives (DOs). To help ensure that institutional learning takes place and evaluation findings can be used to improve development outcomes, Missions should take the following basic steps upon completion of the evaluation:

1. Meet with the evaluation team to debrief and discuss results or findings and provide feedback on any factual errors;

2. Review the key findings, conclusions, and recommendations systematically;

3. Determine whether the team accepts/supports each finding, conclusion, or recommendation;

4. Identify any management or program actions needed and assign responsibility and the timelines for completion of each set of actions;

5. Determine whether any revision is necessary in the joint country assistance strategy or USAID country development cooperation strategy, results framework, or project, using all available information; and

6. Share and openly discuss evaluation findings, conclusions, and recommendations with relevant customers, partners, other donors, and stakeholders, unless there are unusual and compelling reasons not to do

so. In many cases, the USAID Mission/Office should arrange the translation of the executive summary into the local written language.

203.3.1.10 Sharing Evaluations to Enhance Agency Learning and Transparency

Effective Date: 01/17/2012

Evaluation is useful when it provides evidence to inform real-world decision-making. Every step of USAID's Program Cycle – from design to implementation to evaluation – should be undertaken from the perspective not only of achieving development objectives, but enriching the Agency's knowledge base for improved policies, strategies, and projects. USAID Missions/Offices will promote transparency and learning by sharing information about evaluations when the evaluation design is agreed upon and when the evaluation report has been completed.

USAID Missions/Offices will provide information through FACTS Info about completed evaluations and the initiation of evaluations and expected timing of release of findings. This information will be included in the annual Performance Plan and Report (PPR) Evaluation Registry and communicated to the public on the USAID Web site.

Evaluation reports must be provided to the Development Experience Clearinghouse (DEC): **dec.usaid.gov** within three months of the evaluation's conclusion. The evaluation reports will be accessible for use in planning and assessing other programs. If the evaluation was not "finalized," the USAID Mission/Office should submit the last draft it received. If appropriate, the USAID Mission/Office may also submit the response (if any) of the DO team, USAID Mission/Office, or counterpart agency.

Exception: In cases where national security considerations and/or proprietary information may be involved, USAID Missions/Offices may request an exception from this requirement. Exception requests should be submitted to the Bureau for Policy, Planning, and Learning, Office of Learning, Evaluation, and Research.

All data sets collected by USAID or one of the Agency's contractors or grantees for the purposes of an evaluation must be uploaded and stored in a central database. The data should be organized and fully documented for use by those not fully familiar with the project or the evaluation. Until this database is established, data can be submitted to **DevelopmentData@usaid.gov**.

USAID Missions will encourage the utilization of evaluation findings in their Mission Orders and highlight evaluation findings in their Country Development Cooperation Strategies. To encourage the highest quality standards of evaluations, the Bureau for Policy, Planning, and Learning, Office of Learning, Evaluation, and Research may conduct or commission technical audits of agency evaluations. These audits would determine whether evaluations meet the standards of the USAID Evaluation Policy, and how evaluation findings are being used for decision-making by USAID Missions/Offices.

203.3.2 Performance Monitoring

Effective Date: 11/02/2012

The requirements in this section apply primarily to USAID Missions/Offices overseas. The requirements that apply to Washington as well as field operating units are: annual reporting on results (**203.3.14)** and conducting Data Quality Assessments on any data reported externally (**203.3.11.3**). Washington Operating Units may apply any aspects of **203.3.3** covering Performance Management Plans and **203.3.12** on Portfolio Reviews that they find useful for their programs and priorities.

Performance monitoring is the ongoing and routine collection of performance indicator data to reveal whether desired results are being achieved and whether implementation is on track. Performance monitoring continues throughout the life of an activity, a project, and a Mission's Country Development Cooperation Strategy (CDCS). "Results" include Goals, Development Objectives, Intermediate Results, sub-Intermediate Results, Project Purpose and Project Outputs, as specified in a Mission's CDCS or project Logical Framework (LogFrame).

Performance monitoring bridges and informs all components of the Program Cycle, from the CDCS to Project Design and implementation and evaluation. Project managers and Development Objective (DO) teams analyze performance by comparing actual results achieved against the targets initially set at the beginning of a project, activity, DO, etc. This analysis is critical in determining the progress made in achieving the impacts and outcomes identified in the CDCS results framework and/or project LogFrame. Missions should use this analysis and knowledge gained to confirm or refute the assumptions and hypotheses stated in the CDCS Results Framework or project LogFrame, in order to adapt projects and objectives as necessary.

Performance Indicators measure a particular characteristic or dimension of strategy, program, project, or activity level results based on a Mission's CDCS Results Framework or a project's logical framework (LogFrame). Performance indicators are the basis for observing progress and measuring actual results compared to expected results.

Performance indicators help answer the extent to which USAID is progressing towards its objective(s), but alone cannot tell the manager why such progress is or is not being made. Data for performance indicators are collected periodically and analyzed in order to inform judgments about the characteristics and outcomes of programs and projects as a basis to improve effectiveness, and/or inform decisions about current and future programming. (See **ADS 203.3.2**)

Context indicators measure conditions relevant to the performance of projects and programs, such as macro-economic, social, or political conditions, critical assumptions of a CDCS, and the assumptions column of project LogFrames. Context indicators do not directly measure the results of USAID activities, but rather the factors that are beyond the management control of the Mission. For example, they can be used to indicate when the country context changes to the extent that the project must be

adapted to be successful. Because assumptions must hold true for a strategy or project to be achieved, Missions should devise ways of tracking assumptions as well, either by identifying context indicators (i.e. percent of GDP generated by oil, specific legislation passed, etc) or by identifying general conditions (i.e. stability after elections, government statements of support for given issue, etc).

203.3.2.1 Performance Monitoring Roles and Responsibilities

Effective Date: 11/02/2012

Each USAID Mission must comply with the following set of performance monitoring responsibilities:

- Identify a performance monitoring point of contact (POC) within the Mission program office. This may or may not be the same person as the evaluation point of contact. This individual will ensure compliance with performance monitoring across the breadth of the Mission's projects, and will interact with the technical office staff in the Mission.

- Prepare Monitoring and Evaluation (M&E) elements as part of the Country Development Cooperation Strategy (CDCS) process.

- Prepare and update, as needed, a Mission Order on performance monitoring describing the context-specific approaches and expectations regarding performance monitoring, including roles and responsibilities of program and technical offices. Mission Orders on performance monitoring may be separate or combined with evaluation Mission Orders.

- Prepare a mission-wide Performance Management Plan (PMP) covering the Goal, Development Objective (DO) and Intermediate Result (IR) levels of the Mission's results framework after CDCS approval, and update the PMP with relevant project indicators as new projects are designed.

- Prepare project M&E plans as part of the Project Design process.

- Collect, maintain, and review performance data; review targets at least annually and update, if needed.

- Prepare an annual report that details results achieved in a fiscal year and set targets for out years (Performance Plan and Report).

- Complete data quality assessments for all performance data submitted to Washington.

- Prepare data, trends, and analysis for any information needed for Portfolio Reviews.

Ultimately, it is the collective responsibility of the entire Mission for ensuring high quality performance monitoring. However, each office in a Mission has a different and valuable role to play. Experience has shown that the following performance monitoring roles and responsibilities within a Mission are typical but can be adjusted for each Mission (See **Figure 1: Illustrative Performance Monitioring Responsiblities** below).

