# Performance Management Plan (PMP) Toolkit

## A Guide for Missions on Planning for, Developing, Updating, and Actively Using a PMP

Office of Learning, Evaluation and Research

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# Performance Management Plan Toolkit Acronym List

| | |
|---|---|
| AAR | After Action Review |
| ADS | Automated Directives System |
| AM | Activity Manger |
| AOR | Agreement Officer's Representative |
| API | AIDS Program Effort Index |
| ASR | Assessing, Surveillance and Response Reports |
| CDCS | Country Development Cooperation Strategy |
| CIRS | Context Indicator Reference Sheet |
| CLA | Collaborating, Learning and Adapting Model |
| CO | Contracting Officer |
| COP | Chief of Party |
| COR | Contracting Officer's Representative |
| CPI | Contractor Performance Information |
| CYP | Couple Years of Protection |
| DCCA | Data Collection Capacity Assessment |
| DEC | Development Experience Clearinghouse |
| DO | Development Objective |
| DQA | Data Quality Assessment |
| EPOC | Evaluation Point of Contact |
| FACTS | Foreign Assistance Coordination and Tracking System |
| FOIA | Freedom of Information Act |
| FSN | Foreign Service National |
| FTF | Feed the Future |
| G2G | Government to Government Assistance Manager |
| GCC | Global Climate Change |
| GHI | Global Health Initiative |
| GIS | Global Information Systems |
| GNI | Gross National Income |

| | |
|---|---|
| GPRAMA | Government Performance and Results Modernization Act |
| GPRA | Government Performance and Results Act |
| HDI | Human Development Index |
| IM | Implementing Mechanism |
| IP | Implementing Partner |
| IR | Intermediate Result |
| LCD | Local Capacity Development |
| M&E | Monitoring and Evaluation |
| MDG | Millennium Development Goal |
| MIS | Management Information Systems |
| MOE | Margin of Error |
| MOJ | Ministry of Justice |
| NWDB | National Water Development Board |
| OAA | Office of Acquisition and Assistance |
| OCA | Organizational Capacity Assessment |
| OCI | Organizational Conflicts of Interest |
| OECD | Organization for Economic Cooperation and Development |
| OU | Operational Unit |
| PAD | Project Appraisal Document |
| PD&L | Program Development and Learning |
| PEPFAR | President's Emergency Plan for AIDS Relief |
| PIRS | Performance Indicator Reference Sheet |
| P&L | Procurement & Logistics |
| PMI | President's Malaria Initiative |
| PMP | Performance Management Plan |
| PMPOC | Performance Monitoring Point of Contact |
| PO | Program Office |
| POT | Peak over Threshold |
| PPD-6 | Presidential Policy Directive on Global Development |

| | |
|---|---|
| PPR | Performance Plan and Report |
| QA | Quality Assurance |
| QC | Quality Control |
| QDDR | Quadrennial Diplomacy and Development Review |
| RDCS | Regional Development Cooperation Strategy |
| R/CDCS | Regional/Country Development Cooperation Strategy |
| RF | Results Framework |
| RLA | Regional Legal Advisor |
| SOW | Statement of Work |
| USAID | United States Agency for International Development |
| USG | United States Government |

# Performance Management Plan (PMP) Toolkit

## Overview

### How to use this Toolkit

**PERFORMANCE MANAGEMENT AT USAID**

USAID plans and implements programs designed to improve the development status of the people in the countries and regions around the world in which it works. In order to meet these development results and to ensure accountability for the resources used to achieve them, as an Agency we must strive to continuously learn from and improve our approach in achieving results. The USAID Program Cycle reinforces the need for USAID to rely on the best available evidence to rigorously and credibly make hard choices, improve implementation, learn more systematically, adapt our approaches, and document program effectiveness. The Performance Management Plan (PMP) serves as an important tool for missions to plan and manage the process of monitoring, evaluating, and analyzing progress toward achieving results over the life of the Mission's Regional Development Cooperation Strategy (RDCS) or Country Development Cooperation Strategy (CDCS).

This PMP Toolkit draws upon updated Agency monitoring and evaluation guidance and new processes relating to the USAID Program Cycle (see Figure i). The Toolkit is designed to serve as an ongoing resource for USAID staff engaged in performance management roles as they plan for and manage effective performance monitoring and evaluation over the course of the Mission's strategy. As, ultimately, the PMP is only a useful tool if missions are actively using and learning from their monitoring and evaluation data, the Toolkit also provides helpful tips and ideas on using the PMP to strengthen the Mission's approach to learning, collaborating, and adapting.

Some topics covered in the toolkit include:

- Finalizing performance indicators, baselines, and targets for the results in the R/CDCS Results Framework (RF) and Project LogFrames

- Defining and identifying data sources for performance and context indicators

- Planning for data collection and identifying data collection methodologies

- Conducting Data Quality Assessments

- Reviewing and analyzing performance data to monitor progress toward achieving results in the R/CDCS and Project LogFrames

- Planning and budgeting for evaluations

- Managing, analyzing, communicating and reporting performance data, and

- Using data to make informed management decisions

**Figure i.  USAID Program Cycle**



**PMP developed
4-6 months
within R/CDCS
approval**
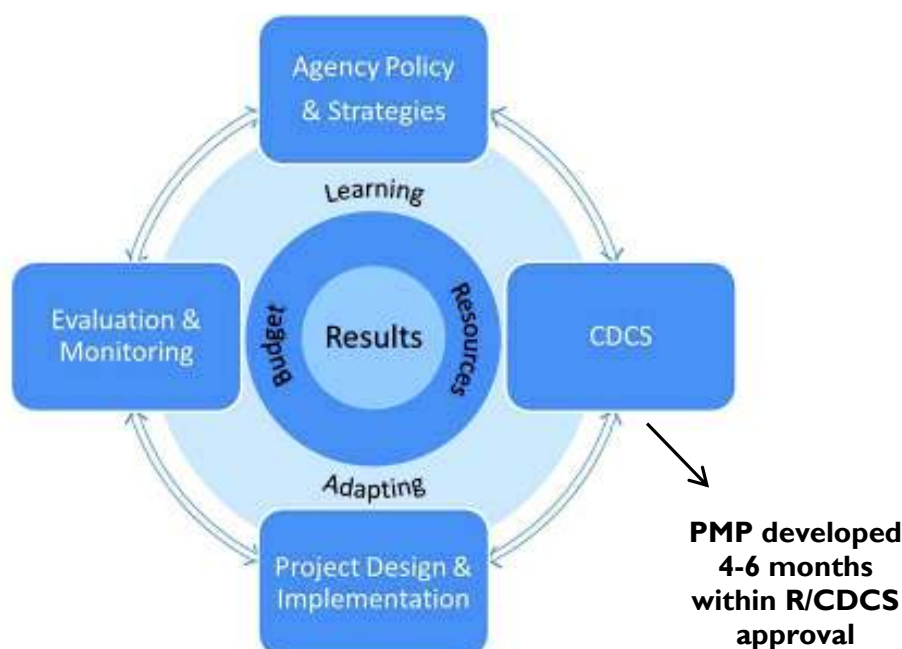
## STRUCTURE OF THE TOOLKIT
The modular structure of the PMP Toolkit enables USAID staff to quickly locate and review specific areas of interest, identify approaches or tools relevant to their needs, and download and customize specific worksheets.  Using ProgramNet, USAID staff is also encouraged to share or suggest additional tools, emerging best practices, and performance management processes that they have developed or found useful to supplement the Toolkit.  The Toolkit assumes the reader is familiar with the Planning guidance provided in ADS 201 and does not repeat this information at length.  Instead, references are provided throughout the Toolkit to the ADS 200 programming series.

There are three parts to the Toolkit:

- **Part 1: Plan for PMP Development** – Approximately four to six months after R/CDCS approval, the initial PMP should be developed and approved. This section of the Toolkit describes preliminary steps in planning for the PMP, from convening a cross-Mission team to developing a PMP work plan that clarifies roles, responsibilities, and key tasks and designing and holding a PMP launch event. Part 1 also describes the importance of documentation from the outset of the PMP process to inform PMP team members and stakeholders about the rationale for changes over time and create a record of these changes.

- **Part 2: Develop the PMP** – Part 2 of the Toolkit focuses on practical steps and options for developing a PMP, starting from the approved R/CDCS and subsequently updating and refining the PMP following the approval of projects.  The modules in Part 2 focus on the required components of the PMP, including defining performance and context indicators for the R/CDCS Results

Framework and Project LogFrames, establishing baseline data and setting targets, planning for data quality assurance, collecting and managing performance data, creating a PMP evaluation plan and performance management task schedule, and budgeting for M&E.  This part of the Toolkit includes many tools, good practices, and helpful hints that Missions have used when developing, refining and using a Mission-wide PMP.

- **Part 3: Use Performance Data for Decisions and Learning** – The PMP is, ultimately, a tool to inform decision-making, resource allocation, learning, and adapting. Part 3 of the Toolkit provides approaches and methodologies for collecting, analyzing, reviewing, and reporting performance data, emphasizing ways in which USAID staff can actively use data in managing performance, informing decision-making, and promoting learning.

## ACKNOWLEDGEMENTS

Many USAID staff, both in the field and in Washington, provided comments, feedback, and insights on early drafts of the PMP Toolkit.   The Toolkit has greatly benefited from their time and thoughtful review.  The PMP is a living performance management tool and we hope, too, that the Toolkit will be a living resource, periodically updated to reflect the insights, good practices, helpful hints, and experience of USAID staff who have been involved in developing and using a PMP.  Of course, we also expect USAID staff to find some modules to be more helpful than others, and welcome feedback regarding Toolkit content clarity, utility, gaps, and other suggestions.  Please use ProgramNet (https://programnet.usaid.gov/) to share your comments and suggestions about the Toolkit and your experience using the Toolkit as a resource.  A PMP Toolkit forum has been set up for this purpose, accessible via the ProgramNet Monitoring homepage under "Forums."

**USAID**
FROM THE AMERICAN PEOPLE

## Performance Management Plan (PMP) Toolkit

### Module 1.1: Use the Mission's PMP to Monitor the Strategy

OVERVIEW

A Performance Management Plan (PMP) is a tool designed to measure the progress toward achieving results identified in an R/CDCS and Project LogFrame in order to inform decision-making, resource allocation, learning, and adapting. Understanding how to create and use a PMP is therefore central to the management of a Mission's portfolio. This module explains how PMPs fit into the USAID Program Cycle, including the relationship between the PMP and the project M&E Plan and the activity M&E Plan.

TOOLS

- *Blank PMP Format*

**OPERATIONALIZING THE R/CDCS**

A Regional or Country Development Cooperation Strategy (R/CDCS) is strategic plan that defines the goals and objectives for USAID development assistance in a particular region or country. Every R/CDCS defines a Goal, Development Objectives (DOs), Intermediate Results, and associated illustrative performance indicators through an evidence-based Results Framework. During the Project Design process, Missions design projects to advance the results defined in the R/CDCS Results Framework.

As Figure 1 shows, projects contribute to the larger strategy defined in the R/CDCS; a project's Logical Framework (LogFrame) is directly linked to the R/CDCS Results Framework. A Project Goal typically (though not always) corresponds to a Development Objective, while the Project Purpose typically constitutes USAID's support for achieving an Intermediate Result (IR).

Once approved, the R/CDCS becomes the basis for the Mission's Performance Management Plan (PMP) and Project Design. The Mission's PMP serves as a tool to plan and manage the process of monitoring, evaluating, and analyzing progress toward achieving the results specified in the R/CDCS Results Framework and Project LogFrames.

**Figure 1: Typical Relationship between the R/CDCS Results Framework and Project LogFrame**
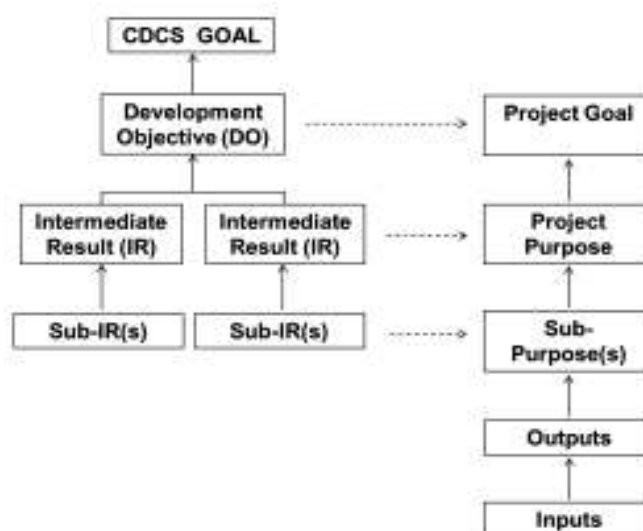


## USING THE PMP AS A TOOL TO MANAGE PERFORMANCE

High quality performance management helps to build the evidence base for USAID's management decisions, increase the credibility of reporting to stakeholders, and strengthen the knowledge base underlying our strategies and projects, ultimately helping USAID to achieve better development results. Effective performance management requires access to useful and timely performance information over the life of the R/CDCS. By systematically tracking performance information over the course of the strategy, and providing timely information to USAID managers, the PMP serves as a tool to inform decision-making, resource allocations, project adaptation, and learning.

Illustrative questions that a PMP can help a Mission answer include:

- Is the Mission on track to achieve the results detailed in the R/CDCS Results Framework and within the R/CDCS timeframe? Why or why not?

- Do the hypothesized causal linkages in the Results Framework and LogFrame move in the direction we would expect? Why or why not? Do the Development Hypotheses need to be revisited or revised?

- Are there any changes in country context, assumptions, risks or game changers not previously identified that should be tracked because they have potential implications for strategy and project implementation?

**Additional Resources**

See the *Mission Order on Performance Monitoring* for more detailed information on the processes and procedures for PMP development and revision, including portfolio alignment, collecting baseline data and setting performance targets, updating the PMP, and performance monitoring roles and responsibilities.

## FROM THE R/CDCS TO THE PMP

Within four to six months of R/CDCS approval, the Mission should complete the initial PMP development process. The rationale for developing the PMP as soon as possible upon R/CDCS approval is so that the Mission can effectively track progress toward results over the entire course of the strategy. The development and implementation of the PMP is typically managed out of the Program Office, but all technical units/Development Objective (DO) teams fully participate as contributors to and users of the PMP.

PMP development provides an opportunity to refine the illustrative performance indicators and evaluation questions detailed in the R/CDCS. PMP development should closely follow or parallel the process of aligning existing implementing mechanisms in the portfolio with the R/CDCS.

Prior to being approved by the Mission Director, the PMP should include indicators for the Goal, DO, and IR levels, along with established baseline data and performance targets for Goal and DO indicators. The Mission should also incorporate into the PMP any evaluations it expects to undertake over the course of the strategy.

Importantly, the PMP is a living management tool that will be updated regularly over the course of the strategy, including following the approval of project M&E plans, portfolio reviews, and other learning. Generally, performance indicators at the IR level and below, along with associated baseline data and targets, will be further refined during the Project Design process. Evaluation questions will also be developed and refined during Project Design. Figure 2 provides an illustrative timeline for the development and revision of a PMP.

> **Helpful Hint**
>
> During DO-focused portfolio alignment sessions, Missions should consider "cross-pollinating" participation in these sessions to get the perspective from USAID staff external to the DO team.
>
> The indicators and evaluation questions in the approved R/CDCS are "illustrative" and thus may be refined during PMP development. The mission should consider documenting the rationale for dropping or changing indicators included in the R/CDCS, as this can be helpful to future staff working on the monitoring and evaluation of the strategy.

### Figure 2: Illustrative Timeline for PMP Development and Revision

## COMPONENTS OF A PMP

USAID Missions should use the PMP format that best fits their management and communication needs. While there is no standard format for PMPs, all PMPs should include the following required components detailed in ADS 203.3.3:

- The full set of **Performance Indicators** to measure progress toward the results outlined in the R/CDCS Results Framework and the Project LogFrame (see Module 2.2).

- Any **Context Indicators** for tracking the broader context in which strategies and projects are being implemented (see Module 2.4).

- Description of the **data quality assessment procedures** that will be used to verify and validate all performance data (see Module 2.7).

- An **Evaluation Plan** to identify and track evaluations across the Mission and over the entire R/CDCS timeframe (see Module 2.9).

- A **schedule of performance monitoring tasks and responsibilities** that the Mission will conduct over the expected life of the R/CDCS (see Module 2.8).

- **Performance Indicator Reference Sheets (PIRSs)** for all performance indicators (see Module 2.6).

- **Tracking tables for all performance indicators** to include baseline values, targets and rationale for targets, and actual values for each reporting period (see Module 2.10).