Figure 1: Illustrative Performance Monitoring Responsibilities

	Program Office	**Technical Office**
Performance Monitoring Procedures	Identify monitoring point of contact that will be responsible for managing the performance monitoring and evaluation processes at a Mission; prepare Mission Order on performance monitoring or update Mission Order on evaluation.	Stay up-to-date on performance monitoring requirements and assist with team specific performance monitoring and evaluation processes; participate in Mission Order development and finalization.
CDCS	Ensure CDCS references the underlying evidentiary base (past evaluations, analysis, etc); and includes required M&E elements, such as illustrative performance indicators and evaluation questions.	Develop illustrative performance indicators for each component of the results framework and evaluation questions for each DO.
Performance Management Plan	Lead the overall PMP process and serve as a resource for Mission requirements and the approval process. The Program Office is responsible for collecting CDCS Goal level indicators. Assists technical staff with completing Performance Indicator Reference Sheets.	Develop indicators at DO, IR and sub-IR levels; develop DO evaluation plan; and finalize the relevant sections of the PMP. Ensures that Performance Indicator Reference Sheets are completed.
Project M&E Plans	Ensure project M&E plans meet requirements and are consistent with Mission CDCS, and are reflected in the Mission-wide Performance Management Plan.	Prepare project M&E plan as part of the project design process.
Activity/Award Level M&E Plans	Serve as a resource to Contracting Officer's Representatives (CORs) and Agreement Officer's Representatives (AORs) to review or comment on activity level M&E plans and their contribution to project M&E plans and the Mission PMP.	Approve activity M&E plans submitted by partners; ensure activity level plans are consistent with and feed into the project M&E

	Program Office	Technical Office
		plan; and ensure that the M&E plan meets any contractual requirements.
Collecting performance information	Ensure each technical office or project manager has arranged for collection of indicator data, as needed. May manage contracts to ensure collection of certain contextual or high-level indicator data.	Ensure data is collected and reliable. May collect data directly or from implementers or other sources. Work with implementers to resolve any problems with data collection.
Maintaining performance information	Plan, develop and maintain mission-wide PMP and related performance information systems.	Share data with the program office or contribute data to performance information systems on a regular basis.
Reviewing Performance Information	Set up the overall Mission process for reviewing and analyzing performance results, particularly portfolio reviews.	Review and provide analytical insight for data collected or provided by implementers and others and identify key issues and corrective action as necessary for activity, project, or DO management. Review performance data regularly, particularly prior to portfolio review. Conduct activity level oversight, such as site visits, in accordance with USAID policy and AOR/COR responsibilities.
Data Quality Assessments	Ensure the data reported to Washington meets USAID data quality standards. Provide input into data quality assessments. Flag data quality issues and limitations and maintain documentation on data quality issues.	Lead DQAs and identify quality issues and solutions on the basis of the DQAs or as they become apparent during the life of the strategies and projects.
Annual Performance	Lead overall process, review information provided by technical offices, submit the	Provide performance information to program

	Program Office	Technical Office
Plan and Report	report to the Office of the Director of Foreign Assistance, liaise with the regional bureau program office. Ensure that any critical revisions identified during the Washington PPR review process are completed.	office, including both indicator data and required narrative. Help make critical revisions identified during the Washington review process.
Annual Portfolio Review	Review project level results and data and assist technical offices and project managers in analyzing performance data. Ensure high quality standards for Mission's portfolio reviews and that recommendations and action items are documented. Review and analyze DO indicators and identify/solicit appropriate issues for portfolio reviews.	Summarize performance results for portfolio review, develop summary write-ups, and assist in completing data tables and trends analysis.
Alignment with Interagency Data Needs	Coordinate with other USG agencies to ensure consistency of PMP indicator selection and reporting with inter-agency data needs for USG Initiative Reporting (i.e., GHI, PMI, PEPFAR, GCC, FTF, etc).	Coordinate at technical level with other USG agencies on data collection and reporting.

203.3.2.2 Key Principles for Effective Performance Monitoring

Effective Date: 11/02/2012

To implement performance monitoring effectively, Missions should demonstrate a commitment to key principles and practices that foster a performance-oriented culture. USAID's credibility is enhanced when its Missions employ the following principles and practices as a regular part of their performance monitoring efforts:

a. **Plan early for performance monitoring.** Missions should plan for performance monitoring while developing Country Development Cooperation Strategy (CDCS) or project design and document performance monitoring in the Performance Management Plan (PMP). Starting early is critical because assembling the various elements of the monitoring system takes time. For example, when working on a preliminary PMP, some Missions may discover that data to measure performance are inadequate or unavailable. They may need to establish new plans to collect data that are adequate and available.

b. **Seek participation.** USAID Missions can strengthen performance monitoring (and evaluation) by involving beneficiaries, partners, stakeholders, and other USAID and USG entities in the following performance management steps, for instance:

(1) Developing PMPs and Project Monitoring and Evaluation (M&E) plans;

(2) Collecting, interpreting, and sharing performance monitoring information and experience;

(3) Jointly defining a critical set of performance indicators;

(4) Integrating USAID performance monitoring efforts with similar processes of partners; and

(5) Assisting partners to develop their own performance monitoring.

Missions should identify the needs for host country or local organization capacity building in this area at the beginning of a project or activity and budget adequate funds.

c. **Be practical and efficient.** Missions should only collect and report on the information that is directly useful for management. More information is not necessarily better because it markedly increases the management burden and cost to collect and analyze. Where possible, Missions should align their performance monitoring needs with those of their host country counterparts, other donors, and implementing partners. This should lessen the overall data collection burden and help promote aid effectiveness. Missions should ensure that data collection and reporting requirements are included in acquisition and assistance instruments, and that partner reporting schedules provide information at the appropriate times for Agency and USG reporting. (For specific information on streamlining planning and reporting, see **ADS 201mag, Interim Streamlining of Foreign Assistance Planning and Reporting Processes & Selected Findings from Surveys of Contributors and Users**.)

d. **Be transparent.** USAID Missions should share information widely and report candidly. Transparency involves:

(1) Clearly and accurately conveying the problems that impede progress and the steps that are being taken to address them;

(2) Communicating any limitations in data quality so that achievements can be honestly assessed; and

(3) Clearly communicating when results are achieved jointly with the host country or other development partners.

203.3.2.3 Budgeting for Performance Monitoring

Effective Date: 11/02/2012

Missions must include sufficient funding and personnel resources for performance monitoring work, including funds for capacity improvement in host country or local organization partners, in their budgets. Experience has shown that five to ten percent of total program resources should be allocated for both Monitoring and Evaluation. This includes the required three percent of program funds for evaluations (See **203.3.1.4**).

Missions must make an effort to keep the performance monitoring system cost-effective. USAID data collection requirements should be integrated in performance monitoring activities and the work plans of implementing partners. Integrating USAID and partner efforts reduces the burden on USAID and ensures that partner activities and USAID plans are well-aligned.

If anticipated costs appear prohibitive, Missions should consider:

- Revising the data sources and/or collection method for performance indicators, or selecting other performance indicators with less expensive data collection methods; or

- Assessing and possibly modifying the relevant outcome and/or intermediate result statements and corresponding indicators when it is not feasible to accurately and reliably monitor progress at reasonable costs. (See **ADS 201** for a discussion of Results Frameworks, Project LogFrames and their components.)

In some situations, expensive technical analyses or studies, such as the Demographic and Health Surveys (DHS), are vital to monitoring performance and are important ingredients of the development activity itself. Where possible, these studies should be coordinated with partners, other donors, and USAID/Washington pillar and regional bureaus to ensure cost-sharing and coordination with host country monitoring and reporting systems in accordance with Paris Declaration principles.

203.3.2.4 Performance Monitoring in the CDCS

Effective Date: 11/02/2012

Each Country Development Cooperation Strategy (CDCS) must include a results framework with at least one, but no more than three, performance indicator(s) for the CDCS Goal and each Development Objective (DO), Intermediate Result (IR), and sub-IR. These performance indicators will be further developed and refined, along with baselines and targets, during the development of the Mission's Performance Management Plan and the project design. The purpose of these indicators is to allow Missions to track achievement of the longer-term outcomes articulated in DOs and IRs.

203.3.3 Performance Management Plan (PMP)

Effective Date: 11/02/2012

A Performance Management Plan (PMP) is a tool to plan and manage the process of monitoring, evaluating, and analyzing progress toward achieving results identified in a

CDCS and project LogFrame in order to inform decision-making, resource allocation, learning, and adapting projects and programs.

Each Mission must prepare a mission-wide PMP that includes performance indicators, baseline data, and targets for the CDCS Results Framework and project LogFrames. PMPs should be mission-wide rather than separate documents for each DO. Missions or offices that do not have a CDCS are still required to have a PMP that covers any projects or activities they fund. The mission-wide PMP differs from project level and activity level monitoring and evaluation plans (see **ADS 203.3.4** and **203.3.5**).

Experience has shown that four to six months after CDCS approval is the right timeframe to develop PMPs that include well-defined indicators at the Goal, DO, and IR level. Missions should consider the following factors when setting the timeframe to complete their PMPs:

- In order to effectively capture results during the full strategy period, baselines must be collected and targets must be established as soon after CDCS approval as possible. This includes collecting baseline data and setting targets by sex or other applicable categories;

- Performance Plan and Report (PPR) reporting and required data quality assessments necessitates that baselines be established in a timely manner; and

- Portfolio reviews and other management needs for information necessitates that CDCS indicator data be available when needed for decision-making.

Performance Indicators in the PMP will be further refined during the project design process (i.e. they do not have to duplicate the illustrative performance indicators included in the CDCS). As new projects are designed, the PMP must be updated from the IR level down (or DO or sub-IR depending on where the Project Purpose is fixed); incorporating relevant indicators from the project M&E Plan (see **203.3.4** for project M&E Plan).

203.3.3.1 Format and Content of Performance Management Plans

Effective Date: 01/22/2013

There is no standard format for PMPs. USAID Missions should use a format that best fits their management and communication needs. The following information should be included in a mission-wide PMP:

a. The full set of **Performance Indicators** to measure progress for the CDCS Results Framework and the project LogFrame, identified in the project M&E plan (**ADS 203.4**). Initially, PMPs may only have indicators corresponding to the highest levels of a Mission's results framework and activities from the existing portfolio. As new projects are designed over time, the PMP must be updated with relevant indicators. Indicators to track assumptions should be included as

well. (See section **203.3.2.2** for further discussion on Standards and Criteria for Performance Monitoring.)

b. Any **Context Indicators** for tracking the broader context in which strategies and projects are being implemented.

c. Description of the **data quality assessment procedures** that will be used to verify and validate the measured values of actual performance of all the performance information.

d. An **Evaluation Plan** to identify and track evaluations across the Mission and over the entire CDCS timeframe. Evaluation plans should include (at minimum) the project/activity/program to be evaluated, evaluation type, possible evaluation questions, estimated budget, planned start date and estimated completion date. For more information on multi-year evaluation plans, refer to the Evaluation Policy FAQs.

e. A **schedule of performance monitoring tasks and responsibilities** that the Mission will conduct over the expected life of the CDCS; typical performance monitoring tasks include:

- Collecting and analyzing data,
- Assessing data quality,
- Updating and revising the PMP (particularly when new projects are designed), and
- Designing and conducting evaluations as planned/needed and following the Agency Evaluation Policy.

f. **Performance Indicator Reference Sheets for** all performance and context indicators. Reference data for each indicator includes:

- The definition of the indicator;
- Its link to the Result Framework and LogFrame;
- Unit of measure;
- Whether and how the data must be disaggregated (by sex, age, or other category);
- Data source;
- Method of data collection, construction, and/or analysis;

- Reporting frequency;
- Known data quality limitations, relative to the five standards of data quality;
- Date of last DQA and DQA reviewer for all indicators that a Mission plans to report externally;
- Responsible office and individual for collection and analysis; and
- Any changes to the indicator reference data over time.

Please see: **http://kdid.org/kdid-lab/library/recommended-performance-indicator-sheet**.

g. Tracking tables for all performance indicators to include baseline values and timeframes, targets and rationales for targets, and actual values. The data tables must be updated, at minimum, on an annual basis. In order to facilitate data analysis and use for management purposes including preparation for portfolio reviews, Missions are encouraged to maintain performance monitoring information systems that will serve as a repository and enable analysis of performance indicator data collected for PMPs and project M&E plans. No one agency-wide system is prescribed. Basic spreadsheets or database applications that allow users to visualize and analyze trends in their performance data are preferred to keeping tables of indicator data in Word documents. Larger Missions are encouraged to move to automated systems. Missions are encouraged not to invest in developing new systems, but to consider implementing one of several already in use throughout the Agency, such as Aid Tracker, or other local systems. (ProgramNet includes examples.)

Missions must update indicator reference data, evaluation plans, and schedule of tasks, as part of the Mission Portfolio Review process, or as needed to reflect changes in the CDCS or project LogFrames.

203.3.4 Project Monitoring and Evaluation (M&E) Plans

Effective Date: 11/02/2012

Missions must develop a Project Monitoring and Evaluation Plan (M&E) plan during project design, and include it as an annex to their project appraisal document (PAD) (**ADS 201.3.9.4**). The project M&E plan serves to measure progress towards planned results and identify the cause of any delays or impediments during implementation. The M&E Plan for the project:

- Provides a framework for monitoring and evaluation that pulls together performance information from all activities contributing to a project;

- Identifies what questions will be addressed through evaluation, sketches out evaluation methods or approaches, and plans any data collection additional to that identified for monitoring; and

- Constitutes one component of a broader mission learning plan that guides Missions in strengthening the evidentiary base of their portfolios, speeds learning and adapting project implementation to achieve high quality development results as quickly and sustainably as possible.

203.3.4.1 Project M&E Plan and the CDCS

Effective Date: 11/02/2012

As outlined in **ADS 201.3.7**, the project is integrally linked to the CDCS Results Framework. The Mission's results framework shows which development results will be achieved, and the project Logical Framework (LogFrame) shows how the results will be achieved. Project Goal and Purpose Indicators should be consistent with those included at the relevant levels in the CDCS.

203.3.4.2 Project M&E Plan and the Mission-wide PMP

Effective Date: 11/02/2012

The project M&E plan folds into the mission-wide Performance Management Plan (PMP), which includes Goal and Development Objective (DO) level indicators from the CDCS Results Framework as well as the relevant indicators and evaluation questions from all project M&E Plans. Thus, project indicators (at the Purpose and Output levels from the LogFrame) and evaluation questions from the project M&E Plan must be included in the PMP as they are developed. Project teams should work with a Mission's program office to ensure that the mission-wide PMP is regularly updated from new project M&E plans (see **203.3.3**).

203.3.4.3 Project M&E Plan: Monitoring

Effective Date: 11/02/2012

The project shifts the focus of performance monitoring, therefore raising the focus of the project manager to a higher level than activities or implementing mechanisms alone. For example, in cases where achieving the project purpose relies on the contributions of another donor or actor, e.g. an anti-corruption activity (input), or policy reform on the part of the host government (output), even if these project contributions are in the Assumptions column of the Logical Framework, the Monitoring Plan should include indicators that track the accomplishment of those inputs and outputs. Then if the other donor's or host government's implementation changes, the Mission is tracking that data, and can act quickly to adapt. This could require new approaches to data collection other than requiring it from implementers, including the generation of primary data. It may be that some member of the project management team has the responsibility for gathering data on a particular indicator directly from the other donor or host government entity.