It is highly recommended that the Mission include the R/CDCS Results Framework in the PMP, since this serves as the basis for the development of performance indicators and is an important reference for anyone using the PMP. Other optional but strongly recommended components of the PMP include a budget to track funds for monitoring and evaluation across the Mission over the strategy (see Module 2.12) and a description of the Mission's plan to actively and routinely learn from the performance information being captured in the PMP (see Module 2.11).

Generally, PMPs will have both an information systems component and a Word document component. At a minimum, the performance indicator tracking tables should be maintained within a performance monitoring information system (e.g. AIDtracker) or other electronic format (e.g. Excel) that is easy to update. Missions may elect to maintain other components of the PMP (for instance, the Evaluation Plan, Task Schedule, and PIRS) either in an information system or another format that is easy to update, such as Excel or Microsoft Word. The *Blank PMP Format* (see Annex 1) provides an optional tool with which to outline contents of a PMP.

When deciding on format, Missions should take into consideration the users of each component of the PMP. For instance, some Missions may choose to maintain PIRS in a Word document format that allows for easy sharing with IPs or other stakeholders; other Missions may find it useful to maintain PIRS information in a system where it can be easily accessible alongside performance indicator data.

Figure 3 provides an overview of the different components of a PMP and the illustrative location of each.

**Figure 3: Typical Components of a Performance Management Plan**

| Content | Location |
|---|---|
| 1. Introduction and Overview | |
| 2. The Results Framework | |
| 3. Performance and Context Indicator Summary Table | |
| 4. Data Quality Assessment Procedures | In Main Document |
| 5. Evaluation Plan | |
| 6. Performance Monitoring Task Schedule | |
| 7. Other (PMP Budget, Learning Agenda) | |
| 8. Performance Indicator Reference Sheets | In Annex or Database |
| 9. Performance Indicator Tracking Table | In Database |

## RELATIONSHIP BETWEEN THE PMP AND PROJECT AND ACTIVITY M&E PLANS

In the USAID Program Cycle, performance monitoring systems are interconnected, from the Mission-wide PMP to the project M&E plan and the activity/Implementing Mechanism (IM) M&E plans. As described, the PMP serves as a Mission-wide internal management tool and provides a systemized approach for tracking progress toward the results specified in the R/CDCS Results Framework and Project LogFrames. The project M&E plan contributes to the PMP and provides a detailed plan for monitoring and evaluating progress toward the results in a particular Project LogFrame.  Activity M&E plans are informed by the project M&E plan and contribute to measuring progress toward certain results in the Project LogFrame.

Project M&E plans are developed by Mission staff during Project Design as an Annex to the Project Appraisal Document. Project M&E plans:

- Provide a monitoring and evaluation framework that pulls together performance information for all activities contributing to a project.

- Clearly describe how the project will collect needed data from project inception (baseline data) and periodically over the life of the project.

- Identify evaluation questions and suggest appropriate evaluation methods/approaches, along with an estimated evaluation budget.

- Describe how the Mission will promote adaptive management during project implementation.

The project M&E plan constitutes one component of a broader Mission learning plan that guides Missions in strengthening the evidentiary base of their portfolios. The project M&E plan can also help Missions identify the cause of any delays or impediments during project implementation, subsequently informing project adjustments.

> **Additional Resources**
>
> For additional information on Project Design, see ADS 201. For more information on specific project M&E Plan requirements, see ADS 201.3.15.4 and ADS 203.3.4. For more information on activity/IM M&E Plans, see ADS 203.3.5.
>
> ProgramNet also contains resources to help Missions design and implement M&E plans.

As new projects are designed, the Mission PMP should be updated from the IR level and below (or DO or sub-IR, depending on where the Project Purpose is situated); performance indicators at the Purpose, sub-Purpose and Output levels of the Project LogFrame, and evaluation questions from the project M&E plan, must be included in the PMP.

In contrast to project M&E plans, which are developed by the project team, activity M&E plans are developed by implementing partners (IPs) post-award, before major activity implementation begins. The indicators being tracked in activity/IM M&E plans should be directly informed by the project M&E plan to which they contribute and meet the data collection needs of the project M&E plan and PMP, as well as any external reporting requirements (e.g., for Presidential Initiatives and annual Performance Plan and Report). The plan need not contain all the indicators that an IP maintains for internal management purposes.

Ultimately, by aggregating the data from all of the activities contributing to a project, the project team can assess whether it is on track to meeting the results detailed in the Project LogFrame.

Figure 4 shows how project level and activity level M&E plans and the Mission PMP are interrelated.

**Figure 4: Relationship between the Mission PMP and Project and Activity Level M&E Plans**
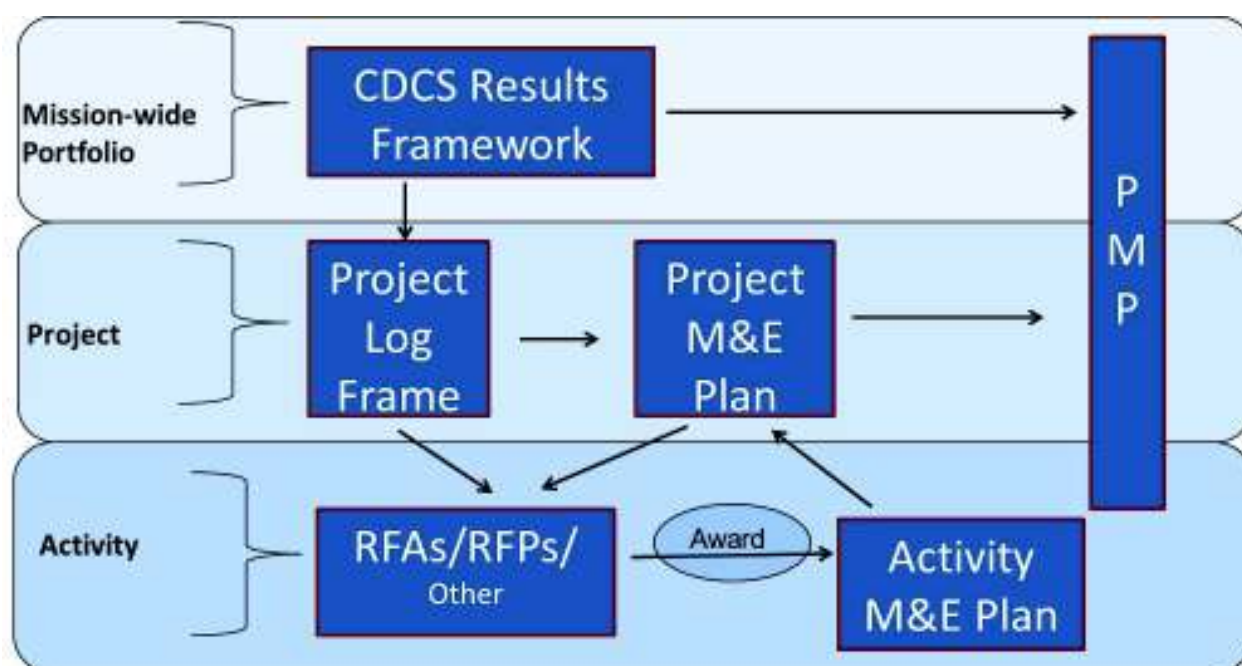


## USING THE PMP

In summary, the PMP is an active, living performance management tool that should be actively used over the course of the R/CDCS strategy. As subsequent modules of this Toolkit describe, PMP development should be a collaborative, Mission-wide process that engages stakeholders both within and outside of the Mission. Figure 5 provides an overview of some of the active uses of a PMP that will be discussed throughout the Toolkit.

**Figure 5: Examples of the Active Uses of a PMP**

**COLLABORATE**
with partners, external entities

- Solicit partner feedback during performance and context indicator development and refinement
- Share PIRS with partners who are responsible for reporting data to USAID

**UPDATE**
regularly since a PMP is a living system

- Integrate new indicators and evaluations when project M&E plans are approved
- Adjust the PMP as learning occurs, context changes, or new learning gaps are identified

**USE**
for learning and decision-making

- Analze performance against targets across the Results Framework and Project LogFrame
- Use performance data from the PMP to prepare for portfolio reviews, adapt and learn

## SUMMARY

By now you should have an understanding of:

- How PMPs are used to manage performance and monitor and evaluate the Mission's strategy

- The process of developing a PMP following the approval of a R/CDCS

- The content and format of a PMP

- The relationship between a PMP and a project M&E plan and activity M&E plan

## REFERENCES
ADS 201
ADS 203
How-to Note on Preparing a Performance Management Plan
Mission Order on Performance Monitoring
See ProgramNet for examples of PMPs and other helpful resources

# Performance Management Plan (PMP) Toolkit

## Module 1.2: Develop a PMP Team and Workplan

### OVERVIEW

A team of Program and Technical Office representatives will help to oversee the development of the PMP. The PMP development process begins with the convening an integrated, collaborative team, including the key performance management stakeholders within the Mission, and constructing a clear, detailed workplan to guide PMP development. This module will address how to assemble a team and empower Mission staff to develop the workplan.

### TOOLS

- *PMP Workplan Template*
- *PMP Roles and Responsibilities Worksheet*
- *CDCS Crosswalk Tool*

### UNDERSTANDING THE PMP DEVELOPMENT PROCESS

The Mission Program Office will typically guide the PMP development process, which begins with assembling a team and developing a PMP workplan. Although the Program Office leads this Mission-wide process, to be successful it requires a collaborative approach involving technical experts who serve on the PMP team and determine the extent to which external partners will participate.

Under Program Office leadership, the PMP team will undertake the following steps to develop a Mission-wide PMP, some of which the team will implement concurrently:

- Assign roles and responsibilities for completing the PMP
- Develop the PMP workplan
- Review R/CDCS Results Framework and illustrative indicators
- Finalize list of performance indicators
- Finalize list of context indicators
- Complete Performance Indicator Reference Sheets (PIRS)
- Establish a schedule for performance management tasks and activities
- Develop an Evaluation Plan
- Collect baseline data and establish targets
- Identify system to manage indicator data

### IDENTIFY AND ASSEMBLE A PMP TEAM

The PMP development team should include the designated Performance Monitoring Point of Contact (PMPOC) from the Program Office and the designated team members from each Development Objective

(DO) or Technical Office team. Generally, the PMPOC or Program Officer will chair the PMP development team, whose composition and technical skills should align with the Mission's portfolio. At least one representative from each DO team should participate and the chair should convene regular meetings with DO representatives. In addition, the chair should engage Mission senior management at appropriate intervals to generate buy-in and highlight the importance of the PMP to Mission staff. Examples of ways in which senior management might be engaged include giving the team a clear mandate to plan for and develop the PMP; providing senior-level insight on host government, inter-agency, and other stakeholder considerations and their associated communications needs; receiving regular updates on the progress of the PMP; and convening the Mission to officially launch PMP development.

An effective team will have a balanced set of M&E, development, and "soft" skills that include:

- Experience in the relevant sectors/subsectors

- Knowledge of performance measurement methodologies and good practices

- Knowledge of monitoring and evaluation and USAID M&E requirements

- Attention to detail and the ability to organize and manage large amounts of information

- Excellent facilitation, communication, leadership, and potentially mediation skills in order to work with diverse team members and stakeholders

- Proven analytical and report-writing skills

In addition to Mission staff embodying these skills, the PMP team should consider whether external M&E expertise is needed and how to access that expertise. While contracted M&E experts could supplement USAID staff and help the team focus on critical issues or solve problems (e.g., how to develop an indicator to reflect the quality of a process), the PMP team should also weigh the financial costs and potential impact on USAID ownership of the PMP when deciding whether to engage external consultants.

In leading the PMP process, the Program Office can coordinate inputs from the technical offices while encouraging broad, Mission-wide focus on the cross-cutting themes articulated in the R/CDCS. The Program Office coordinator role begins with clear communication and managing of expectations for regular meetings, emails, discussions, and other check-ins. Technical Office and DO team members bring complementary skills and insights, including subject-matter expertise in their respective sectors; knowledge about sector-specific indicators; and familiarity with implementing partners' M&E practices and systems. The optional *PMP Roles and Responsibilities Worksheet* (see Annex 2) provides a tool outlining the respective performance monitoring roles and responsibilities of the Program Office and Technical Office/DO representatives and follows the maxim that careful differentiation helps support successful collaboration.

## ENGAGING STAKEHOLDERS
If the Mission engaged stakeholders during the R/CDCS process, consultations likely focused on strategic issues such as the priority development challenges, stakeholder interests, donor coordination, and critical assumptions. In contrast, PMP development provides an opportunity to reengage stakeholders from a performance monitoring perspective. PMP consultations also provide an opportunity to reassess the conditions, risks, and assumptions first identified during the R/CDCS as well as solicit the insights and perspective of stakeholders that were not involved in R/CDCS development.

Junctures during PMP development at which it might be beneficial to coordinate and solicit input from external partners and stakeholders include:

- Selecting or confirming performance indicators

- Understanding availability of data sources

- Developing data collection methods

- Identifying data quality limitations

- Assessing options to monitor critical assumptions and risks

- Developing evaluation questions

**Helpful Hint**

To avoid organizational conflicts of interest during PMP development, Missions should consider the following actions:

- Inviting a wide range of interested stakeholders to sessions in which the PMP will be discussed

- Posting summaries of stakeholder meetings on the Mission's website

- Hosting stakeholder workshops on the Mission's R/CDCS Results Framework and Project LogFrames

Additionally, USAID Missions lose opportunities for synergy if implementing partners are unaware of the desired results USAID seeks to achieve and how their activities are expected to contribute to achieving these results. USAID strongly encourages DO and Project teams to share their planning documentation with partners within the guidelines and restrictions established in ADS 201.3.12 and ADS 202.3.5. This can occur by including relevant Results Frameworks and Project LogFrames in the background section of Statements of Work and Program Descriptions (for Requests for Proposals and Requests for Applications, respectively). Briefing new partner teams on the R/CDCS Results Framework and Project LogFrames can also be helpful.

## DEVELOPING A PMP WORKPLAN

The PMP workplan provides an important opportunity for PMP team members to promote effective collaboration across Mission offices. Since the PMP will demand a significant investment of time and skill, it is recommended that Missions optimize the process to realize other Mission professional and organizational benefits, such as improved understanding of and support for the R/CDCS, more effective internal communication, and building the performance management capacity of Mission staff and partners.

The PMP workplan (see Annex 3 for an optional *PMP Workplan Template*) provides a detailed snapshot of the entire PMP process, including required tasks and responsible parties. The PMP team should identify and schedule the major tasks associated in developing a PMP as realistically as possible, including anticipated level of effort for each task, timeline, and individual team members' roles and responsibilities. Mission staff should understand what inputs they will be overseeing for each task, who will provide those inputs, and when the inputs are required. The workplan is generally best developed and maintained as an Excel spreadsheet so it can be regularly updated and used to track progress toward key tasks. Considerations for developing the workplan include: deliverables for each task; key deadlines, taking into consideration the calendar time required to finish the task, holidays and vacation schedules, as well as PMP team members' workload; and the individuals with primary and secondary responsibility for ensuring each task is completed on schedule.

One of the PMP team's first tasks is to crosswalk key elements from the approved R/CDCS into the PMP, DO by DO. It is important to remember, however, that the monitoring and evaluation information taken from the R/CDCS at this point in the process is illustrative, and one of the main tasks of the PMP team is to determine if it is still appropriate or needs to be revised.

Elements of the crosswalk include:

- *Goal level indicators*: As discussed in ADS 203.3.2.1, the Program Office is generally responsible for Goal level indicators. DO teams may facilitate with the collection, calculation, and reporting of Goal level indicator data.

- *DO and IR level indicators:* Indicators at both the DO and IR levels are generally the responsibility of the DO Teams/Technical Offices, which should actively foster rich, cross-office/cross-DO collaboration. Sub-IR level indicators may be included in the initial PMP but will be further refined during the Project Design process.

- *Context Indicators:* Context indicators, which are used to monitor factors outside of the manageable control of the Mission that have the potential to affect the achievement of results, can be tracked at any level of the Results Framework and Project LogFrame. Both the Program Office (for Goal level results) and DO Teams/Technical Offices (for DO level results and below) may be involved in identifying relevant context indicators that should be tracked in the PMP.

> **Helpful Hint**
>
> Some Missions may find it useful to develop a PMP crosswalk document to help manage the transition from the approved R/CDCS to the initial PMP. This document could include columns for the R/CDCS Results Framework illustrative/proposed indicators; evaluation questions; risks/assumptions; and other elements needed for the initial PMP. The crosswalk document allows easy sharing and prioritization, and serves as a "one-stop shop" summary of the key elements from the CDCS. See the optional *CDCS/PMP Crosswalk Tool* (Annex 4).

- *High Level Evaluation Questions and Impact Evaluation Opportunities:* The Program Office and DO Teams/Technical Offices should revisit the high level evaluation questions and impact evaluation opportunities identified in the R/CDCS. The team should reexamine the rationale and justification for the potential evaluation questions identified in the strategy and identify whether any of these should be refined or adapted for inclusion in the PMP Evaluation Plan. As evaluations, particularly impact evaluations, require careful planning and scheduling, giving serious consideration to potential evaluations during PMP development can ultimately save the Mission time and result in stronger, better-thought-out evaluation SOWs.

Upon PMP approval, the Mission should have well-defined indicators at the Goal and DO levels, including Performance Indicator Reference Sheets (PIRS), baselines and targets. The Mission should also have preliminary IR level indicators, with the understanding that indicators may be further refined, and baselines established and targets set, during the Project Design process.

## SUMMARY
By now you should have an understanding of:

- How to assemble a PMP development team and create a PMP workplan

- How and why communication among PMP development teams is essential

- Considerations for engaging external stakeholders in PMP development

## REFERENCES
ADS 200
ADS 202
ADS 203

# Performance Management Plan (PMP) Toolkit

## Module 1.3: Launch the PMP Process

### OVERVIEW

A PMP kick-off session helps to introduce the PMP to Mission staff and other key stakeholders. Mission-wide understanding of the PMP workplan and PMP process will support implementation, build greater buy-in for the PMP, and strengthen the Mission's performance management capacity. This module describes a participatory approach for the PMP launch.

### LAUNCHING THE PMP

The purpose of holding a kick-off event to formally launch the PMP is to announce the PMP as a Mission-wide effort and demonstrate senior management support. In planning for the kick-off meeting, the PMP team should consider how to structure the event to achieve a common understanding of the purpose of, and timeline for, developing the PMP. In addition to describing the purpose of the PMP and Mission roles and responsibilities, the kick-off meeting provides an opportunity to reinforce collegial interaction, mutual understanding, cross-office linkages, and broad agreement on the value of a comprehensive, Mission-wide PMP.

Having a PMP launch that is open to all Mission staff can help to build the shared sense of ownership necessary for a collaborative, Mission-wide process. After opening remarks from the Mission Director, the Program Office may wish to chair the meeting and describe how staff from across the Mission will be working together to develop the PMP. This discussion should include the roles and composition of the PMP team and how it will interact with the Program Office, DO teams, and other Mission offices. The Program Office should appoint a rapporteur for the kick-off meeting to capture participants' questions and suggestions and post these minutes with the PMP workplan on the Mission's shared drive. Suggested agenda elements for the launch event include:

- Welcome by Mission Director to reinforce the purpose and value of the PMP and the importance of cross-Mission collaboration throughout the PMP development and revision process

- Program Office overview of the agenda and benefits of a PMP

- Program Office and PMP team member presentations on:

    o Roles and responsibilities, including the need for technical input from the DO teams

    o Key tasks and how they will be managed in light of what is feasible for the Mission

    o Timeline and immediate next steps and deadlines

Additional topics for the launch include:

- The value of robust monitoring and evaluation over the course of the strategy

- How the broader Mission will be engaged and kept abreast of PMP development

- Engaging partners and other stakeholders outside of the Mission

- Understanding the long-term role of the Program Office in managing the PMP

- Integrating additional action items and next steps into the timeline

- How and how often to update the PMP

Accordingly, the Program Office and/or PMP development team should determine the structure of the kick-off event (plenary, working groups, etc.); format (presentation, interactive discussion, panel, etc.); presenters; and any handouts or resource materials required.

> **Helpful Hint**
>
> To build Mission-wide buy-in and promote open communication, the Mission might consider displaying a large calendar with key PMP development tasks/milestones outside of the Program Office. Timelines or calendars that provide a visual display of accomplishments and future tasks reinforce other updates of progress. In addition to keeping everyone in the loop, this approach also engages staff who may identify opportunities where they would like to have input.

## ENGAGING STAKEHOLDERS

When engaging external stakeholders during PMP development, Missions are often concerned about disclosing sensitive procurement information. Handled correctly, external stakeholders can effectively be engaged in PMP discussions such as:

- Brainstorming potential performance and context indicators, including critical assumptions and risks

- Issues related to collecting data (including baselines)

- Possible data sources

- Relevant disaggregations

- Problems with data quality and limitations

- Frequency and availability of performance data, and

- Capacity of local research and data collection entities

Mission staff should be cautious during PMP discussions with outside stakeholders when it comes to topics related to project or activity design that could be procurement sensitive, such as specific indicators and targets, targeted geographic coverage or beneficiary populations, and planned evaluations. To avoid organizational conflicts of interest (OCI), or even the appearance of OCI during the launch of the PMP, Missions could consider the following actions:

- Invite a wide range of interested stakeholders to an external "launch" of the PMP, in order to explain the process and promote participation

- Invite a wide range of interested stakeholders to brainstorming sessions related to key parts of the PMP

- Post summaries of stakeholder meetings on the Mission's website and provide a summary of all information that the Mission shared in the meeting

- Host stakeholder workshops on the Mission's R/CDCS Results Framework and Project LogFrames

Be sure to consult with the Regional Legal Advisor and OAA with any questions and as well as to understand any additional considerations and limitations associated with discussions with stakeholders.

## SUMMARY

By now you should have an understanding of:

- Considerations when launching the Mission PMP development process

- How to review and clarify the roles and functions of the Program Office, PMP teams, Development Objective Teams, and other Mission Offices

- How to launch the PMP process to help build Mission-wide understanding and participation

- Considerations for engaging external stakeholders

## REFERENCES

ADS 201
ADS 203

**USAID** FROM THE AMERICAN PEOPLE

# Performance Management Plan (PMP) Toolkit

## Module 2.1: Developing, Modifying, and Updating the PMP

### OVERVIEW

There are three main occasions when Missions develop, modify, and update their PMP: after CDCS approval, during Project Design and implementation, and after Portfolio Reviews. This module reviews the Mission-wide PMP timeline and introduces an optional tool to help Missions document changes to the PMP.

### TOOLS

- *PMP Change Tracker Table*

### THE PMP STARTING POINT

The Mission's Performance Management Plan measures progress toward results across the entire R/CDCS strategy. Importantly, the PMP is a Mission-wide tool. There are not separate PMPs for each DO. The transition from stand-alone PMPs to a Mission-wide PMP may require collating data that is currently stored in multiple formats, locations, and data management systems across the Program Office and Technical Offices (see Module 2.10 for more information on M&E data management).

For most Missions, the starting point for the PMP is their approved R/CDCS. If a Mission does not yet have an approved R/CDCS, it should develop the PMP upon R/CDCS approval or, in select circumstances, based on other strategy documentation. Table 1 reflects how information from the approved R/CDCS is refined and further developed during the creation of the Mission-wide PMP.

**Table 1: From the approved R/CDCS to the Mission-wide PMP**

| Approved R/CDCS | Mission-wide PMP |
|---|---|
| **Illustrative performance indicators** | • Performance indicators for the R/CDCS RF and Project LogFrames defined in Performance Indicator Reference Sheets (PIRS)<br>• Baselines and targets for all performance indicators<br>• Tracking tables for all performance indicators |
| **Critical assumptions/risks** | • Context indicators |
| **High-level evaluation questions** | • PMP Evaluation Plan |
| **M&E section** | • Data quality procedures<br>• Schedule of performance monitoring tasks/ responsibilities |

## DEVELOPING, MODIFYING, AND UPDATING THE PMP

There are three major occasions during which Mission staff (DO teams, Program Office staff, and others) will be engaged in developing, modifying, and updating the Mission-wide PMP: (1) after the R/CDCS is approved (see Phase One of Figure 6); (2) during Project Design and project implementation (see Phase Two of Figure 6); and 3) following Mission Portfolio Reviews and other learning and management "triggers." Other opportunities that may call for updating and revising the PMP include, but are not limited to: analysis of performance data (e.g., if analysis suggests a need to revise targets or revisit assumptions and hypotheses); as evaluation finding are acted upon; based on management decisions (e.g., budget reallocations); and as learning occurs. The Mission will also make routine updates to the PMP throughout R/CDCS implementation, such as updating the performance indicator tracking tables with baselines, actuals and targets and updating the PMP Evaluation Plan as new evaluations are identified.

The remainder of this module discusses in greater detail the different phases in which the PMP is developed, modified, and updated.

### Figure 6: Illustrative Timeline for PMP Development and Revision



## PHASE ONE: AFTER R/CDCS APPROVAL

Missions should finalize the PMP within four to six months of R/CDCS approval. Initially, the PMP should focus on indicators at the highest level of the Results Framework—Goal, DOs, and Intermediate Results (IRs). The initial PMP may also include indicators at the sub-IR level (see ADS 201.3.3.4), though it is expected that these will be further defined during the Project Design process.

PMP development should occur upon, or in parallel with, the Mission's alignment of their existing portfolio with their R/CDCS strategy (see *Mission Order on Performance Monitoring* and ADS 203.3.3.1). During portfolio alignment, the Mission will make decisions about whether to continue, modify, or gradually terminate existing activities and implementing mechanisms. During the portfolio alignment process, the PMPOC should work with relevant technical staff to ensure that information for relevant existing indicators are included in the mission's new PMP and those indicators no

> **Helpful Hint**
>
> It is anticipated that IR (and sub-IR) level indicators will be further refined during the Project Design process. However, identifying and defining preliminary IR indicators during initial PMP development can be helpful in ensuring that these indicators are effectively linked to the CDCS RF and that the logic behind the indicators is carried through to the Project Design process.

longer needed are archived and efforts to collect those data cease. The Mission's PMPOC plays an important role in ensuring consistency and efficiency across the PMP, including for the collection of any indicators that cut across offices or DOs (see the *Mission Order on Performance Monitoring*).

As discussed in Module 1.2, upon PMP approval the Mission should have well-defined indicators at the Goal and DO levels, including Performance Indicator Reference Sheets (PIRS), baselines and targets. The Mission should also have initial IR level indicators, with the understanding that these indicators may be further refined, and baselines established and targets set, during the Project Design process. As the Mission develops its PMP, it should carefully think through the sources of data for its higher level indicators. Some of these data may have already been collected during the analysis and assessment phase of the R/CDCS process. In other cases, the Mission may need to commission its own primary data collection (e.g., survey), use secondary data sources (e.g., the United Nations, World Bank), or use a third-party source (e.g., an M&E platform) to establish baselines that can inform its target setting (see Module 2.5 for information on baselines and targets).

| |
|---|
| **Helpful Hint**<br><br>Changes to the PMP, but not the CDCS, can be documented in the optional *PMP Change Tracker Tool* ("Change Table") (see Annex 5), which documents changes across the entire PMP (where the changes documented in the PIRS focus on the individual indicators).<br><br>This Change Table provides a decision trail for future Mission staff to understand why changes were made. The Change Table also helps communicate the changes throughout the Mission, but especially to the Mission's M&E support staff, who will then ensure that the PMP and all related systems are updated appropriately. |

The initial PMP also includes the preliminary PMP Evaluation Plan (see *Mission Order on Evaluation*). The PMPOC should ensure that after Portfolio Alignment any planned evaluations from existing projects and activities that will continue under the new strategy are incorporated into the PMP Evaluation Plan. Any newly anticipated evaluations, informed by the evaluation questions in the R/CDCS, should also be included. At the time of initial PMP approval, many of the details of planned evaluations, such as the schedule and budget, may not yet be known. The Mission can include estimates and update this information as needed. The required PMP Task Schedule (see Module 2.8) can be used to plan for routine updating of the PMP, which the PMPOC should coordinate in close consultation with the DO teams.

If during PMP development the Mission identifies a need to make substantive changes to its Results Framework, such as revising the wording and/or linkages of DOs and IRs, it should refer to its *Mission Order on Strategy* for guidance on making modifications.

## PHASE TWO: DURING PROJECT DESIGN AND APPROVAL

Performance indicators in the Mission-wide PMP, particularly those at the IR and sub-IR levels, will be further refined during the Project Design process, when project designs reveal new information that will influence indicator selection and evaluation questions. The DO team (or Project Design team) will need to coordinate with the Program Office, and possibly with the regional bureau and relevant pillar bureaus, to ensure they meet any indicator requirements, including for Presidential Initiatives and annual reporting purposes.

The project design process also provides an opportunity for DO Teams/Technical Offices to assess:

- **Overlaps in indicators between different DOs, IRs and sub-IRs.** For example, assume that an indicator for a new agricultural project under the Economic Growth DO is focused on measuring the increased capacity of a farmers' association. A civil society project under the Governance DO is likewise measuring the improved capacity of civil society organizations using an Organizational Capacity Assessment (OCA) tool. The agricultural team would likely want to discuss the OCA with the governance team and determine whether the same, or a similar, tool could be used to collect its own performance indicator data.

- **Gaps in the logic of the Results Framework.** Many factors, including a change in the implementation context, better understanding of the capacity of local and other implementing partners, and new learning and knowledge, may cause the Mission to identify gaps in the logic of its Results Framework. For example, while developing a new education project, the project team may discover that it needs an additional sub-Purpose (i.e., generally a sub-IR level result) in order for its Project LogFrame to reflect what the team hypothesizes to be the necessary and sufficient conditions needed to achieve the intended result.

- **Need to revise the Results Framework.** The Mission may identify the need to revise its Results Framework (see the Mission's *Mission Order on Strategy* on procedures to make changes to the Results Framework). For example, during the Project Design process it becomes clear to the project team that the original sub-IR statement, "Civil Society Organizations capacity to provide constituent services improved," is too broad. Based on consultation with the broader DO team, the team believes that the Project Goal and Project Purpose will be best advanced by a targeted focus on rural areas. As a result, the DO team proposes a revision in the sub-IR to, "Civil Society Organizations capacity to provide constituent services in targeted rural areas improved."

Once the project M&E Plan has been approved as part of the PAD, the PMPOC must ensure that relevant performance indicators, baselines, targets and evaluation details are updated in the Mission-wide PMP (see the *Mission Order on Performance Monitoring* for the processes and procedures for making PMP updates). This includes updating the Performance Indicator Reference Sheet (PIRS) for any new or modified indicators (see Module 2.6 for more information about PIRS). The Mission should consult its *Mission Order on Performance Monitoring* if it finds a need to change, add, or drop performance indicators during the course of project implementation.

> **Mandatory**
>
> There are two exceptions when making changes: Operating Units must consult with USAID's Bureau of Global Health <u>before</u> making changes to any performance indicators for HIV/AIDS or malaria programs. Similarly, Operating Units implementing Presidential Initiatives should contact the relevant Bureaus/Offices for these Initiatives before making any indicator changes.

At the activity/IM level, implementing partners are required to submit an activity M&E plan to USAID CORs/AORs/G2Gs. CORs/AORs/G2Gs work with implementing partners 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 PMP, as well as the PPR (see ADS 203.3.5). This includes working with OAA (or RLAs and others in the case of government-to-government assistance) to ensure that relevant indicators are included in solicitation documents and negotiations with host government entities before awards are made. Project managers should work with CORs/AORs/G2Gs to ensure that any indicator being collected across different activities/IMs is consistent in definition and data collection methodology. Working with CORs/AORs/G2Gs, project managers also ensure that appropriate Initiative indicators are being collected.

## PHASE THREE: FOLLOWING MISSION PORTFOLIO REVIEWS

Portfolio reviews provide an opportunity for the Mission to assess and better understand its progress toward the desired results outlined in its R/CDCS Strategy and Project Logframes. The portfolio review provides a chance for reflection, asking questions, and identifying areas in which more evidence is needed (see the *Mission Order on Portfolio Reviews*). Topics covered include:

- 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

- What has been learned during project implementation from monitoring data, evaluations, partners, or other sources of evidence

Portfolio reviews necessitate analyzing data patterns and trends and assessing what is working, what is not working, reexamining assumptions, and identifying new risks and opportunities. The review should not only ask, "How are we doing?" but also, "What did we learn?" and "What should we change?" It is anticipated that, through learning and adaptive management, the Mission will need to modify its Results Framework and development hypotheses from time to time. Change may also come in the form of anticipated budgets not being fulfilled, an unexpected political change in the host country government, or important learning regarding the success or failure of a key intervention.

Such changes may lead the Mission to revise its R/CDCS Results Framework and, subsequently, the indicators being tracked in the Mission PMP. At the same time, in contemplating changes to its results statements, Missions should note that changing indicators threatens the comparability of data over the course of the strategy. Thus, it is important that changes are transparent, well-documented, and based on evidence, stakeholder buy-in, and careful reasoning. Since the Mission's performance management tools are inter-connected, a change in the R/CDCS and Mission-wide PMP has potential implications for the indicators being tracked at the project and activity levels and vice versa.