The Monitoring portion of the project M&E plan supports reliable data collection by defining indicators, sources, and methods of data collection as well as by prescribing the frequency and schedule of data collection and assigning responsibilities. Clearly spelling these out increases the likelihood that the project will collect comparable data over time, even when key personnel changes. The project monitoring plan must include:

- Indicators to monitor each level of the project results (Project Goal, Purpose, Sub-purposes (if relevant), Outputs as well as Assumptions), and provide a precise definition for each indicator. The Project Goal and Purpose indicators should be consistent with those included in the CDCS.

- Information on data sources and the methodologies of data collection. The collection of baseline data should start at the beginning of project implementation and the plan should include the methodology for that collection.

- Baselines and targets for each indicator:

  - Baselines and targets must be established for the Project Purpose indicators in the M&E Plan approved with the Project Appraisal Document (PAD).

  - Estimated values for indicator baselines and targets below the purpose level are permitted at the PAD stage but must be refined when implementing mechanisms are put into place.

- The above information, precise indicator definitions, data sources, and data collection methodologies should be captured in the Performance Indicator Reference Sheet (PIRS) for the mission-wide PMP. For ease of tracking, as well as sensitivity to Mission information management systems, it is recommended that Missions use one common format for documenting all of their indicator information (See: **http://kdid.org/kdid-lab/library/recommended-performance-indicator-sheet**).

The number of indicators needed to cover each level of the LogFrame will vary. The minimum number of indicators needed is the amount required to demonstrate that a given level of the project's results have been met, but as with indicators in the CDCS Results Framework, no more than three is a good rule of thumb. Missions should keep evaluation questions in mind when identifying indicators to ensure that a practical amount of data will be available for evaluations. For more information on indicator types and considerations of relevance and quality, please see **203.3.6** on Standards and Criteria for Performance Monitoring and Reporting.

When pre-startup baseline data is not available, the project design team will need to define a plan to ensure that baseline data will be collected as soon as possible. Once baselines are established, project managers must reconsider targets for each indicator.

Using the project monitoring plan for decision-making
In the project design process, the Mission most likely identified possible key decision points that could trigger adaptation to implementation processes or even the LogFrame. A helpful way to determine those decision points is to use benchmarks, significant events or values of a performance indicator within the project to trigger some decision – such as funding for a new phase or geographic expansion, etc. These benchmarks can be established as part of the target setting process for project indicators and can be a useful tool in working with partners to jointly determine sequencing of project components. Meeting or not meeting benchmarks could trigger closer inspection of assumptions or other external factors impacting implementation.

Supporting consistency of indicators across implementing mechanisms in a project
Missions should note that the higher levels of a LogFrame could encompass the results of several implementing mechanisms. Therefore, Missions should give careful thought to ensure that aggregated indicators are clearly and carefully defined across all data sources of the same indicator to ensure that aggregation is possible. In these cases, it will be critical for project managers to understand and document data collection methodologies, not only in their PIRS, but also in any contractual or other award agreements with entities collecting and reporting the data. In the monitoring portion of the M&E plan, project managers should include any coordination responsibilities that may be needed for indicators aggregated from multiple mechanisms.

203.3.4.4 Project M&E Plan: Evaluation

Effective Date: 11/02/2012

Evaluations must be planned for during project design, as it provides several benefits. It ensures that evaluations are planned ahead so that they are relevant, timely, and useful. This is particularly important for impact evaluations which require that project implementation consistently respects the separation of the “target” group from the “control” or “comparison” group throughout the life of the project. Evaluation also strengthens the analytical quality of the project design process and potentially affects project implementation by:

- Clarifying project logic and development hypotheses;
- Identifying knowledge gaps and implicit assumptions;
- Defining key evaluation questions that will guide identification of performance indicators and data collection; and
- Contributing to plans to ensure learning during implementation.

In order to assess a project’s success or failure, and to learn from its implementation, there must be a clear understanding of the project’s causal logic and LogFrame including:

- The project purpose,
- The rationale for choosing the particular implementation approaches, and
- How the project was expected to operate and perform.

The analyses underlying a project design and the CDCS should contain all of this information, and could point to evaluation questions and key decision points or milestones, and should inform the learning from the project.

The evaluation portion of the Project M&E Plan should include the following:

(1) Description of what type of evaluation, if any, is required under the Evaluation Policy:

- If the project is a "Large Project" (i.e., project funding at or above average dollar size for its DO), then an external performance evaluation is required. External evaluation means that, at minimum, the evaluation team lead must be external to the Agency, implementers and/or project staff and the Mission program office manages the evaluation.
- If the project is a "pilot or innovative project" that is demonstrating a new approach anticipated to be expanded in scale or scope through USG or other funding sources, then an external impact evaluation is required. If it is not possible to effectively undertake an impact evaluation, operating units may undertake a performance evaluation instead, but should clarify in the evaluation plan (and later in the evaluation report) why an impact evaluation was not conducted.
- If an evaluation of the project is not required under the Evaluation Policy, the Development Objective (DO) team or mission leadership could decide to plan for an evaluation for other management or learning purposes. This could be a performance or impact, external or internal evaluation. In this case, the Mission should consider identifying potential evaluation triggers in the evaluation plan (e.g., a specific percent of under or over performance on performance indicators or reaching a specified threshold in contextual indicators).

(2) A limited number of key evaluation questions that are explicitly linked to specific future decisions made by USAID and/or other key stakeholders or essential elements of learning.

(3) Additional summary information about the evaluation:

- **If a performance evaluation:** the evaluation plan should identify when it will take place during the project and provide a timeline for specific actions needed to draft the evaluation scope of work, procure an external evaluation team, and conduct the evaluation in time to inform specific decisions.

- **If an impact evaluation:** project design and evaluation design must be developed together so that parallel contracts can be procured to bring on an evaluation team at the same time as the project design team and so that baseline data can be collected on both the treatment and control/comparison groups.

(4) The estimated budget that will be set aside from the project budget and used for the evaluation.

In developing the evaluation plan, Missions should revisit the monitoring plan to ensure that any performance indicators needed for a planned evaluation (in addition to those indicators already identified for performance monitoring) are collected at baseline and on an ongoing basis. In developing the evaluation plan, Missions should ensure that baseline data collection is done prior to project implementation. Although it is always good practice to collect data on target and comparison groups (i.e. a group not part of the project), for impact evaluations, baseline data must be collected for treatment and control or comparison groups. (See **203.3.1.1** on Impact Evaluations)

203.3.5 Monitoring Activities/Implementing Mechanisms

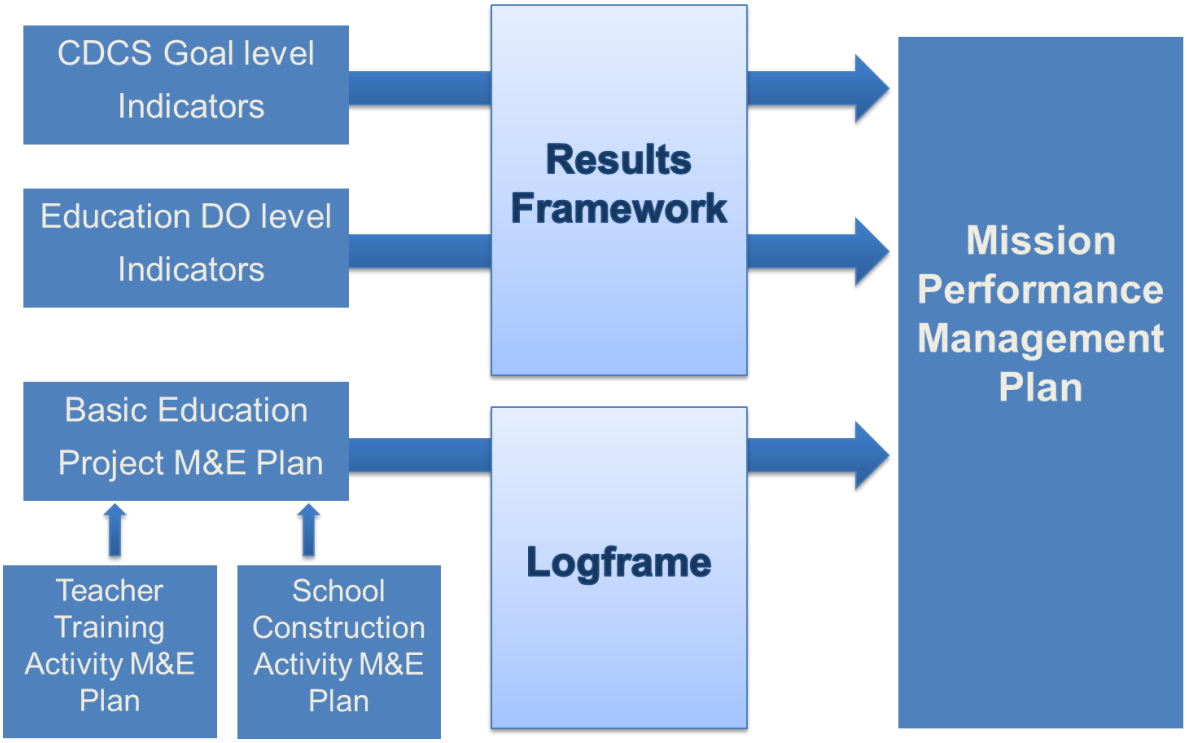
Effective Date: 11/02/2012

At the activity/implementing mechanism level, implementers are expected to submit an activity M&E plan to USAID CORs/AORs within the first 90 days of an award (generally at the same time as an approved work plan) and before major activity implementation actions begin. Project managers must work with CORs/AORs to ensure that all activity M&E plans include performance indicators that are consistent with and meet the data collection needs of the project M&E plan and the mission's Performance Management Plan (PMP). Activity M&E plans submitted to USAID should include only those indicators that the Mission needs for activity management, rather than the entire set of all indicators an implementer uses for its management purposes. CORs/AORs must work with COs/AOs/ to ensure that solicitations include instructions to offerors/applicants to include costs of data collection, analysis, and reporting as a separate line item in their budgets to ensure that adequate resources are available. Monitoring for unintended results of activities should include the examination of any unintended negative consequences, especially those that could affect the safety of beneficiaries or their equitable access to assistance.

ADS 202 provides more information on activity-level oversight during implementation, such as site visits and verifying implementer inputs and outputs.

Figure 2 below illustrates how the various levels of M&E plans relate to the Mission's overall CDCS and PMP via the Results Framework and project LogFrame.

Figure 2



203.3.6 Standards and Criteria for Performance Monitoring and Reporting

Effective Date: 11/02/2012

Performance monitoring data is collected, as needed, throughout the CDCS lifecycle, but should be reported at least annually in the Performance Plan and Report (PPR). Missions are encouraged to use a mix of standard and custom indicators in their reports that adequately convey progress toward their CDCS Development Objectives (DOs).

When selecting performance indicators, USAID Missions/Offices and Washington operating units should ensure that the selected indicators will lead to performance monitoring data that meet the quality standards of validity, integrity, precision, and reliability as described in **203.3.11.1**. In addition to these quality standards, USAID staff should also take into consideration how useful the selected indicators are for management at the relevant level of decision-making.

Indicator selection is always a balance between:

(1) The quantity and quality needed for management decisions, and

(2) The resources required to collect and analyze those indicators.

Because there are management and financial costs involved with collecting and analyzing data, Missions should carefully consider what they need to understand the performance of their projects and progress to meet their CDCS objectives. Development Objective and project teams should have as many indicators in their PMP and project M&E Plans as necessary to ensure that progress toward a given result is sufficiently captured, while also being cost-effective by eliminating redundant indicators. In most cases, one to three indicators per result should be sufficient to assess performance.

Data Sources

Missions often rely on project implementers as the source of data or for collecting data for performance indicators; yet in selecting indicators, DO and project teams should also consider using other options for obtaining data (i.e. using available secondary data being collected by others for their own purposes or contracting with local university resources, think tanks, and survey firms to collect and/or analyze monitoring data). This could also provide opportunities to build local M&E capacity.

In cases where Missions are utilizing agreements with host government entities, other donors (either multi-donor or with bilateral contributions to donor programs), or local entities, Missions must pay careful attention at the project design stage as well as prior to any award negotiations to clarify roles and responsibilities with regard to indicator definitions, collection methodologies, and reporting. Once an implementation letter is signed, it is likely too late to determine what specific data collected by a government entity will be needed to determine project or activity progress. Carefully defining indicators and considering data collection methods in the project design stage is even more critical in these implementation arrangements. Wherever possible, aligning indicators and data collection processes and timing with existing systems contributes to aid effectiveness goals and minimizes the reporting burden on USAID's partners.

When the implementer is a U.S. non-governmental organization recipient of a grant or cooperative agreement, the Mission must not require the implementer to provide data that is not within the parameters of program reporting limitations in 22 CFR 226.51 (AORs must consult with the Agreement Officer as needed).

203.3.7 Types of Performance Indicators

Effective Date: 11/02/2012

a. Quantitative and Qualitative Indicators: Performance Indicators may be categorized by the method of data collection. Performance indicators, that are the most appropriate for the result being measured, should be selected. For example, the result "non-traditional exports increased" could be measured using the quantitative indicator, "dollar value of cut-flowers exported." The result "advocacy by civil society organizations improved" could be measured with a purely qualitative approach, such as using a panel of experts to assess performance by examining a set of previously agreed

characteristics of "advocacy." Quantitative indicator data typically take the form of a count value, a mean or median, or a percentage or ratio. Qualitative indicator data can often be quantified to more effectively measure the result and mitigate subjectivity. Several approaches to making qualitative indicators more precise include:

i. **Milestone Indicator:** A type of indicator that measures progress towards a desired outcome by dividing the progress into a series of defined steps. The simplest form of a milestone indicator is a binary indicator of whether a particular discrete result has or has not been achieved. An example of a milestone indicator could come from a policy reform activity, where the first critical milestone may be passage of a law; a second, the establishment of an oversight agency; and a third, the equitable implementation of the policy. If a milestone plan will be used, the PMP should provide:

- A clear definition of each step or milestone,
- Criteria for assessing whether the step or the milestone has been achieved, and
- An expected timeline for when each step will be achieved.

ii. **Rating Scale Indicator:** A measurement device that quantifies a range of subjective responses on a single issue or single dimension of an issue. One example of a rating scale is when survey respondents are asked to provide a quantified response (such as 1 to 5) to a survey question. If Development Objective Teams are using rating scales, the PMP should provide a clear definition of how the rating scale will be implemented and how respondents should rank their answers.

b. Index (or composite) Indicators: Performance Indicators can also be categorized by how they address complex results. Single dimension indicators measure a single dimension of a result, typically phenomena with clear boundaries. An index or composite indicator combines two or more data sources into a single measure. Individual indicators are generally considered easier to interpret, more objective, and less prone to misuse than indices. However, indices can be useful ways to represent multiple dimensions of progress if they have been carefully developed and tested, but the final index value may be difficult to interpret. Examples of commonly reported indices include couple years of protection (CYP) in population programs, the Corruption Perceptions Index, the Index of Economic Freedom, the Women's Empowerment in Agriculture Index, and the AIDS Program Effort Index (API). If a DO or project team develops its own index, the methodology and procedures for data collections and interpretation must be included in the indicator reference data.

c. "Standard Foreign Assistance" Indicators: These indicators are used in the annual Performance Plan and Report that is required of all State and USAID Operating Units that spend foreign assistance. Target and result data from standard indicators, which can be quantitative, qualitative, and/or index indicators, become the basis of the Foreign Assistance Annual Performance Report and Performance Plan to Congress required by the GPRA Modernization Act. Standard foreign assistance indicators and accompanying indicator reference sheets, that further define their purpose and usage, are available on the Office of U.S. Foreign Assistance Resources Sharepoint site (**http://f.state.sbu/Pages/Indicators.aspx**) and are discussed in **203.3.7**. Missions must use the standard indicators that are required as applicable for various bureau reporting requirements. To the extent standard indicators are useful for conveying program achievements to Congress or useful for performance monitoring purposes, Missions are encouraged to use them along with custom indicators. Detailed instructions on indicator selections for the Performance Plan and Report (PPR) can be found in the annual PPR guidance released by the Office of U.S. Foreign Assistance Resources each year in the Fall.