## SUMMARY

By now you should have an understanding of:

- The three main occasions in which Missions develop, update and modify their PMP: after R/CDCS approval, during Project Design and implementation, and following Portfolio Reviews

- Considerations when updating and revising the Mission-wide PMP

## REFERENCES

Mission Order on Strategy

Mission Order on Performance Monitoring

Mission Order on Portfolio Reviews

How-To Note on Preparing a Performance Management Plan

ADS 203

# Performance Management Plan (PMP) Toolkit

## Module 2.2: Select and Refine Performance Indicators

### OVERVIEW

A key first step in developing and updating the Mission-wide PMP after the R/CDCS is approved, or during project and activity design, is selecting and refining performance indicators. This module describes different categories of performance indicators used by USAID, describes criteria for selecting good indicators, and then suggests collaborative approaches for selecting indicators.

**TOOLS**

- *PMP Indicator Criteria Worksheet*
- *How to Facilitate the Indicator Selection Brainstorming Session*

### WHAT IS A PERFORMANCE INDICATOR?

A **performance indicator** measures a particular characteristic or dimension of strategy, project, or activity-level **results** based on a Mission's R/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 managers to assess the extent to which USAID is progressing toward its objectives. However, performance indicators alone cannot tell managers why such progress is or is not being made. Evaluations also provide evidence to help determine whether results have been achieved. However, unlike performance indicators, evaluations also used to help determine <u>why</u> (or why not) progress has been made. Other performance evidence is derived from assessments, analyses, consultations with stakeholders, and other means, such as findings from Portfolio Reviews.

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 inform decisions about current and future programming. An indicator is *neutral*; in other words, it is not defined as increasing or decreasing. The **actual** data collected and reported for the indicator is how a Mission determines which direction a change has occurred and tracks progress toward the results it seeks to achieve. Key performance monitoring terms include:

- A **baseline** is the value of a performance indicator before implementation of a project or activity begins.
- A **target** is a specific, planned level of change from the baseline that is expected to be achieved within an explicit timeframe with a defined level of resources. Most performance indicators have multiple targets: the final (or life of project, life of strategy, or even life of activity target), and intervening targets between the baseline and the final target, at appropriate intervals, when data is being collected, analyzed and reported for decision-making or other purposes.
- **Actuals** reflect indicator data that has been collected, verified, and reported at a specific time interval after the baseline has been established (as compared to data that has been planned or

projected, such as a target). The data collection methodology for the baseline and the actuals must be the same over time for the performance indicator (e.g., if a household survey was used to collect the baseline, then the same methodology should be used to collect the actuals).

Since changes in indicators are also affected by outside factors (e.g., the weather, agricultural inputs and commodity output prices, civil unrest, the governance environment, etc.), care must be taken not to assume that changes reflected in indicator actuals are solely or even primarily the results of project inputs, particularly at the outcome level. Performance indicators that measure output-level results (e.g., number of people trained) are more easily attributable to USAID's interventions than outcomes (e.g., increases in household income). Likewise, indicators often reflect one dimension of progress and should not be mistaken for measuring complete achievement of outcome-level results.

## EXAMPLE 1

The result you seek to achieve is to lose weight. Your baseline is how much you weigh now. Your target is how much you want to weigh. Your indicator is your weight on a scale. Your activities/interventions might include eating better and getting more exercise.

**Baseline** = 165 pounds

**Target** = 140 pounds

**Indicator** = daily weight according to a scale

## EXAMPLE 2

The result you seek to achieve is to increase employment of targeted youth. Your baseline is how many in the targeted group of youth are unemployed. Your target is based on research and findings from past interventions focused on increasing job access for unemployed youth. Your activities might include an assessment to identify vacancies at potential employers, vocational training, apprenticeship opportunities, and training in resume writing and interview skills.

**Baseline** = 30,000 unemployed youth within the targeted group

**Target** = 15,000 unemployed youth within the targeted group at the end of a three-year project

**Indicator** = Number of youth within the target group who respond that they are unemployed

Note that with Example 2 there are significant unknowns that are not included in the brief narrative, such as:

- Indicator definitions, including how we define terms such as "youth" (for example, age range, sex, other individual characteristics), "targeted group" (for example, location, ethnicity, gender, and other group characteristics), and "unemployed" (for example, no work at all, no full-time work, any work for less than 20 hours per week, less than 30 hours of work per month)

- How the data is collected (for example, through a poll or survey, or another method)

- How the baseline was established

- Which methodology was used to set targets

These questions need to be addressed when selecting performance indicators and establishing baselines and targets. The answers to these questions should be documented in the Performance Indicator Reference Sheet (PIRS) for each indicator (see Module 2.6 for information on how to complete a PIRS).

## CATEGORIES OF PERFORMANCE INDICATORS

This module discusses three broad ways of categorizing indicators: (1) by method of data collection; (2) by complexity; and (3) by U.S. foreign assistance framework. A performance indicator can be mapped to more than one of these categories. For each of the indicator types within these categories, it is important to keep in mind their relative strengths and weaknesses.

## (1) CATEGORIZING BY METHOD OF DATA COLLECTION: QUANTITATIVE AND QUALITATIVE

Performance indicators at USAID are typically reported as numbers and compared to numerical baselines and targets. However, performance indicators may be categorized as quantitative or qualitative based on the nature of the underlying data.

### QUANTITATIVE INDICATORS

Quantitative indicators are based on mathematical quantities. Outputs are usually measured with quantitative data—for example, the number of farmers trained in new agricultural techniques, as collected by training records maintained by the implementer. Another example is the number of disputes resolved by trained mediators, as collected through direct reporting by the mediators. Quantitative indicators can also be used to measure outcomes. For instance, if we want to see how effective our training was in actually changing farmer practices, we could design a survey to examine farmers' agricultural techniques pre- and post- USAID training. In this case our indicators might be "the number of farmers in the targeted area using new agricultural techniques six months post-training" (of course, we would want to clearly define "using") or "percent of targeted (farmer) beneficiaries using new agricultural techniques six months post-training."

### QUALITATIVE INDICATORS

Qualitative indicators are based on more subjective criteria, such as perceptions or expert review. Outcomes are often measured with qualitative data. Qualitative indicators can add value to decision-making by providing richness and depth to data, providing a fuller understanding of observed results than quantitative indicators alone. Qualitative indicators, however, can also be more difficult to understand than quantitative indicators because they rely on subjective interpretation and frequently require technical and sectoral expertise in order to understand the change that they are measuring. An example is the confidence people have in their local government, collected through focus groups with targeted populations. Another example is the quality of disputes resolved by trained mediators, collected through key informant interviews of the parties to the dispute. Qualitative indicators are often reported in numerical form, such as a ranking or number on a scale, but those numbers do not have arithmetic meaning on their own. An example is the aggregate score of the organizational capacity of targeted civil society organizations, collected through an Organizational Capacity Assessment that rates seven characteristics of high-functioning organizations.

> **Good Practice**
>
> Missions may want to consider identifying expert checklists, rating scales, and other qualitative data sources that already exist and are in use by development organizations. These data tools can be modified to fit the country context of your Mission. Check with sector experts and look at international health or demographic surveys for clues.
>
> For example, one Mission needed information on how to measure the capacity of private sector firms for a performance indicator. An international NGO had created a comprehensive index to measure similar capacity in a more developed country. After identifying this index, an expert in capacity assessment tools and a local expert in private sector firms examined the index and selected a small set of key ratings that were relevant to the country context and would allow the activity/IM managers to get the critical performance data they needed.

Two common qualitative indicators that utilize quantified data collection methods are **milestone indicators**, which measure progress along a path, such as steps it takes to pass a law through the legislature (see Table 2 for an example); and **rating scale indicators**, which ask respondents to make value judgments on a scale (such as 1 to 5), where every number of the scale is defined.

### Table 2: Example of Legislative Milestone Scale

| Stage | Legislative Milestone Scale | Priority Policy Issue #1 |
|---|---|---|
| **Stage 1** | Interested groups propose that legislation is needed | |
| | Studies/research are conducted on the issue | |
| | Public hearing or forums are held on the issue | |
| | Draft proposals are submitted | |
| **Stage 2** | Issue is introduced in the legislative committee or ministry | |
| | Committee/ministry discussion is held on the issue | |
| | Hearings are conducted by committee/ministry | |
| **Stage 3** | Legislation is drafted by relevant committee or ministry | |
| | Legislation is submitted to the legislature | |
| **Stage 4** | Parliament debates the legislation/Ministry debates the order | |
| **Stage 5** | Legislation is read | |
| **Stage 6** | Legislation is passed by full approval process | |
| **Stage 7** | The executive branch approves the legislation | |
| **Stage 8** | No immediate need identified for amendments to the law | |
| **Stage 9 (Implementation)** | Detailed policy implementation plan developed | |
| | Operating regulations passed | |
| | Information publicly disseminated | |
| | Administering agencies informed and technical assistance provided so they can fulfill new roles/responsibilities | |
| | Financial resources are allocated and disbursed for implementation of new law | |
| | Organizational restructuring takes place | |
| **Stage 10 (Enforcement)** | Administering agencies are sanctioned for not carrying out new law/policy; or Private sector organizations are sanctioned for not applying/adhering to new law/policy | |

For both milestone indicators and rating scale indicators, the Performance Indicator Reference Sheet (PIRS) for that indicator should clearly define each milestone or each value on the scale. The PIRS should also include a clear description of how these indicator tools will be implemented and scored. For instance, in some cases checklists or expert observers might be used to make judgments, but it is important to make sure that the same definitions and criteria are used over time, even if the observers change.

## (2) CATEGORIZING BY COMPLEXITY

### INDIVIDUAL (OR SIMPLE) INDICATORS

Individual (or simple) indicators measure a single quantity or single dimension of a result. They typically have a single data source or type of data source. An example is the number of targeted small and medium enterprises with increased sales, collected from firm records and used to measure the result "small and medium enterprises strengthened." Sales data is only one dimension of the result; there are additional indicators that the Mission could collect to measure other changes related to strengthening enterprises.

### INDEX (OR COMPOSITE) INDICATORS

Index (or composite) indicators combine two or more data sources into a single measure. 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 the Freedom House Index, Ease of Doing Business Index, Couple Years of Protection (CYP), 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, it is important to clearly document in the Performance Indicator Reference Sheet precise definitions, a description of how the index is constructed, the methodology and procedures for data collection, and a clear explanation for how the index is interpreted.

## (3) CATEGORIZING BY U.S. FOREIGN ASSISTANCE

### "STANDARD FOREIGN ASSISTANCE FRAMEWORK" INDICATORS

"Standard Foreign Assistance Framework" indicators are used in the annual Performance Plan and Report (PPR) that is required of all State and USAID Operating Units that program U.S. foreign assistance. Targets and actuals from standard indicators become the basis of the annual Performance Plan and Report (PPR) to Congress required by the Government Performance and Results Act Modernization Act (GPRAMA). Standard foreign assistance indicators and accompanying indicator reference sheets are available on the Office of U.S. Foreign Assistance Resources SharePoint site (http://f.state.sbu/Pages/Indicators.aspx) and are discussed in ADS 203.3.7. Missions must use the standard indicators that are required, as applicable. To the extent that standard indicators are useful for conveying program achievements to stakeholders or useful for performance monitoring purposes, Missions are encouraged to use them along with custom indicators. Detailed instructions on indicator selection for the PPR can be found in the annual PPR guidance released by the Office of the Director of U.S. Foreign Assistance.

### CUSTOM INDICATORS

Custom indicators are those performance indicators that are not included in the list of "Standard Foreign Assistance Framework" indicators. These indicators are identified and developed to measure achievement of results where standard indicators are not useful or applicable for decision-making, or where substantive changes are needed in the standard indicator's name and definition in order to make the indicator applicable to the Mission's context.

> **CONTEXT INDICATORS**
> In addition to performance indicators, Missions can use **context indicators** to monitor conditions relevant to the implementation and performance of their strategy, projects, and activities, such as macro-economic, social, or political conditions. For more on context indicators see Part 2.4.

## CONSIDERATIONS IN SELECTING PERFORMANCE INDICATORS

When selecting performance indicators, the PMPOC, DO team, and project teams including COR/AOR/G2Gs, and Activity Managers should consider the following:

**1. Select 1–3 indicators per result statement that sufficiently measure progress toward achievements.** Each result in the CDCS results framework must have at least one performance indicator and preferably no more than three. Having multiple indicators per result can help ensure that important dimensions of the result are tracked when they cannot be tracked by a single indicator. Limiting the indicators to no more than three per result helps ensure that the most important indicators are being tracked without overly complicating the performance monitoring process. Ultimately, 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.

**2. As noted in ADS 203.3.6, USAID Missions/Offices should ensure that the selected indicators will lead to performance monitoring data that meet the data quality standards.** While indicator selection is not the only factor in assuring data quality (how the data is collected, for example, also effects data quality), it is an important factor; a poorly developed indicator will likely lead to poor data quality. Indicator data that do not sufficiently meet these quality 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. As the PMP team reviews potential indicators, it should consider the questions listed in Table 4 when selecting the best set of indicators to measure performance. (See the _PMP Indicator Criteria Checklist_ in Annex 7 for an additional resource to help with assessing the strengths and weaknesses of each indicator.)

**3. Consider cost and utility in addition to quality.** Keep in mind that because few indicators are perfect, the Mission will benefit from selecting the indicators that best measure its results rather than spending time and resources in an attempt to select perfect indicators. In addition to the data 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.

**4. Consider selecting and/or adapting indicators rather than developing indicators from scratch.** The goals, objectives, and intermediate results found in a R/CDCS Results Framework may be specific to a particular mission and country contexts, but similar goals and objectives are likely to be found in other contexts. Consequently, there may be existing indicators that can be appropriately selected or adapted to measure the progress toward R/CDCS results. As previously noted, U.S. Foreign Assistance standard indicators should be used if appropriate. In addition, Missions should also consider relevant third-party data sources and indicator handbooks as sources for performance indicators to be adapted for their needs.

Ultimately, in selecting performance indicators to measure the results in the R/CDCS Results Framework and Project LogFrame, the Mission should choose the combination of indicators best suited to measure whether the results have been achieved, taking into account cost, data availability, and other pertinent considerations. For example, simple quantitative indicators used to measure achievement of higher-level results may be relatively easy to manage, but might not be the best indicators to measure the richness and depth or breadth at this level of outcomes. On the other hand, overuse of complex qualitative indicators, particularly at lower levels of the Results Framework or Project LogFrame, could be a considerable management burden to COR/AOR/G2G and other Mission staff.

**Table 3: Performance Indicator Strengths and Weaknesses**

| | Indicator Category | Examples | Strengths | Potential Weaknesses |
|---|---|---|---|---|
| **Method of data collection** | **Quantitative** | Number of targeted youth employed<br><br>Percentage of export staff who can identify more than one trade law | Quantitative indicators are easier for stakeholders to interpret | Not always possible to quantify all results, particularly those that address complex and subjective outcomes |
| | **Qualitative** | Freedom House civil liberties rating<br><br>Score on Legislative Milestone Scale | Qualitative indicators can capture people's judgments or perceptions about a subject | Qualitative measurement tools are often difficult to define and use correctly. Qualitative data is sometimes overly subjective and misleading in its precision (e.g., how much better is an average rating of 2.75 than an average of 2.85? Does this difference have real meaning?) |
| **Complexity** | **Individual (Simple)** | Number of property titles officially registered within nine months (from the Land Register Office) | Individual indicators have a single data source, allowing for ease of collection and analysis | Individual indicators may not sufficiently capture the entirety of the result they measure |
| | **Index (Composite)** | Number of days it takes to register a business (can come from between three and up to 10 different reports or studies) | Index indicators quantify complex issues, such as the quality of public services | Index indicators are often not transparent due to the complexity of how they are constructed; they can hide important changes in the individual components of the indicator |
| **Foreign Assistance Framework** | **Standard F** | Number of jobs attributed to Feed the Future (FTF) implementation<br><br>Number of hectares under improved technologies or management practices as a result of USG assistance | Collected worldwide; standardized definitions; unit of measure and data source via indicator handbooks | May not sufficiently capture project results or only capture partial results, because they are not adapted to the context-specific result being measured (often better for tracking and reporting than making management decisions within the Mission) |
| | **Custom** | Percentage of beneficiaries who can identify three or more of their civil rights | More directly measure the achievement of results that are tailored to a specific country or regional context | Because these are tailored to the context-specific result being measured, these indicators are difficult to aggregate regionally or globally |

**Table 4: Data Quality Standards**

| Quality Standard | Definition | Considerations/Questions |
|---|---|---|
| Validity | Data should clearly and adequately represent the intended result | Does the data directly and clearly measure the result statement? |
| Reliability | Data should reflect stable and consistent data collection processes and analysis methods over time | Does the data reflect stable and consistent data collection processes and analysis methods over time? |
| Timeliness | Data should be available at a useful frequency, should be current, and should be timely enough to influence management Decision-making | Will the data be available when it is needed? Is the data current? |
| 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 | Does the data have a sufficient level of detail to permit management decision-making? Is this indicator by itself enough? Does it capture enough of the result? What other indicators are needed to measure the result? |
| Integrity | Data collected should have safeguards to minimize the risk of transcription error or data manipulation | Does the data have safeguards to minimize the risk of transcription error or data manipulation? |

When selecting indicators, the PMP Team, DO team, and Project Design team should ask the following questions:

- Can we make meaningful management decisions (e.g. decision to scale, decisions regarding implementation) with these indicators?

- What are the strengths and weaknesses of each of these indicators in terms of getting objective, meaningful information that adequately captures the results we seek to measure?

- Can indicators be defined in such a way that will be understood by stakeholders outside of the sector or technical area?

- What will be the management burden (in terms of both time and cost) on the Mission staff and the implementing partners to collect and report on these indicators?

- Are the indicators within our management interest? Do the indicators measure dimensions of the result that can be directly or indirectly influenced through our projects and activities?

Table 5 provides examples of how to improve performance indicators.

**Table 5: Examples of Creating Better Performance Indicators**

| Example | Better Example | Explanation |
|---|---|---|
| *Goal:* Country's Transition Towards Established Middle Income Status Accelerated<br><br>*Indicator:* Rate of increase in Country's HDI score | *Goal:* Country's Transition Towards Established Middle Income Status Accelerated<br><br>*Indicator:* Gross National Income (GNI) in purchasing power parity per capita | Indicators should be neutral; the HDI score could remain the same during the R/CDCS timeframe or even deteriorate (e.g., if there was a natural disaster). The HDI also measures four broad human development categories—Very High Human Development, High Human Development, Medium Human Development, and Low Human Development—and no longer measures the category of high- / medium- / low-income countries (see http://hdr.undp.org/en/statistics/hdi/). |
| *DO:* Judicial system strengthened<br><br>*Indicator:* Annual budget allocation for the MOJ | *DO:* Judicial system strengthened<br><br>*Indicator:* Percentage of courts' operational costs covered by MOJ budget | The activity may improve the budget of the MOJ—if, for example, the budget is developed out of analysis and linked to MOJ objectives. However, ultimately, the allocation of budget to the MOJ may be driven by externalities that neither the activity nor the MOJ control. |
| *IR:* Basic Education Strengthened<br><br>*Indicator:* Hours teachers have devoted to reading skills over the past month | *IR:* Basic Education Strengthened<br><br>*Indicator:* Improvement in students' reading test scores | In this case, the first example has an indicator that is not a direct measure of the result. It also has too high a collection burden, since it requires teachers to accurately record schedules daily. The "better" example measures the result statement and has a lower collection burden. The indicator should be as cost-effective as is needed for the management decision that will use that indicator. |
| *IR:* Increased Transparency of Key Public Sector Institutions<br><br>*Indicator:* The passage of the Freedom of Information Act (FOIA) | *IR:* Increased Transparency of Key Public Sector Institutions<br><br>*Indicator:* Number of regulatory processes changed as a result of input during public hearings | The first indicator is not direct. Simply because the FOIA is passed does not indicate whether there is increased transparency among target institutions. |
| *Sub-IR:* Targeted legal reforms to promote investment strengthened<br><br>*Indicator:* Number of laws passed to promote direct investment | *Sub-IR:* Targeted legal reforms to promote investment strengthened<br><br>*Indicator:* Score on Legislative Milestone Index for Direct Investment Law | The objective is to have as many useful indicators for management as possible. The original indicator was standard but it may take several years for the law to be passed; a more useful indicator may track progress over time. |

| | | |
|---|---|---|
| *Sub-IR*: Improved quality of legal decisions<br><br>*Indicator*: Number of days it takes for judges to make a decision | *Sub-IR*: Improved quality of legal decisions<br><br>*Indicator*: Number of days it takes for judges to make a decision<br><br>*Indicator*: Percentage of decisions overturned through appeal | The first indicator is adequate primarily because it seems to measure an aspect of quality; however, the addition of a second indicator provides better information on the result and demonstrates the focus of the activities that might be implemented to achieve this result. Also be sure to identify any assumptions relevant to the indicator (e.g., poor-quality decisions will be appealed). |
| *Sub-Purpose*: Increased employment among youth<br><br>*Indicator*: Percentage of trainees who apply concepts taught in training (data is derived from a survey that is conducted once every 5 years) | *Sub-Purpose*: Increased employment among youth<br><br>*Indicator*: Percentage of trainees who apply concepts taught in training (data is derived from key informant interviews of a sampling of firms once a year) | The lag in date and time of the survey data for the original indicator makes this indicator data source untimely and not very useful to make management decisions. |
| *Sub-Purpose*: Business development strengthened<br><br>*Activity/IIM Output Indicator*: Number of successful firms | *Sub-Purpose*: Business development strengthened among targeted firms<br><br>*Activity/IIM Output Indicator*: Number of targeted firms with an annual increase in revenue of at least 5 percent | In the first example, "successful" is an ambiguous and subjective term; people will interpret it differently. Narrowing the scope to "targeted firms" also makes it clear that the intervention will focus not on the entire business community but a sub-set of selected firms. |

## MOVING FROM THE APPROVED R/CDCS TO THE MISSION-WIDE PMP

In developing indicators for the initial PMP (and later when revising and updating the PMP after approval of project M&E Plans and activity/IM M&E Plans), different Mission staff may be involved. During initial PMP development, the active participation of the PMPOC, the DO team, and others from the program and technical offices is necessary. With project and activity M&E plan approvals, the locus of participation shifts to project design teams, with support from the PMPOC as needed.

Table 6 provides some suggestions on documentation that Missions can consult when embarking on indicator development. (Note: The optional *R/CDCS PMP Crosswalk* discussed in Module 2.1 can serve as a tool to document changes in moving from the R/CDCS to PMP.) Once relevant information has been identified and analyzed, and the Results Framework and Project LogFrame are understood by everyone who will be involved in indicator development, the next task is to identify and define indicators. This entails first analyzing those illustrative indicators already identified in the R/CDCS, and next refining, augmenting, eliminating, and finally choosing the best performance indicators with which to measure progress toward the relevant results statement.

**Table 6: Examples of Initial Documentation That Mission Should Consult When Developing Indicators**

| When developing indicators for the… | Suggested documents to consult include… |
| --- | --- |
| Initial Mission PMP | • Mission R/CDCS, including the Results Framework, illustrative indicators, critical assumptions and risks, and the illustrative high-level evaluation questions<br>• Required and optional assessment information conducted as part of R/CDCS development |
| Project M&E Plan | • Mission R/CDCS, particularly the relevant IR and sub-IRs, depending on where in the R/CDCS Results Framework the project's Goal and Purpose are set<br>• Any identified illustrative indicators and critical assumptions and risks<br>• Required and optional assessment information conducted as part of the project design process |
| Activity/IM M&E Plan | • The COR/AOR/G2G/AM should share key information from the Mission R/CDCS for the relevant IR and sub-IRs with the IP. Even at the activity/IM level, the IP should understand the DO-level results to which the activity will be contributing.<br>• In addition, the IP should know any components of the Project M&E plan that they are expected to include in the Activity/IM M&E Plan, such as required indicators, evaluation questions, and critical assumptions. |

## HOW TO SELECT PERFORMANCE INDICATORS

Brainstorming or working sessions can be used to identify or refine potential performance indicators. However, brainstorming/working sessions can also be frustrating to some team members because certain voices can dominate the discussion, the discussion can be unfocused (or not action-oriented), and some team members may feel that not enough time has been given to their points of view. Lessons learned from other indicator development efforts at USAID are that all voices need to be heard early in the indicator development process, an early and broad consensus is critical to preventing the overturning of completed work later in the process, and there are specific times when consulting outside of the core team is critical both for building stakeholder ownership of the indicators that will be used and for the results themselves.

Prior to the indicator selection process, the PMP Team should collect all relevant lists of indicators, including but not limited to: the Standard Foreign Assistance Framework indicators, Presidential Initiative indicators, sectoral and technical indicator sources, sources of indicators identified by Pillar Bureaus, and other relevant sources. A lesson learned is that more time spent consulting with sector experts, looking for and identifying better indicators, and involving different opinions will lead to better indicators.

When determining who should attend the brainstorming sessions, the PMP Team should consider including:

- Mission staff appropriate for the level of the indicators that are being selected or revised. For example, the Program Office should work with the DO teams to finalize indicators for the Goal, DOs, and higher-level context indicators. (See Module 2.4 for more information on context indicators.)

- Partners and other stakeholders, who may have additional or more nuanced information on data sources, data collection methods, or ideas regarding disaggregation.

- Technical and sectoral experts, which can provide a deeper appreciation of the costs and benefits of specific indicators.

The Program Office typically helps facilitate an indicator brainstorming/working session with the relevant technical and DO staff. This session could be an iterative process over a number of days, for a few hours each day, so that participation is not overly onerous. A strict deadline should be set in order to ensure that the debate does not continue indefinitely. Figure 7 highlights suggested steps for these brainstorming/working sessions.  See the *PMP Indicator Selection Brainstorming Session Facilitation Tool* (Annex 6) for good practices in facilitating a performance indicator brainstorming session (see Step 4 in Figure 7).

After indicators are selected, all indicators should be defined and documented in Performance Indicator Reference Sheets.

## ENGAGING STAKEHOLDERS

In line with the principles of the Paris Declaration on Aid Effectiveness, the Accra Agenda for Action, Busan Partnership for Effective Development Cooperation, and the principles of USAID Forward, both the R/CDCS and the Project Design processes should include as appropriate the active engagement of partner country governments and local organizations, other U.S. government entities, and USAID/W stakeholders. Stakeholders may also have expectations or even requirements that certain

> **Good Practice**
>
> Consider asking the Program Office to facilitate indicator brainstorming or working sessions involving Program Office and DO team staff to create buy-in. Conducting similar sessions with host government and other partners, as well as other key stakeholders, can foster buy-in to the Missions' R/CDCS and better ensure that indicators are good measures for the result and feasible and realistic to collect.  Such participatory processes can also improve data collection and quality because partners will better understand the Mission's indicators and intended results.

indicators will be used, or that certain data collection and reporting by the Mission will take place.

For the most part, these stakeholder expectations are often focused on indicators for Presidential Initiatives, host government strategies, international or global indicators, certain "Standard" Foreign Assistance Framework indicators, and sometimes indicators related to funding requirements. Active engagement of stakeholders can both leverage relevant knowledge and best practices held by non-Mission staff as well as strengthen USAID's capacity to achieve R/CDCS results by building partnerships and local ownership with stakeholders that will help achieve USAID's objectives.

Active engagement of stakeholders during performance indicator development can be helpful in:

- Helping to assess the reliability of potential data sources and practicality of data collection methodologies;

- Validating indicators or suggesting alternative indicators;

- Helping the Mission align indicators to the Host Country's national development plan or other critical national data collection efforts;

- Aligning the Mission's data collection efforts with other donor efforts, including opportunities to co-fund (and thus reduce overall costs of) surveys, polls, or other costly data collection methods;

- Assisting in establishing appropriate methods for setting performance indicator targets; and

**Figure 7: Steps for Indicator Brainstorming/Working Sessions**

**(1) Review the Results Framework and Project LogFrames.** Make sure that the development hypothesis, causal logic, and key results terms are clearly understood. As the team revisits these results and purposes, potential measures for the results begin to emerge.

**(2) Review Existing Indicators.** Start with the indicators developed for the CDCS and indicators from aligned activities of the existing portfolio to determine if these are still the appropriate indicators. If these are still relevant and the team believes that they reflect the best measures for the result, then DO teams may be able to move directly to Step 4.

**(3) Brainstorm and Select Additional Indicators.** Working result statement by result statement, or purpose by purpose, the team should brainstorm indicator ideas. Questions to ask include: "What data would indicate that the result/purpose is being achieved?" and "What data would be useful for management purposes?"

**(4) Revisit and Revise.** Hold sessions as necessary to reach agreement on the performance indicators. After sharing indicators with external partners, the team should reconvene to discuss partner feedback.

## SUMMARY

By now you should have an understanding of:

- The different categories of indicators used by USAID and their relative strengths and weaknesses

- Criteria for selecting quality indicators

- Steps to conducting indicator selection working sessions

- Engaging stakeholders in selecting indicators

## REFERENCES

How-To Note on Preparing a Performance Management Plan

ADS 203

# Performance Management Plan (PMP) Toolkit

## Module 2.3: Determine Data Collection Methods

### OVERVIEW

Determining appropriate data collection methods and data sources need not be overly onerous. However, there are several key considerations when selecting data collection methods, including the nature of the indicator. This module focuses on the difference between primary and secondary data sources, suggested steps when developing a new data collection tool, and potential data collection limitations.

### TOOLS

- *Overview of Select Data Collection Methods*
- *Data Collection Capacity Assessment Tool*

### DATA COLLECTION FOR PERFORMANCE MONITORING

When selecting and refining indicators, staff involved in indicator selection should give important consideration to how the data will be collected, including cost and feasibility.  Determining appropriate performance indicators is typically an iterative process and may be shaped by data considerations.  For example, the team may collectively agree on a "good" indicator (see discussion about performance indicator criteria in Module 2.2) but find that the anticipated data collection methodology is not practical.  Subsequently, the team may need to revise the indicator to one that calls for a more realistic data collection method.

Data for performance indicators can be collected from a wide variety of sources using a number of different methods, each of which comes with its own strengths and limitations. Sources and methods will vary in levels of rigor, extent of participation, anticipated validity, and in required resources.  Per ADS 203.3.4.4 and 203.3.1.3, the selection of appropriate data collection methodologies and sources should be guided by which indicators are most appropriate to measure the results the Mission seeks to achieve, taking into account cost, feasibility, and other considerations.  For example, if the result is related to citizen perceptions, then the data collection methodology should be appropriate to collecting perception data. In order to be useful for performance monitoring purposes, it is important that data is an accurate reflection of activity inputs, outputs, and outcomes, and that USAID decision-makers have a good understanding of the level of confidence they can have in the data. Data Collection Method Considerations

In selecting data collection methods, teams should look at the range of available options to determine which methods best meet USAID's needs for each performance indicator. Common data collection methods can be found in the *Overview of Select Data Collection Methods* (see Annex 8), along with corresponding strengths, weaknesses, and examples.

### CHOOSING THE DATA COLLECTION METHOD

When analyzing the appropriateness of data collection methods, teams should ask the following questions:

- Are there data collection tools available and appropriate for what needs to be measured?

- Will the data collection method yield consistent results?

- How often do we want the data? Are we able to collect the data in a timely manner?

- Who will be collecting this data, and who will be analyzing and reporting on it?

- Have we reviewed the data quality standards to identify any key data quality considerations (see Module 2.7)?

The best data collection systems are designed to be as simple as possible while generating accurate and reliable data in a timely way. Above all, data should be useful. As such, feasibility and practicality should play a large role in the selection of your data collection method. Consider the capacity of your data collectors, the level of effort and resources required, contextual and country context, staff capacity and knowledge, Mission leadership and team buy-in to the data collection methods, and your management and decision-making needs. This may require pricing out specific data collection options.  For instance, reviewing secondary data is typically less expensive than primary data collection.

Other considerations could include, for example, public attitudes toward certain data collection methods. For instance, in some countries surveys are not viewed positively and teams receive poor survey response rates. Some cultures or religions may have an aversion to pictures or audio-visual materials, while these methods might be used quite successfully in other areas. Access to government and other partners' information, as well as confidentiality concerns and requirements, are other important considerations.

Of note, there are often trade-offs, particularly between the cost and quality of data, and between different data quality standards. Certain data collection methods may be inexpensive and quick, but have less validity than other more expensive and timely options. If data costs are prohibitive, Missions should consider the following (see ADS 203.3.2.3):

- Revising the data sources and data collection methodology

- Selecting another performance indicator with less expensive data collection methods

- Assessing the possibility of modifying the relevant result statements and corresponding indicators (see Module 2.1 on making changes)

Missions should ensure that the data collection method is both necessary and sufficient to gather indicator data and mitigate potential biases, while also being feasible and practical to collect.  For example, the best indicator for a given result may be a complicated milestone index, with weights for scoring. However, because of its complexity, an index can be prone to being scored incorrectly.  If there are concerns about the validity or reliability of the data collection methodology, it might be better to choose a "second" best indicator that captures the result less well but has fewer opportunities for miscalculations and unintentional errors.