203.3.8 Reflecting Gender Issues in Performance Indicators

Effective Date: 11/02/2012

Beneficiaries of development assistance have different needs based on economic, social and political roles, responsibilities, and entitlements. Gender social norms, laws, and institutional procedures affect the ability of males and females to participate in and benefit from development programs. USAID requires performance monitoring and evaluation to understand how these differences improve or detract from the efficiency and overall impact of its programs.

In order to track how effectively USAID assistance contributes to gender equality and female empowerment, performance management plans must include gender-sensitive indicators and sex-disaggregated data. All people-level indicators at CDCS, project or activity level must be sex-disaggregated.

As defined by the three stated outcomes of the USAID Gender Equality and Female Empowerment Policy, data to track progress toward gender equality and female empowerment could come from studies of project beneficiaries (using qualitative and quantitative methodologies), or evaluations of project/activity performance or impact. Other sources may include:

- National Demographic and Health Surveys,
- Living Standards of Measurement Study Surveys, and
- Labor Force Surveys, among others.

Local universities and research organizations are potential sources of data and may also provide the ability for geographic disaggregation within a country.

The USAID and State Department jointly developed *Gender Key Issue* output and outcome indicators can be found at: **http://www.state.gov/documents/organization/101761.pdf**.

Please consult the following for technical assistance, more information on sources of data on gender equality and empowerment, and additional guidance:

- USAID Mission/Office or Bureau Gender Advisor;
- Bureau for Policy, Planning and Learning; and
- Office of Gender Equality and Women's Empowerment in the Bureau for Economic Growth, Education and Environment (E3) (See **Guide to Gender Integration and Analysis**).

203.3.9 Setting Performance Baselines and Targets

Effective Date: 11/02/2012

Every performance indicator, whether measuring a part of the CDCS Results Framework or project LogFrame, must have a baseline value at the beginning of the strategy or project and set performance targets that are ambitious, but can realistically be achieved within the stated timeframe and with the available resources.

A **baseline** is the value of a performance indicator at the onset of implementation of USAID-supported strategies, projects or activities that contribute to the achievement of the relevant result. Baseline timeframes are defined at the onset of a project or activity, whether that project/activity is USAID's initial assistance in that area or a follow-on. This is required in order to learn from and be accountable for the change that occurred during the project/activity with the resources allocated to that project/activity.

It is best if the indicator definitions, units of measure, and collection methodologies remain constant so that trend analysis may be performed from the onset of the initial activity to use in analysis and decision making. If baseline data cannot be collected until later in the course of a Development Objective (DO), project or activity the PMP should document when and how the baseline data will be collected on the performance indicator reference sheet.

As baselines are established, DO and project teams must establish targets for each indicator. Targets are required to be set for performance indicators, but not for context indicators.

A **target** is the specific, planned level of result to be achieved within an explicit timeframe with a given level of resources.

DO and project teams should keep in mind that an indicator is a neutral measure, i.e. primary school graduation rate. Targets add notions of quantity, quality, and time (for example a 5% increase in primary school graduation rate in 3 years).

There are a number of ways to determine what makes a realistic yet ambitious target. The background analyses for the project should contain a wealth of information on recent past trends as well as constraints and opportunities that point toward future trends. Targets should be ambitious, but achievable given USAID (and other donor) inputs. Missions are accountable for achieving their targets. It is critical to document the thinking behind targets, for later learning and adapting the project during implementation and to ensure continuity of information during staff transitions. Both the targets themselves and the justifications for the final targets should be maintained and updated with the indicator data in the Mission's PMP.

203.3.10 Changing Performance Indicators

Effective Date: 11/02/2012

During project implementation, Missions may need to change or drop performance indicators. For example, there may be changes in program priorities or budgetary decisions that affect the scope/geographic focus of the Development Objective (DO) which would require the use of indicators different from those originally selected. Indicators may need to be adjusted if the indicators prove to be unsuitable, for example, if the effort and cost needed to collect them becomes prohibitive. Indicators may also be added as lessons are learned about project dynamics during implementation and through evaluations. Missions should be cautious about changing performance indicators because it compromises the comparability of performance data over time.

Because missions have the authority to approve changes to PMP indicators, missions are responsible for documenting these changes while updating their PMPs. At the level of an award, the AOR/COR documents and approves changes to the implementing partner's monitoring and evaluation plan, with appropriate input from DO team members and project staff. The Mission must note the reason(s) for the change, along with final values for all old indicators and baseline values for any new indicators.

Exception. Operating Units must consult with the Bureau of Global Health before making changes to any HIV/AIDS or malaria program performance indicators. Similarly operating units implementing Presidential Initiatives should contact the relevant Bureaus/Offices before making any changes.

203.3.11 Data Quality

Effective Date: 11/02/2012

There is always a trade-off between the cost and the quality of data. USAID missions should balance these two factors to ensure that the data used are of sufficiently high quality to support the appropriate level of management decisions. Performance data should be as complete and consistent as management needs and resources permit.

203.3.11.1 Data Quality Standards
Effective Date: 11/02/2012

Missions can use a variety of data sources for their performance monitoring needs. To ensure that the quality of evidence from the Mission's performance monitoring system is sufficient for decision-making, standard data quality criteria must be addressed. High quality data is the cornerstone for evidence based decision-making. To be useful for performance monitoring and credible for reporting, data should reasonably meet these five standards of data quality:

1) **Validity:** Data should clearly and adequately represent the intended result;

2) **Integrity:** Data collected should have safeguards to minimize the risk of transcription error or data manipulation;

3) **Precision:** Data should have a sufficient level of detail to permit management decision-making; e.g. the margin of error is less than the anticipated change;

4) **Reliability:** Data should reflect stable and consistent data collection processes and analysis methods over time; and

5) **Timeliness:** Data should be available at a useful frequency, should be current, and should be timely enough to influence management decision-making.

Data that do not meet these standards could result in an erosion of confidence in the data, or could lead to bad decision-making. Ensuring data quality requires strong leadership and commitment throughout the mission and should be included in the scope of work of any solicitation for project/activity implementation.

203.3.11.2 Purpose of Data Quality Assessments
Effective Date: 11/02/2012

The purpose of a data quality assessment is to ensure that the USAID Mission/Office and DO team are aware of the:

(1) Strengths and weaknesses of the data, as determined by applying the five data quality standards, and

(2) Extent to which the data integrity can be trusted to influence management decisions.

The Government Performance and Results Modernization Act (GPRAMA) requires that a data quality assessment must occur for indicators, which are reported externally, at some time within the three years before submission. USAID Missions/Offices may choose to conduct data quality assessments more frequently if needed. USAID Missions/Offices are not required to conduct data quality assessments for data that are not reported to USAID/Washington. Managers are not required to do data quality

assessments on all performance indicators that they use. However, managers should be aware of the strengths and weaknesses of all indicators they collect to monitor performance.

203.3.11.3 Conducting Data Quality Assessments (DQAs)

Effective Date: 11/02/2012

Once the Mission has selected its indicators for monitoring various levels of program performance, the next step is to verify the quality of the indicator data collected. The goal of the data quality assessment is to ensure that decision makers are fully aware of data strengths and weaknesses and the extent to which data can be trusted when making management decisions and reporting.

The major decision point in conducting a data quality assessment is to determine what level of data quality is acceptable. Managers need to consider the tradeoffs in terms of time and cost of pursuing data. The standards for data quality should be tied to the intended use of the data, and also take into consideration the often complex and data-poor environments in which USAID operates.

There is no prescribed method for conducting a DQA. Regardless of the approach taken, the DQA should examine the data in light of the five quality standards noted above, reviewing the systems and approaches for collecting data and whether they are likely to produce data of an acceptable quality over time. Missions should not hire an outside expert to assess the quality of their data. Mission staff, usually the technical offices, Monitoring and Evaluation staff, or project/activity implementers, as part of their award, can conduct the assessment, provided that mission staff review and verify DQAs conducted by implementing partners. This may entail site visits to physically inspect records maintained by implementing partners or other partners. A **recommended DQA checklist** is included in the references as well as on ProgramNet.

The Mission is responsible for identifying data quality issues and solutions as they become apparent anytime during the life of the activity. A practical approach to planning data quality assessments will include the following steps:

- Develop and implement an overall data quality assurance plan that includes initial data quality assessment reviews;
- Decide who should be involved in the data quality assessment (DO team members, program office staff, implementing partners);
- Maintain written policies and procedures for data collection, maintenance, and processes; and
- Maintain an audit trail—document the assessment, including decisions concerning data quality problems, and the steps taken to address them.

Because GPRAMA requires data quality assessment for any indicators reported externally, the requirements of the annual Performance Plan and Report come into play. In order to ensure the quality and reliability of performance indicators for users of the data as well as outside auditors, it is important that Missions document the result of the DQA in project files as well as with the mission's PMP. When data do not meet one or more of these standards, missions should document the limitations on their DQA checklist as well as establish plans for addressing the limitations. Missions should file the completed DQA checklists with the relevant Performance Indicator Reference Sheet that is part of the PMP.

203.3.12 Mission Portfolio Reviews

Effective Date: 11/02/2012

A portfolio review is a key point during the implementation phase of the Program Cycle for Missions to use their evidentiary base to take stock of many aspects of progress toward their Development Objectives (DOs). The Portfolio Review should bring together various expertise and sources of evidence to determine whether the DO or project is "on track" or if course corrections are needed to improve the chances of achieving results. Portfolio Reviews should lead to management decisions about the implementation of the DO and feed back into implementation and planning processes. If a USAID mission's Portfolio Review identifies new learning, changes in the development context, or problems in implementation that point to possible new directions or approaches, the mission may need to add, change or discontinue activities and rethink the logic behind its project LogFrames or even the CDCS Development Hypothesis.

Missions must conduct at least one portfolio review per year geared toward strategic review focused on the higher levels of the Results Framework. This portfolio review examines strategic issues and determines whether USAID-supported projects are leading to the results outlined in the approved Results Framework. This portfolio review examines the:

(1) Progress towards achievement of the CDCS DOs during the past year and expectations regarding future progress, including the logic of the CDCS development hypothesis; and

(2) Status of critical assumptions and game changers the role and potential issues with the collaboration parties (other DOs, other donors, govt., etc.).

Mission Directors should consult with regional Assistant Administrators for appropriate Washington engagement in this review.

USAID Missions should consider the following items as part of their strategic portfolio review:

- Status of critical assumptions and the Development Hypothesis defined in the Results Framework, along with the related implications for performance;
- Country and regional trends and how the context is evolving;
- Evidence that projects are leading to the achievement of the DO;
- Status of cross-cutting themes and/or synergies between DOs;
- Status of related partner efforts that contribute to the achievement of IRs and DOs; and
- What has been learned during project implementation from monitoring data, evaluations, from partners, or other sources of evidence.

Many Missions have found it useful to have two portfolio reviews a year. It is recommended that Missions programming $20 million or more per year conduct two reviews. Missions that do so could gear one toward the DO/Strategic level and the other towards the project/operational level. Project/operational issues that could usefully be reviewed include:

- Status of learning during project implementation from monitoring data, evaluations, from partners, or other sources of evidence;
- Adequacy and feasibility of the performance indicators and targets selected in the Project M&E Plans;
- Status of related partner efforts that contribute to the achievement of project purposes, including contractor performance information required (ADS 302.3.8.7);
- Pipeline levels and future resource requirements, compliance with forward funding guidance, or any need for de-obligation;
- Project team effectiveness and adequacy of staffing;
- Vulnerability issues, related corrective efforts, and their costs;
- Status and timeliness of input mobilization (such as receipt of new funding, procurement processes, agreement negotiations, and staff deployments); and
- Progress on the Acquisition & Assistance Plan.

There is no single prescribed structure or process for conducting Portfolio Reviews, though a How-To Note on conducting portfolio reviews will be available on ProgramNet and Learning Lab. USAID Missions may define standard procedures that they find useful in a Mission Order. Many USAID Missions find it particularly useful to conduct a Portfolio Review prior to preparing end-of-year annual reporting. Those Missions conducting two portfolio reviews per year may find it useful to sequence the strategic review right after the operational review. In most cases, designated staff should analyze a variety of program-related information and prepare issues for discussion in a larger group forum that includes members of the DO or project teams, the broader USAID Mission, and other knowledgeable members of the USG Operating Unit, or partners as appropriate.

It is recommended that USAID Missions document the issues raised, the conclusions reached, next steps, and responsibilities for carrying out action items that the Portfolio Reviews recommended. DO teams and the Program Office must maintain these documents in both the team files and within the system the Mission uses for its PMP.

203.3.13 Program Cycle Learning

Effective Date: 11/02/2012

Throughout the program cycle, learning is fundamental to an adaptive approach to development. While learning is not new, Missions can consider using a strategic learning and adapting plan to maximize development results (Specific methods, including some examples of Mission practice with a Collaborating, Learning and Adapting Approach can be found at: **http://kdid.org/kdid-lab/library**). This plan can help the mission and implementing partners coordinate their efforts, collaborate for synergies, learn more quickly, and make iterative, timely course corrections.

Learning encompasses a systematic and deliberate approach to:

- Generate, capture, share, analyze and apply information and knowledge, including performance monitoring data as well as findings from evaluations, research, practice, and experience;
- Engage with local thought leaders and development actors to complement context indicators with deep contextual knowledge and experience;
- Coordinate efforts within the mission and among partners and other stakeholders to increase synergies;
- Facilitate collaborative learning and extend the mission's influence and impact beyond its project funding;
- Combine critical analysis and periodic reflection with adaptive management processes and agile funding mechanisms to maintain relevance as new learning emerges and/or the broader context or country conditions change.

Learning is a driver throughout the entire Program Cycle and its various aspects are covered in ADS Chapters 200-203. As with ADS Chapters 200-203, good practices, specific tools, and FAQs can be found on ProgramNet/Learning Lab web sites.