Performance data should be as complete and consistent as needed.  More data is not always better if it puts undue burden on staff or partners to collect information that has limited utility.  The team should always think critically about how each piece of information will be analyzed and used.

## IDENTIFICATION OF DATA SOURCES

In identifying an appropriate data collection methodology, another important consideration is data sources.

**Primary data sources** are collected by USAID, the IPs, or third-party entities contracted for this purpose. IPs generate performance data from the activities that they manage, and can include activity records, surveys, observations, photos, panels of experts, participant sign-in sheets, Geographic Information Systems,

interviews, pre- and post-tests, or other statistics. Primary data source methods could include surveys, polls, focus groups, mixed methods, interviews, and GIS. USAID generally has more visibility over the quality of this data than that collected from secondary data sources.

Table 7 details **pros** and **cons** associated with outsourcing data collection efforts to third party M&E firms (such as through an M&E support contract).

### Table 7: Considerations for Using Third-Party M&E Firms for Data Collection

| Pros | Cons |
|------|------|
| Reduces the management and oversight burden on Mission staff | Can also reduce the Mission's understanding of data quality issues; there are also lost opportunities for analysis by the priority users of the data |
| Can ensure that data collection is done by experts with the technical and practical knowledge required | Eliminates the need for USAID staff to gain this capacity and knowledge, building a dependency for external support |
| Introduces an element of objectivity, since a third-party data collector has no vested interest in meeting targets | The external data collectors might not understand how the data is necessary for making decisions and for assessing whether R/CDCS results are being achieved |
| Potentially can promote greater consistency and efficiencies for the Mission, since data collection efforts could overlap between different DOs (for example, by collecting data in a specific geography for all DO and projects in that area, or by collecting similar data using the same methodology) | Can unintentionally delegate identification of cross-cutting links across the R/CDCS to a third party |

**Secondary data sources** are collected by other entities and are typically not under USAID control. Secondary sources include data from government ministries, research institutions, financial institutions, and international donors or organizations. USAID does not necessarily have the right to this data, nor does it necessarily know the quality of the data.

Six major sources of data that may be available to the Mission include:

1. Multilateral and bilateral organizations
2. Host government systems
3. Local organizations
4. International research organizations
5. Implementing partners
6. Third-party monitoring and evaluation firms

Some of these entities can be contracted by USAID for primary data collection, while others may produce secondary data that can be used by USAID.

To identify potential primary and secondary data sources, some possible steps include:

- Distribute your list of indicators to a group of stakeholders and hold a brainstorming session (see Module 2.2, particularly the tool titled "How to Facilitate the Indicator Selection Brainstorming Session").

- Have discussions with key informants who are knowledgeable about data sources and methods. These may include university professors, research organizations, government ministries, and data collection firms.

- Consult with regional and technical experts within USAID and other USG agencies (e.g., the Regional Mission may be able to ask other Missions for ideas on data sources).

- Use books, guidelines, and websites to find out what has been done in similar contexts.

- Try to align your data collection needs with host country counterparts, other donors, and implementing partners. This should lessen the overall data collection burden within the Mission, and help promote aid effectiveness (see ADS 203.3.2.2).

- Conduct or bring in an expert to conduct an assessment of the capacity of local partners to engage in data collection (see section below on local sources of data).

Each of these processes should incorporate an understanding of what data are already being collected and whether or not the existing data source has the capacity to collect the data according to the defined methodology. When identifying new data sources, it is important to recognize gaps, opportunities, limitations, and contextual factors that may affect the team's ability to access, collect, and use certain data sources and methods.

## LOCAL SOURCES OF DATA

Reflecting the principles of USAID Forward, Missions are encouraged to partner with local research organizations and host government systems to support data collection. Provided sufficient capacity exists, local organizations can help the Mission determine appropriate data collection methodologies, collect data, manage data processing, and analyze data. Such local organizations may include:

- Institutes of higher education

- Private sector firms (e.g., polling and survey firms)

- Non-profit organizations (e.g., research institutions)

- Parastatal statistical and research institutions (e.g., Institute of Statistics and Geo-Information Services)

The _Data Collection Capacity Assessment (DCCA) Tool_ for local data collection organizations (see Annex 9) can help the Mission to assess the capacity of local partners to collect and analyze performance data. The DCCA tool is not intended to be a capacity development plan for the local data organization (although the tool could be used to inform such a plan), but rather provides the Mission with information it can use to help inform possible data collection methodologies and sources.

## DATA COLLECTION TOOL DEVELOPMENT

After identifying the appropriate data collection methodology and source, another important consideration is whether a tool needs to be developed or adapted to collect that data. If the data are being collected through a secondary data source, then the Mission will likely not need an additional tool to collect this data. Many data collection tools for outcome-level indicators already exist and only need to be carefully reviewed to determine whether any customization is needed or warranted. At the activity level, data will generally be

collected directly from implementing partners, and some data collection tools may need to be identified and customized in collaboration with the implementing partner after award.

Figure 8 details the steps in developing a new data collection tool. Missions should also consult, as needed, specialized guidance and resources on specific data collection methods.

**Figure 8: Steps in Developing a New Data Collection Tool**

- Identify the scope and objectives of the data collection tool. Which indicator and result/purpose will it feed into?
- Identify data needs: quantitative vs. qualitative
- Develop questions, guidelines, checklists
- Identify facilitators, enumerators, coders, and other relevant personnel
- Determine data analysis mechanisms
- Train personnel if needed on implementation of the tool and analysis of data
- Pilot-test the tool with a small population to determine whether any changes are needed

## DOCUMENTING DATA COLLECTION METHODS IN PIRS

After selecting indicators and carefully identifying data sources based on feasibility, cost, and other considerations, the next step for Missions is to document this information in the Performance Indicator Reference Sheet (PIRS) for each indicator (see Module 2.6 for information on filling out PIRS). Sometimes the very exercise of filling out the PIRS will lead to further consideration of the chosen data methods. When completing the data collection section of the PIRS, note the following:

- Data collection descriptions should be operationally specific enough to enable a new person to understand how data is collected, compiled, and analyzed;

- Data collection should be assigned to a specific Mission individual, office, or team;

- Data collection methods should be consistent and comparable over time, with changes documented in the PIRS;

- Data limitations should be identified and clearly documented.

## DATA COLLECTION LIMITATIONS TO CONSIDER

Data collection limitations can distort data due to errors in design, sampling selection, poor implementation of collection methods, or problems in recording and analyzing that data. When choosing the best data collection

methodology, the Mission team can often identify potential data collection limitations, and then build them into the methodology or approaches to mitigate these limitations. Limitations can include:

- Common biases (intentional or unintentional), such as:

    o *Definition bias*. Occurs when there is ambiguity in definitions. The target population or representative sample should be sharply defined so that there is no room for ambiguity. Definition bias leads to unreliable data if different implementing partners collect data on the same indicator, for example "number of jobs created," but each partner is using a different definition (in this example, of "jobs created").

    o *Hawthorne effect*. Occurs when a subject knows that he or she is being observed and this causes his or her behavior and responses to change.

    o *Instrument*. Occurs when the measuring instrument is not properly calibrated. The scale may be biased to give a higher reading than actual, or lower than actual. The other possibility is inadequacy of an instrument to provide a complete picture, such as a national survey of heads of households that does not include internally displaced people.

    o *Interviewer*. Occurs when a researcher unintentionally elicits a different kind response dependent on the background of the interviewee (e.g. educated interviewees vs. illiterate interviewees).

    o *Observer*. Occurs when the observer unwittingly (or even intentionally) exercises more care about one type of response or measurement, such as those supporting a particular hypothesis.

    o *Recall bias.* Occurs when respondents have better recall of recent events than those that occurred a long time ago. Also, serious or important events/issues are easier to recall than less critical or important events/issues.

    o *Response bias.* Occurs when direct beneficiaries or participants are likely to give more correct responses regarding history and interventions compared to the controls or indirect participants/beneficiaries. Some responders may intentionally suppress information because of embarrassment or sensitivities attached to questions. For example, income data may be distorted to avoid tax consequences. Response bias can also be related to information bias.

    o *Seasonal bias.* Occurs when data is collected during different times of year without taking into account seasonal differences. For example, conducting household surveys during the harvest season when all members of the family are out in the fields or trying to compare agricultural data collected during different seasons.

    o *"Tarmac" bias.* Occurs when the researchers or enumerators choose to stay near the paved or better roads rather than travel over dangerous, uncomfortable, unpaved, or poor roads to reach the target data collection sites, thus resulting in a bias in data collection.

- Intentional manipulation of data. When the data source(s) and/or data collector(s) want(s) to mislead the data user(s), then intentional manipulation of data may occur. Intentional manipulation can manifest itself through over-reporting (e.g., in order to suggest that targets are consistently being met or exceeded); underreporting (e.g., in order to show additional need, such as to qualify for more funding); or other forms of fraud for political or personal gain. For example, grantees or sub-grantees may report that they have met the target for training participants because they are afraid that if they report actual attendance they will not be reimbursed for the full costs of the training.

- Transcription errors.  Transcription errors are data entry errors commonly made by human operators or optical character recognition (OCR) programs. Human transcription errors are commonly the result of typographical mistakes.

- Lack of data controls.  Another threat to data accuracy may be lack of controls over the performance data reporting system (e.g., where the system is not password protected or passwords are openly shared so that anyone can change the data).

## SUMMARY

By now you should have an understanding of:

- Considerations in selecting between different data sources and collection methods

- Identifying data sources

- Steps to take when developing data collection tools

- Data limitations resulting from biases and other factors

## REFERENCES

ADS 201
ADS 203

# Performance Management Plan (PMP) Toolkit

## Module 2.4: Select and Refine Context Indicators

### OVERVIEW

Context indicators measure conditions, such as economic, social, and political conditions, that have a potential bearing on strategy and project performance and implementation. Context indicators can measure assumptions, risks and game changers. This module provides guidance on key issues to consider when identifying and selecting context indicators.

### TOOLS

- *Critical Assumptions/Risks Planning Tool – Blank*
- *Critical Assumptions/Risks Planning Tool – Example*

### OVERVIEW OF CONTEXT INDICATORS

Context indicators measure conditions relevant to the performance of projects and programs, such as macro-economic, social, or political conditions and critical assumptions of the R/CDCS and Project LogFrames. Context indicators do not directly measure the results of USAID activities, but rather factors that are beyond the management control of the Mission that are important to the successful implementation of the project or strategy. Missions may want to identify indicators for the following:

- Country context (see Module 2.2)
- Critical assumptions (see ADS 203 Glossary)
- Game changers (see ADS 201.3.3.3)
- Risks (see ADS 201.3.3.3)

Both the Program Office (for Goal level results) and DO Teams/Technical Offices (for DO level results and below) may be involved in identifying relevant context indicators that should be tracked in the PMP. When developing the PMP, the Mission's PMP development team should identify any country conditions, assumptions, risks, and game changers included in the approved R/CDCS, discuss whether these are still applicable, and identify whether any new conditions, assumptions, and game changers should be tracked.

> **Helpful Hint**
>
> It is important to note that **context indicators,** unlike performance indicators, **do not require performance targets**. Context indicators are by definition outside of the Mission's manageable interest. However, baselines for context indicators are often useful in order to compare the condition or factor before USAID interventions are initiated to the condition or factor during implementation.

During the Project Design process, the project design team has the opportunity to refine assumptions and, subsequently, any context indicators that will be used to track those assumptions. For instance, during PMP development the DO team may have identified a context indicator such as "percentage of export earnings generated from livestock sales" in order to measure the overall health of the livestock market. During Project

Design, the Project Design team may find that they are making certain key assumptions about the availability of livestock fodder.  If the team determines that the continued availability of livestock fodder at current levels is important to achieving project sub-Purpose and Output results, then the team should consider whether a context indicator is needed.  If there is little to no risk of a shortage of livestock fodder, then a context indicator is likely unnecessary.  If changing political, industry, or environmental conditions have altered the market for livestock fodder, then there may be stronger rationale for a identifying a context indicator that measures the availability of livestock fodder.

Not all country conditions, assumptions, game-changers, and risks need to be tracked with context indicators.  Missions should use discretion in identifying which factors are the most important to the successful realization of results.  In identifying and defining context indicators, it is helpful to clearly identify the specific results potentially affected by the assumptions or conditions that the indicator is tracking.  Each context indicator may have multiple and variable relationships with R/CDCS and Project results. For example, a critical assumption related to the passage of legislation that places additional tax onus on non-profit organizations may have particularly strong implications for the governance DO but may also have implications for the economic growth DO.

## IDENTIFYING AND MEASURING CONTEXT INDICATORS

A visual print out of the R/CDCS Results Framework or Project LogFrame can be a good starting point for bringing teams together to discuss assumptions.  The team should ask, "What assumptions are implicit in the Results Framework/Project LogFrame?"  Assumptions can be both specific to the internal logic of the Results Framework/LogFrame (e.g. what is being assumed in linking certain inputs to outputs and outcomes?) and the external factors needed to support the realization of results (e.g. what is being assumed about the broader political/social/economic environment in which USAID is operating?).

The *Critical Assumptions/Risks Planning Tool* (see Annex 10) provides a tool to brainstorm and prioritize assumptions, game-changers, and risks. Some teams may find it helpful to have a facilitator, such as someone from the Program Office or an outside facilitator, conduct a brainstorming session around the identification of context indicators.  Tools such as fishbone analysis can be used to probe further into specific assumptions and risks and their contributing factors, and may provide the team with additional ideas about the factors that they should consider monitoring with context indicators.  Note that because critical assumptions and risks are not static, the Mission should review them during portfolio reviews and other learning opportunities to determine if they are still valid or whether there are any additional factors and conditions that should be potentially monitored.

Some context indicators measure change in a particular factor or condition over time and can be measured using data available from primary (e.g. USAID commissioned surveys) and secondary (e.g. World Bank, IMF) sources.  Other context indicators are based on whether a critical assumption or risk takes place. These critical assumptions and risks can be measured using a binary indicator (e.g., Yes/No) or narrative-based rating scale (e.g. risk level of low, medium or high). Some context indicators may have thresholds (e.g., violence threshold "yellow") whereby if the measure is reached this would in turn trigger certain actions by the Mission and its stakeholders. For example, the Mission may determine that if a risk indicator for violence reaches "yellow," as determined by the host government, this would prompt USAID to conduct stakeholder meetings to determine whether activities should be curtailed in the affected region(s).

Table 8 provides examples of context indicators for assumptions, game-changers and risks.

**Table 8: Examples of Context Indicators**

| Type | Definition | Situations for which a context indicator may be appropriate | Possible indicators |
|---|---|---|---|
| Country Context | Measure conditions relevant to the performance of the R/CDCS and projects, such as macroeconomic, social, and political conditions that are beyond the management control of the Mission and its partners. | Depending on the country, there are a number of context factors that the Mission may want to track. For example, in a country which is highly dependent on natural resource extraction, a decline in global commodity prices could change the country's macroeconomic context and have a direct bearing on the Mission's economic growth programming. | Global Commodity Prices (for relevant commodities), Export of Relevant Commodity as a Percent of GDP |
| Assumption | A general condition that must hold true in order to achieve the project or R/CDCS results. They are outside of the control or influence of USAID and its partners. | Every year flooding affects certain provinces; while USAID programming accounts for seasonal flooding, it assumes that flooding will remain contained to select provinces and not significantly deviate from levels observed over the past five years. | Peak Over Threshold (POT); Areal Flood Index (total inundated area); Data from the National Water Development Board (NWDB) |
| Game-Changer | A newly introduced element or factor that changes an existing context or project in a significant way. These are outside of the control of the USG and its partners. | Recently discovered natural oil and gas will have such volume that potential revenue generation is expected to have significant implications for growth, public service delivery and employment and introduce opportunities for rent-seeking behavior at all levels of society. | Annual Social Services budget as a percent of GNP; Annual Ministry of Petroleum budget as a percentage of GNP |
| Risk | A condition that could negatively influence program outcomes. | Large-scale ethnic conflict that could surpass the international community's capacity to manage or contain the conflict. | Percentage of population located in conflict areas; percentage of new international appeals for funding not fulfilled in 3 months; rating on violence threshold index (red, yellow, green) |

## COLLECTING AND DOCUMENTING CONTEXT INDICATOR DATA

Since the management burden on Missions to collect high-quality performance indicator is already high, it is recommended that the collection of context indicator data be relatively easy, quick, and fe asible at a reasonable cost. Many context indicators are available from secondary sources (e.g. World Bank, IMF, U.N.)—often from a website—and are generally available free of charge. Other context indicators may be available from USAID partners, other USG sources, other donors, and the host government. Mission staff may want to assess whether to co-fund context data sources in order to ensure that the data is available when the Mission needs it (for example, just prior to a portfolio review), or in order to expand context indicator data collection to cover areas of interest to the Mission (for example, if the National Statistical Bureau only collects data from representative samples of the population, which does not include the USAID targeted population).

> **Helpful Hint**
>
> Consider constructing a timeline graphic that covers the period of performance, and then identify any factors and conditions that may affect the achievement of results. Once these have been identified, the group then discusses and prioritizes factors and conditions based on criteria such as their likelihood of happening and the magnitude of their potential impact on the Mission's results. After prioritizing, the team should discuss potential measurement methods for any factors determined as being to important to track over the implementation period.

Common sources of context indicator data include:

- European Commission, i.e., Eurostat data

- United Nationals datasets, such as the Millennium Development Goals

- World Bank datasets, such as on Governance and "Doing Business"

- OECD, including environmental datasets

- Transparency International

- Freedom House International

- Human Rights Watch

- Amnesty International

- World Economic Forum (trade data)

- National statistical offices of the host government

- Bilateral donor datasets

- Regional organizations, such as the Organization for American States

- Academic organizations, both local and international

- Media organizations, such as The Economist

- Private-sector research firms, i.e., Gallup.

Many of these third-party context indicators are collected for USAID by the Economic Analysis and Data Services and are available on USAID's internal website.

The optional *Context Indicator Reference Sheet* (see Annex 14) can be used to document the definition and monitoring plan for each context indicator.

## ENGAGING STAKEHOLDERS

When appropriate, the Mission should consider engaging with local thought leaders to identify relevant context indicators, help in determining measures and data collection methodologies, and provide their deep contextual knowledge and experience (see ADS 203.3.13). For example, consulting with the partner country government may be helpful in assessing economic conditions or other factors that may affect the Mission's achievements. This might also provide a forum for the host government to communicate economic indicators

that have been prioritized in the National Development Policy, the National Poverty Reduction Strategy, or other similar plans. Stakeholder engagement can also be helpful in analyzing and interpreting context indicator data.

## SCENARIO ANALYSIS

An optional, though helpful, practice is to develop scenarios based on critical assumptions and programmatic risks. Scenarios can be especially useful in dynamic or fast-changing development contexts. Scenarios cover a range of possibilities about how a context may evolve in order to help a Mission better prepare for changing conditions. Scenarios take into account current uncertainties and should always be plausible predictions about how a context may unfold. Generally, it is helpful to develop a best (plausible) case scenario, a worst (plausible) case scenario, and 1-2 more moderate scenarios. For example, in a country undergoing a political transition, one scenario might focus on implications for current USAID programming in the context of a successful political transition, one might focus on programming implications if all identified risks come to fruition, and the other scenarios might consider a partially successful transition where some risks come to fruition. Scenario analysis can prompt critical thinking and further discussion about project design and planning decisions, additional context indicators that should be tracked, risk mitigation and contingency planning, and any evaluations, special studies, or assessments that are needed. Context indicators can also help a Mission to gauge which scenario their operating environment is most approximating.

## SUMMARY

By now you should have an understanding of:

- Different types of context indicators

- How to identify appropriate context indicators

- Collecting and documenting context indicator data

- Engaging stakeholders in selecting and analyzing context indicators

- How scenario analysis can be used to assess and better understand the potential programmatic implications of assumptions, risks, and game changers

## REFERENCES AND RESOURCES

ADS 201

ADS 203

Economic and Social Database, USAID Economic Analysis and Data Services

# Performance Management Plan (PMP) Toolkit

## Module 2.5: Baseline Methodology and Rationale for Targets

### OVERVIEW

Once the data collection methodology has been determined, the next step is to collect baseline data and establish the rationale for target-setting. This module will review what a baseline is, when it should be collected, and guide the reader through the target-setting process.

### PLANNING FOR BASELINE COLLECTION

In order to measure change over the course of the R/CDCS and ensure that programming is relevant, effective, and efficient, it is absolutely necessary to collect baseline data prior to implementation. **Baseline data** is the value of an indicator prior to the implementation of a development intervention, against which progress can be assessed or comparisons made over time. For each performance indicator in the PMP, the Mission must include a baseline value for that indicator and set targets for that indicator that are ambitious but realistic given available resources and the stated timeframe. Baseline values should be measured using the same data collection source and method(s) that will be used to collect data for that indicator throughout the life of the strategy, project or activity.

### TIMING OF BASELINE

Baselines and targets for Goal and DO level indicators must be established prior to the PMP being approved. Project Purpose level baselines and targets must be included in the Project Appraisal Document (PAD), prior to the PAD being approved. However, when the project Purpose baseline requires new or additional data collection efforts, PADs may substitute baseline data with a plan for collecting baseline data prior to implementation of project activities. All other baselines and targets should be established before project and activity implementation begins (see *Mission Order on Monitoring*). Without an understanding of the "before" situation, it is difficult (and costly) to estimate changes in indicators. Figure 9 provides an overview of the general timing of baselines and targets.

When and how the baseline data will be collected, as well as any associated limitations of the baseline, should be documented in that indicator's Performance Indicator Reference Sheet (see Module 2.6). If for some reason it is not feasible to secure baseline data for the chosen time period, alternative measures should be used to estimate baseline values (e.g., using recent comparable data). Note that baselines established for impact evaluations can be used for both performance monitoring and evaluation purposes.

## Figure 9: Baseline and Target Timeline

Baseline values and targets for Goal and DO required upon initial PMP approval; include IR, if available

Baselines and targets required for Project Purpose indicators prior to PAD approval; include estimates for other indicators, if available

Baselines and targets must be refined and finalized for lower-level indicators prior to activity implementation

**Initial PMP**

**Project M&E Plans**

**Activity M&E Plans**

A plan for collecting any remaining baseline data is required

Targets should be reconsidered once baselines are established

## Figure 10: Baseline Scenarios

| Baseline is already established | • Common for many outcome indicators, particularly third party data<br>• Often data is available from government ministries, prior projects, international donors, or other partners; assess the quality of data to ensure it meets USAID standards<br>• If the baseline has already been established, subsequent data collection MUST use a consistent methodology in order to be comparable<br>• E.g. national unemployment rates |
|---|---|
| Baseline must be collected | • Typically for outcome indicators<br>• If no existing data of sufficiently high quality exisits, USAID must collect the data, generally working with implementers and/or other third party M&E contractors<br>• Baselines should be collected prior to project or activity implementation<br>• E.g. Organizational Capacity Assessment scores among targeted civil society organizations |
| Baselines are established on a rolling basis | • Typically for outcome indicators<br>• If implementation is rolled out in phases, it may be possible to collect baselines in phases. Baseline data should always be collected before the implementation of the phase begins.<br>• E.g. Average score on pre-test of knowledge about accounting rules |
| Baseline is zero | • Common for output indicators<br>• At lower levels of causal hierarchies, there are times when baselines will be zero<br>• E.g. Number of farmers trained on new technologies |

## BASELINE SCENARIOS

Figure 10 details different scenarios that teams may encounter when trying to establish the baseline for a given performance indicator. Given the need to rationalize data collection, the COR/AOR/G2G/AM should coordinate with the PMPOC and Project Managers to minimize baseline data collection time and costs. For example, if a project under the Health DO requires a household survey to collect baseline data, it may be possible for others in the Mission to coordinate with the Health DO team to determine whether the survey could be expanded to include other household-level baseline data collection. DO teams may consider cost-sharing the survey costs to ensure that their required baseline data is sufficiently collected. Such collaboration can produce cost savings and result in greater efficiencies.

## SETTING TARGETS

Once baseline data has been collected, teams should set performance targets. Targets serve to establish clear expectations, accountability, and markers of progress. The key to setting useful targets is striking the right balance between ambition and realism. Targets should be *feasible* to achieve, but not *easy* to achieve, and should be grounded in context and available information. Factors to consider when setting targets include:

- **Baseline data**: What is the current situation?

- **History**: What are historical trends? What do we expect to happen without our project or activity? What have similar programs achieved?

- **Workplan and implementation approach**: Is there any start-up period required before actual activity implementation begins? Will the work plan tasks be scheduled according to seasonal cycles? How many months will the implementing partners require for closedown and handover to local partners?

- **Critical assumptions/risks**: Are there national or regional events that will take place during the strategy/project/activity lifespan that could significantly influence the achievement of results? What are other actors doing that may contribute to or inhibit progress?

- **Resources**: How much money, time, and capacity are available?

- **Research findings**: What does research on similar programs suggest should result from the proposed intervention?

- **Judgments**: What do stakeholders and experts expect to see with respect to levels of change?

- **Manageable interest**: What can USAID be held accountable to achieve?

> **Helpful Hint**
>
> Targets should generally not be adjusted within the year that they are set, since it is difficult to assess overall performance in such a short timeframe and determine whether a trend is concrete enough to warrant the target change. For example, if after nine months the achievement of the target seems unlikely, it may seem prudent to shift the target downward. However, it could be that targets will be achieved in the last three months of the year and in the first quarter of the next year—in which case the new target will be exceeded. Any changes to targets should be clearly documented with explanations.

Figure 11 provides an example of the illustrative relationship between inputs (in this case, workplan tasks over the course of a 4-year activity) and results (in this case, potential outcomes). The team expects Year 1 to be largely a start-up year for implementation, while in Years 2 and 3 it is expected that activity implementation will be fully underway. In the fourth year of the activity, implementation will be winding down and emphasis will shift to activity closeout. The team can use this understanding, combined with other considerations, to set more ambitious targets in Years 2 and 3 and more modest targets in years 1 and 4, when the program is starting up and ending, respectively.

**Figure 11: Results and Workplan Tasks over Time**
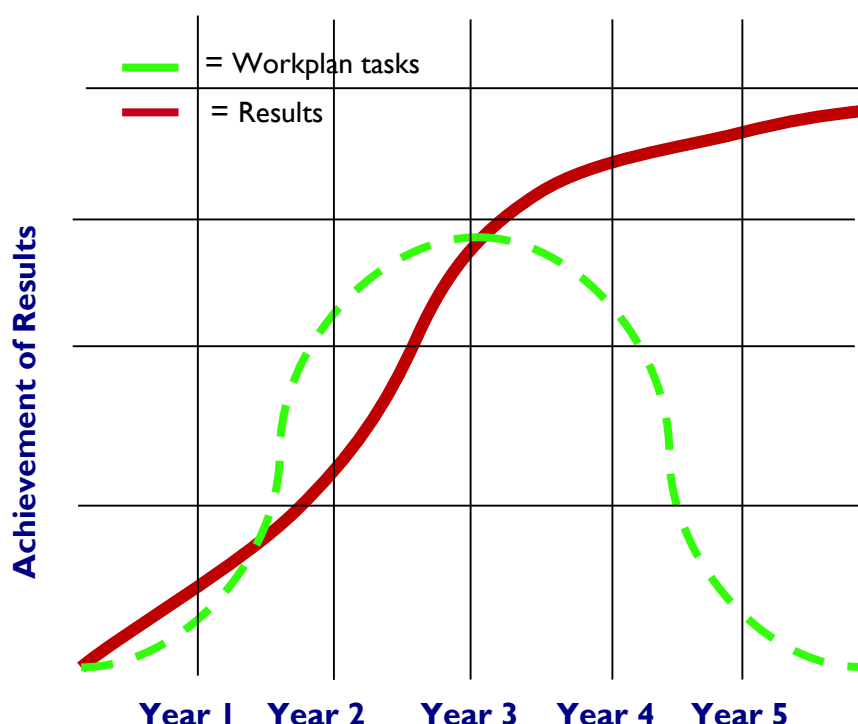


For output indicators, resources and implementation approach tend to be the most important factors to consider in target-setting. For outcome indicators, historical trends, analysis and assessments, research findings, stakeholder and expert judgments, and critical assumptions should have a greater role in target-setting. The rationale for how targets are set or will be set should be clearly documented in the Performance Indicator Reference Sheet for that indicator.

Reporting guidelines in the FACTS Info database suggest that Missions use a 10% margin rule when assessing actuals against targets. In essence, this means that if a Mission's actuals are within 10% of the target for a given indicator then they have met that target. This is a way to better ensure a Mission is being both ambitious but realistic in its target setting. Missions may want to incorporate this same rule when analyzing and reporting performance, even outside of FACTS Info. The Mission's PMP should include a discussion of how the Mission will determine whether results have or have not been met. Exceptions can be made for indicators where expected changes from baseline to target are small.

## DISAGGREGATING BASELINES AND TARGETS

When indicator data is to be disaggregated in collection and analysis as described in the Performance Indicator Reference Sheet, baselines and targets should be set for each disaggregation. For instance, if an indicator is measuring the number of children graduating from secondary schools in project locations, then baselines

should be established for the number of boys who are currently graduating and the number of girls who are graduating. Similarly, targets should be set for both boys and girls to ensure that project resources are appropriately directed and results are being achieved for not only the entire population of children, but for both boys and girls.

## TRACKING INDICATORS IN TABLES

Table 9 shows one way to present a summary of all of the performance indicators being tracked for each period of performance. Note that this information should be stored in Excel, AIDtracker, or another performance monitoring information system and should not be stored in Word documents. See Module 2.10 for further discussion on managing and tracking performance data.

**Table 9: Sample Performance Indicator Summary Table**

|  | Baseline & Date | Annual Target | Target Rationale | Actual Q1 | Actual Q2 | Actual Q3 | Actual Q4 | Achievement (Met, Not Met, Exceeded) |
|---|---|---|---|---|---|---|---|---|
| Indicator 1 |  |  |  |  |  |  |  |  |
| Indicator 2 |  |  |  |  |  |  |  |  |
| Indicator 3 |  |  |  |  |  |  |  |  |
|  | Baseline & Date | Annual Target | Target Rationale | Actual Q1 | Actual Q2 | Actual Q3 | Actual Q4 | Achievement (Met, Not Met, Exceeded) |
| Indicator 1 |  |  |  |  |  |  |  |  |
| Indicator 2 |  |  |  |  |  |  |  |  |
| Indicator 3 |  |  |  |  |  |  |  |  |

## SUMMARY

By now you should have an understanding of:

- Baseline definition and importance

- Scenarios for baseline data collection

- Considerations for setting performance targets

- Tracking performance indicators over time

## REFERENCES

ADS 201
ADS 203

# Performance Management Plan (PMP) Toolkit

## Module 2.6: Reference Sheets for Performance and Context Indicators

### OVERVIEW

A Performance Indicator Reference Sheet (PIRS) provides USAID Mission staff and other stakeholders with comprehensive information on a given performance indicator. PIRS are a required component of the PMP. This module details how to document performance indicators using PIRS. It also discusses the optional use of Context Indicator Reference Sheets for context indicators.

### TOOLS

- *Blank Performance Indicator Reference Sheets (PIRS)*
- *Instructions for Completing the PIRS*
- *Blank Context Indicator Reference Sheets (CIRS)*
- *Instructions for Completing the CIRS*

### PERFORMANCE INDICATOR REFERENCE SHEETS

A Performance Indicator Reference Sheet (PIRS) (see the *Performance Indicator Reference Sheet (PIRS*) template in Annex 12) is a comprehensive record of a given performance indicator. PIRS are required for all R/CDCS, project, and activity level performance indicators that are being tracked in the Mission's PMP. PIRS capture the precise definition of an indicator, how the data for that indicator will be collected and how often, as well as the rationale for the indicator. See *Instructions for Completing the PIRS* (Annex 13).

A PIRS can be thought of as the complete "encyclopedia entry" for a given performance indicator. Each PIRS includes:

- The definition of the indicator;
- Its link to the Results 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 analysis;
- Reporting frequency;
- Baseline and description of how targets will be set;
- Known data quality limitations, relative to the five standards of data quality;

**Best Practice**

When filling out the PIRS, remember that it should be understandable to someone who has no familiarity with the project or performance indicator. In other words, the information in the PIRS should be as clear and precise as possible, defining all terms, even if these terms are in regular or daily use by the team, so that a newcomer without access to the team can clearly understand the content of the PIRS and quickly take over the responsibilities for the indicator to manage the intended results.

- Date of last Data Quality Assessment (DQA)

- Responsible office and individual for collection, analysis, and Data Quality Assessments; and

- Any changes to the indicator reference data over time.