203.3.14 Operating Unit Annual Performance Plan and Report

Effective Date: 11/02/2012

Assuring transparency in programs and in performance reporting is an important goal of foreign assistance. The annual foreign assistance Performance Plan and Report (PPR) calls for qualitative and quantitative data from all Operating Units (OUs) in USAID and the Department of State that implement programs with foreign assistance funds. OUs input narrative information as well as quantitative target and result data for a set of performance indicators they have selected from among a large menu of standard foreign assistance indicators. OUs report results realized during the most recent fiscal year, and set performance targets for the next three fiscal years. The master list of standard foreign assistance indicators as well as handbooks containing indicator reference sheets with a full definition and description of each indicator is available at **http://f.state.sbu/Pages/Indicators.aspx**. USAID Missions/Offices are encouraged to include custom indicators for reporting on progress against their Development Objectives in their PPRs.

Data from the PPR is used to justify foreign assistance programming and resource requests, meet statutory requirements and management reporting needs in support of Presidential Initiatives, and to communicate agency performance information to Congress and the public as required by the GPRA Modernization Act of 2010.

203.3.14.1 Performance Report and Reporting Year

Effective Date: 11/02/2012

USAID Missions/Offices must use the U.S. fiscal year (October through September) for all reporting purposes. If data are available on a quarterly basis from partners, host countries, or other agencies, the annual figures must be recalculated to reflect the U.S. fiscal year. An exception to the U.S. fiscal year basis is if performance data are not available on a quarterly basis and also are not available on the U.S. fiscal year basis; in that case, the local fiscal year or calendar year may be used, but report this in the “data limitations” as not conforming to the U.S. fiscal year. If point data are used (such as Demographic and Health or other survey data) the date of the survey must be provided. These data must be reported in the fiscal year when the findings were first available, not the date of the survey itself.

203.3.14.2 Performance Report, Other USAID Mission/Office Reporting and Data Quality

Effective Date: 11/02/2012

Performance Report Data. All USAID Operating Units must have conducted a data quality assessment within the past three years for all performance data reported to Washington.

Other Reporting. The same data quality assessment standards apply to any data reported to USAID/Washington that will be used to report externally on Agency performance.

203.3.14.3 Evaluation Reporting in PPR

Effective Date: 11/02/2012

All USAID Missions/Offices and Washington Operating Units are required to submit an inventory of evaluations conducted during the previous year in their annual Performance Plan and Report in the Evaluation Registry (an annex to the PPR in FACTS INFO). The Registry also requires planned evaluations and estimated budgets for the coming fiscal year plus two out years. This is in addition to the requirement to submit all evaluation reports to the Development Experience Clearinghouse.

203.3.14.4 Performance Report and Environmental Requirements

Effective Date: 11/02/2012

Each Operating Unit must include a brief summary sentence of the status of compliance with **22 CFR 216** in the Operating Unit Performance Summary and must complete the Environmental Compliance Template in the FACTS Info system.

Environmental soundness is an important criterion for all Agency programs. As part of meeting the pre-obligation requirements described in **ADS 201**, the potential environmental impact of programs or projects must be reviewed. In some cases, the environmental review may identify environmental impact mitigation measures that must be followed during implementation. If activities implemented to support a DO do not adequately address required mitigation measures, the DO is likely to be out of compliance with USG environmental regulations. If a USAID DO is not in compliance with regulations, the USAID Mission/Office must document this in the Performance Plan and Report and identify steps needed to ensure compliance. Problems or delays in ensuring compliance must be considered when making an overall judgment as to whether a DO is meeting targets.

203.3.15 Reporting Requirements for Projects Not Managed by Country-Based USDH Staff

Effective Date: 11/02/2012

USAID-funded programs or projects that are not managed by country-based USDH USAID staff are reported through the Performance Reports of Regional Platforms or USAID Washington and are subject to the procedures in **203.3.14**.

203.3.16 Additional Reporting Requirements

Effective Date: 11/02/2012

There may be additional reporting requirements for some USAID Missions and Washington Operating Units. Any new requirements will be properly vetted before dissemination. Such requirements will be communicated through formal channels.

203.3.17 Development Experience Clearinghouse

Effective Date: 11/02/2012

USAID Missions/Offices must share key USAID-managed DO documents, where available, with the Development Experience Clearinghouse (DEC), an Agency-wide service for the submission, storage, and sharing of documentation. USAID documents should be sent in electronic form to **http://dec.usaid.gov**, then click on Submit Reports. E-mail: **docsubmit@usaid.gov**.

To support the broader Agency learning process, the following documents, if applicable, should be submitted:

1) Evaluation reports, DO assessments, and studies;

2) Contractor/grantee technical reports, publications, and final reports;

3) USAID-funded conference/workshop proceedings and reports; and

4) USAID Mission/Offices Close Out ("graduation") reports.

203.4 MANDATORY REFERENCES

203.4.1 External Mandatory References

Effective Date: 01/17/2012

The external mandatory references are listed below. Due to the interrelated nature of ADS chapters 200-203, please also consult the list of references in **ADS 200** and **201**.

a. **5 Code of Federal Regulations, Part 1320, "Controlling Paperwork Burdens on the Public"**

b. **22 Code of Federal Regulations, Part 216, "Environmental Procedures"**

c. **22 Code of Federal Regulations, Part 226.51, "Monitoring and Reporting Program Performance"**

d. **The Government Performance and Results Act (GPRA) of 1993 (P.L. 103-62)**

e. **The GPRA Modernization Act of 2010 (P.L. 111- 352)**

f. **Section 7060(a) and (f), "Programs to Promote Gender Equality," of the Foreign Operations Appropriations Act of 2012 (P.L. 112-74)**

203.4.2 Internal Mandatory References

Effective Date: 01/17/2012

The internal mandatory references are listed below. Due to the interrelated nature of ADS chapters 200-203, please also consult the list of references in **ADS 200** and **201**.

a. **ADS 200mag, Non-Presence Programming Procedures**

b. **ADS 200maw, Guidance on the New Monitoring and Evaluation Reporting System Requirements for HIV/AIDS**

c. **Contract Information Bulletin (CIB) 99-17, Organizational Conflict of Interest**

d. **USAID Evaluation Policy**

203.5 ADDITIONAL HELP

Effective Date: 01/17/2012

The additional help documents are listed below. Due to the interrelated nature of ADS chapters 200-203, please also consult the list of references in **ADS 200** and **201**.

a. **Development Experience Clearinghouse (DEC)**

b. **Evaluation SOW Checklist**

c. **Evaluation SOWs: Good Practice Examples**

d. **EvalWeb**

e. **Expanded Response Guide to Core Indicators for Monitoring and Reporting on HIV/AIDS Programs**

f. **Handbook of Democracy and Governance Program Indicators**

g. **Handbook of Indicators for HIV/AIDS/STI Programs**

h. **How-To Note Preparing Evaluation Reports**

i. **ProgramNet**

j. **TIPS Number 01, Conducting a Participatory Evaluation**

k. **TIPS Number 02, Conducting Key Informant Interviews**

l. **TIPS Number 04, Using Direct Observation Techniques**

m. **TIPS Number 05, Using Rapid Appraisal Methods**

n. **TIPS Number 10, Conducting Focus Group Interviews**

o. **TIPS Number 14, Monitoring the Policy Reform Process**

p. **TIPS Number 15, Measuring Institutional Capacity**

q. **TIPS Number 15 Annexes, Measuring Institutional Capacity**

r. **TIPS Number 16, Conducting Mixed-Method Evaluations**

s. **UNAIDS National AIDS Programmes: A Guide to Monitoring and Evaluation**

t. **UNAIDS/UNGASS: Monitoring Country Progress**

203.6 DEFINITIONS

Effective Date: 01/17/2012

Due to the interrelated nature of ADS chapters 200-203, please also consult the comprehensive list of definitions contained in **ADS 200.6**. See the **ADS Glossary** for all ADS terms and definitions.

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