Note that certain indicators, including all of the F indicators associated with the Standardized Foreign Assistance structure, already have completed PIRS that can be used or adapted.  In adapting PIRS to the Mission's context, note that if the Mission finds it necessary to make substantive changes to the PIRS then this may indicate that the Mission needs to create a new, "custom" indicator rather than using the F indicator.  When using F indicators, it is important to follow the definition and methodology in the PIRS since data is aggregated across many Missions for a given F indicator.

> **Helpful Hint**
>
> A common performance audit finding has been that the Program Office has an outdated version of a PIRS. This has resulted in erroneous reporting of performance data. To prevent this, Missions should ensure that any changes made in the definition, methodology, or any other aspects of an indicator be clearly and accurately updated in the PIRS. The PIRS should be dated and uploaded to a common, shared file system that is accessible to all relevant staff across the Mission.

## CONTEXT INDICATOR REFERENCE SHEETS

Context indicators are used to monitor critical assumptions and risks that have a bearing on the implementation and performance of projects and the R/CDCS strategy (see Module 2.4 for a more comprehensive discussion of context indicators). ADS 203 requires that relevant context indicators be included in the Mission-wide PMP.  However, there is no prescribed method to track context indicators in the PMP.  Annex 14 provides an optional *Context Indicator Reference Sheet (CIRS)* that can be used to document the context indicators that the Mission intends to monitor at the strategy and project levels.  Since context indicators measure conditions outside of the manageable interest of USAID, the CIRS has been modified to remove reference data not relevant to context indicators (e.g., target identification methodology). See *Instructions for Completing the CIRS* (Annex 15) for instructions on how to fill out a CIRS.

## COMPLETING THE PIRS/CIRS

PIRS will be completed throughout the course of strategy and project implementation.  Recall that F standard indicators already have pre-populated PIRS and only need to be adapted or refined.

Upon initial PMP approval, the Mission should have PIRS completed for all performance indicators at the Goal and DO levels.  Relevant context indicators at the Goal and DO levels should also be included in the initial PMP, either using the CIRS or another format.  A good practice is to have draft PIRS for Intermediate Results (IRs), with the understanding that these will generally be refined, including the baseline and target methodology, during the Project Design process.  Upon Project Appraisal Document (PAD) approval, the Mission should also have PIRS for project level indicators, including baselines and targets for project Purpose level indicators.  When the project Purpose baseline requires new or additional data collection efforts, the PIRS should clearly document the plan for collecting baseline data prior to implementation of project activities.

Prior to project and activity implementation, it may be necessary for the Mission to engage with third party M&E contractors or Implementing Partners (IPs) to facilitate filling out the PIRS.  For instance, if there are questions about the appropriate data collection methodology or availability of certain data sources, the Mission (e.g., the DO or Project Design team) may pre-populate certain parts of the PIRS/CIRS and then consult with IPs in order to refine the remaining fields.  At the activity level, IPs can, as appropriate, populate PIRS and submit them with their required Activity M&E Plans for COR/AOR/G2G approval.  At this time, the COR/AOR/G2G, in collaboration with the Project Manager, would review and amend the PIRSs/CIRs and

work with the PMPOC to ensure that relevant PIRS/CIRS (i.e., for any performance indicators also being tracked in the Project LogFrame) are incorporated into the PMP.

Once the PIRS/CIRS are completed, they should not be altered unless there are changes to the indicator. All changes should be closely coordinated with the Project Manager and PMPOC.

## SHARING PIRS WITH IPS AND DATA SOURCES
When the PIRS/CIRS are completed, it is best practice for Mission Teams to share relevant PIRS with their IPs, data sources, and relevant stakeholders to share the Mission's expectations for how the data will be collected and reported.

## SUMMARY
By now you should have an understanding of:

- What Performance Indicator Reference Sheets (PIRS) are, why they are important, and how to fill them out

- How Context Indicator Reference Sheets (CIRS) can be used to document context indicators

- Engaging implementing partners and other stakeholders on PIRS/CIRS

## REFERENCES
ADS 202
ADS 203

> **Helpful Hint**
> In some cases, multiple implementing partners will collect data for a given indicator. As such, it is crucial that all IPs use the same definitions and collect data uniformly to ensure data quality and consistency. A good practice is to bring together implementers that collect data for a given indicator to discuss the PIRS, with particular focus on the data collection methodology. The meeting provides an opportunity to make sure that all IPs understand and are implementing the methodology consistently, as well as discuss and collaboratively troubleshoot any challenges in data collection.

# Performance Management Plan (PMP) Toolkit

## Module 2.7: Data Quality Assurance

### OVERVIEW

Data quality assurance refers to the steps a Mission takes to ensure that the data included in the PMP are accurate and useful. This module provides guidance on carrying out these steps, including how to conduct a Data Quality Assessment (DQA) and strategies for addressing problematic data.

### TOOLS

- *DQA Checklist*
- *Activity Site Visit Report*
- *Activity Logbook*

### STANDARDS FOR DATA QUALITY

High quality data is the cornerstone for evidence-based decision-making.  As such, data quality assurance plays a major role in USAID's performance management process. Data informs decisions across the Program Cycle, from planning and setting goals, to designing projects and activities, to making course corrections and informing other management decisions.  Understanding the quality of performance data is important when making strategic decisions.  USAID's credibility when communicating and reporting performance information requires a realistic understanding of the limitations of the data.

To ensure that the quality of evidence from the Mission's performance monitoring system is sufficient for decision-making, data should reasonably meet these five standards of data quality (also known as "VIPRT" by some USAID staff):

1. *Validity.* Do data clearly and directly measure what we intend?

2. *Integrity.* Are mechanisms in place to reduce the possibility that data are manipulated for political or personal reasons, or incomplete due to management problems?

3. *Precision.* What margin of error is acceptable given the likely management decisions to be affected?

4. *Reliability.* Using the same measurement procedures, can the same results be replicated?

5. *Timeliness.* Are data sufficiently current and available frequently enough to inform management decision-making at the appropriate levels?

### WHY IS ASSESSING DATA QUALITY IMPORTANT?

Even under favorable circumstances, data will never be perfect. Therefore, managers should seek to understand the strengths and weaknesses of all of the data they collect. The purpose of assessing data quality is to ensure that the Mission is aware of the strengths and weaknesses of their data and the extent to which the data integrity can be trusted to influence management decisions.

Understanding the quality of the data allows Mission management at all levels to weigh the data appropriately as they make their decisions. Ensuring data quality requires strong leadership and commitment throughout the

Mission. Data quality assurance measures should also be included in the scope of work of any activity solicitation. Not knowing or understanding the quality of the data could result in an erosion of confidence in the data sources and lead to poor analysis, improper setting of targets, and ill-informed decision-making.

## WHEN SHOULD THE QUALITY OF DATA BE ASSESSED?

A Data Quality Assessment (DQA) is a tool to help managers understand the strengths and weaknesses of their data, as determined by applying the five data quality standards. A DQA is conducted for each performance indicator for which data is being collected.

> **Example**
>
> Years ago, a Mission Director from a southern African country reported that performance was improving across the Mission's portfolio. However, he later found out that some of the key performance data was flawed. If he had known about the problems with the data he might have been able to flag the problematic data and counseled caution to other decision-makers on the reliability of this information.

USAID requires that **a DQA must occur for all externally reported indicators sometime within three years of data collection and before being reported**. For example, DQAs that were completed in FY 2011 would need to be conducted again prior to reporting data in FY 2014. Missions/Offices may choose to conduct data quality assessments more frequently if needed. **DQAs are not required for data collected for performance indicators that are not reported to USAID/Washington.** While managers are not required to conduct DQAs on all performance data, they should be aware of the strengths and weaknesses of the data they collect to monitor and report on performance (see ADS 203.3.11.2).

In addition to the three-year requirement, a number of circumstances might prompt a manager to conduct a DQA, such as if certain indicators have been identified as problematic, if stakeholders or implementers have suggested that there may be issues with indicator data, or to confirm that a previously identified data quality problem has been resolved or effectively mitigated.

Finally, additional DQAs may be warranted if the nature of the data is such that it is critically or strategically important to the Mission/Office, to USAID/Washington, or to USAID's key stakeholders. Some Missions have opted to conduct DQAs for all of the indicators in their Mission-wide PMP to help managers understand how confident they should be in using the data to monitor performance and report on accomplishments.

## WHO SHOULD CONDUCT THE DQA?

Per ADS 203, Missions responsible for data quality, including making sure that DQAs are completed as required. This does not mean that USAID is solely responsible for conducting DQAs. In fact, it is expected that Implementing Partners and third party M&E contractors will often be involved and engaged in conducting DQAs. However, the Mission is still ultimately responsible for the quality of the DQA. The rationale for having USAID responsible is so that USAID staff and managers have a clear understanding of, and ownership over, the strengths and weaknesses of their data.

In cases in which DQAs are being conducted at the activity level, the COR/AOR/G2G/AM is accountable for implementing partner participation in the DQA process, including any after actions. Ideally, the DQA should take place at the office of the IP or other organization sourcing the data in order to view any databases, filing systems, and verification or other documentation.

It is important that whoever conducts the DQA carefully reviews the Performance Indicator Reference Sheet for that indicator prior to the DQA and is familiar with the indicator definition, how the indicator is used to measure the intended result, and the data collection methodology. In some cases when conducting the DQA, it may be necessary to engage a technical expert familiar with the data collection methodology. For example, if the source of the indicator data is a perceptions survey, then, if feasible, it may be helpful to engage a survey

expert who has the technical capacity to review the margin of error (MOE), review the questionnaire, and assess the integrity and reliability of the implementation of the survey. In the absence of an expert, the DQA team should at the least make sure that the survey includes a calculated MOE, and that the MOE is smaller than the expected change in order to be sufficiently precise for USAID purposes. For example, if public confidence in the government's anti-corruption efforts is targeted to increase by 10 percent, then the margin of error of the survey results should be less than 10 percent.

## HOW TO PREPARE FOR A DQA

In order to prepare for the DQA, the AOR/COR/G2G/AM should inform the IP or other organization sourcing the data ahead of time to allow them to gather together needed information and staff resources. They should have *original* supporting documents for each indicator reported to USAID, including any data collected by sub-contractors, sub-grantees, or sub-agencies. The DQA will include review of their data management system, which may include hard copies of documentation in files, soft copies on their public drive, and data management systems (e.g., Microsoft Access, Excel, etc.).

Supporting documents that the source organization(s) should be prepared to provide include:

- M&E plans, including indicator data definition forms, such as the PIRS/CIRS;

- All reports to USAID in which performance data was reported, such as quarterly reports, annual reports, and other special reports;

- Data verification materials, such as original participant sign-in sheets, activity reports, photos, score cards with original source materials, survey or polling data, curricula for trainings, sales records, government statistics, inventory records for direct assistance, construction sight logs, etc.

- M&E handbooks or guides related to collecting data, monitoring data, assessing data quality, verifying data, sampling methodologies, etc.

> **Good Practices for DQAs**
>
> The COR/AOR/G2G or Activity Manager should:
>
> - Be present at the DQA if a third-party contractor is conducting the assessment (to support the contractor and oversee the DQA). The manager should see the data systems firsthand.
> - Discuss with the source organization any gaps in systems and options for closing gaps to encourage transparency and reduce miscommunication.
> - Share the results of the DQA with the source organization(s) when completed.
> - Set time frames for implementing any follow-on actions.
> - Follow up with the source organizations to determine whether the recommended actions are in process, and to reinforce USAID's focus on data quality.

The individual or group conducting the DQA should use the recommended *DQA Checklist* (see Annex 16), which includes instructions on how to review data against the five data quality standards. The DQA team should be prepared to spend several hours at the location of the organization sourcing the data in order to

work through the entire DQA Checklist.  Although it may be easier for Missions to have the IPs assess their own data based on the checklist, to avoid organizational bias this is not recommended, even if the IP closely participates in the DQA process.

Note that this refers primarily to data being sourced from Implementing Partners and other entities contracted by USAID.  When the source of the data is a secondary data source over which USAID does not have direct control (e.g., host government statistical offices, an international organization such as the World Bank or United Nations), then USAID will have less access and visibility over the supporting documentation. Reputable sources of secondary data generally have internal data quality controls in place.  In reviewing secondary data, the DQA checklist can still be used as a guide.   If there are outstanding questions or concerns about secondary data, then the Mission can consider setting up a meeting with an appropriate counterpart from the secondary data source organization to talk through any questions about the quality of the data and the organization's data quality controls (be sure to provide any questions in advance).

> **Helpful Hint**
>
> Notification of an impending DQA can cause implementing partners considerable stress, tension, and even fear given USAID's commitment to high-quality data, recent performance audit ramifications, and potential uncertainty of USAID's expectations during a DQA. Many of the best practices suggested above are focused on reducing partner tensions by sensitizing the partner on the process of the DQA, what USAID's expectations are for data quality, and what happens if there are problems identified with the data. The individual or group conducting the DQA should clearly communicate what is expected of the partner, who should represent the partner during the DQA, the format of the DQA, and how any findings will be handled. The DQA team may wish to initiate the DQA with comments such as "We want to better understand the important work you are doing" and by recognizing the partner's accomplishments.  Above all, it is recommended that the DQA team intentionally focus on the fact that both the Mission and the partner are working together to achieve results, and that if any problems with the data are found then the Mission and the partner will work together to resolve them.

## HOW TO ADDRESS DATA LIMITATIONS

Once the DQA is completed, the Mission should assess whether any mitigation actions are needed.  If there are some data quality concerns but Mission managers feel comfortable that the data is the best available, then there may be no need for further action. On the other hand, the identification of data quality concerns may call for a mitigation plan, particularly if the data will be used to inform decisions and/or reported externally. The COR/AOR/G2G, in consultation with the Project Manager, should clearly document the decision and justification for action or no action in the DQA Checklist tool in the Summary section, which includes space for "Actions needed to address limitations prior to the next DQA." Any data quality limitations should also be clearly documented in the data quality section of the indicator's Performance Indicator Reference Sheet.

> **Helpful Hint**
>
> Note that just because there may be problems with the quality of data, Missions should not have to "toss out" or ignore the data when making decisions. If the data is of the best quality that is reasonably and practically available for a given indicator, and all mitigation efforts have been tried, then the Mission can still report the data but should be transparent about the associated quality limitations.

In cases in which further action is required to mitigate data quality concerns, mitigation plans may include steps to:

- Triangulate data or examine similar data sets for trends;

- Adjust, supplement, or replace problematic indicator data;

- Discuss data with other users, such as other donors, to identify any relevant actions they have taken;

- Provide capacity-building support to the source organization to improve their handling and reporting of the data;

- Provide training to the source organization on the collection and maintenance of original verification documentation for each performance indicator;

- Conduct regular and unannounced spot checks of the source organization and its activities, files and data management systems;

- Utilize technical experts (data quality experts, auditors, survey methodologists, Management Information Systems (MIS) experts, gender indicator experts, Global Information Systems (GIS) experts, and others) to conduct further investigations (and then sensitization trainings) of the problematic data.

## CONDUCTING SITE VISITS

Site visits are another important component of the Mission's oversight and quality assurance processes. The purpose of site visits is to verify information provided to USAID about activity performance. They also serve as an opportunity to identify new information or learning that could usefully be shared within the Mission and/or with other partners within the project. Regular site visits can help strengthen an effective partnership with the implementing partner; ease and facilitate communication; provide an opportunity for partners to share their lessons learned, best practices, successes, and concerns; and mitigate tensions. Site visits should generally be planned for each activity/IM at least every six months. It is good practice for the Project Manager or another individual on the DO or project team to maintain a centralized schedule of site visits both as an accountability tool and to identify efficiencies for joint travel. There are three basic occasions for site visits:

- Regularly scheduled activity review and oversight, conducted as part of COR/AOR/G2G responsibilities;
- Site visits in response to identified problems; and
- Responding to stakeholder requests

During site visits, the COR/AOR/G2G/AM should conduct data verification. They should select one indicator (or more) on which the partner has reported, and check the partner's understanding of the indicator, data collection methodology, reporting chain, and supporting documentation. The COR/AOR/G2G/AM should also take this opportunity to ask the partner whether there are any observations, findings or concerns beyond what the data capture that should be discussed at this time. For activity/IMs that have environmental mitigation measures, COR/AOR/ G2G/AM should verify that these are being carried out correctly.

> **Helpful Hint**
>
> Where staff capacity in analyzing data quality and interpreting data is low, the Mission should consider training to improve this skill set. Coaching around effective site visits, designed to strengthen relationships with implementing partners to enable candid discussions of activities, data and results, could be included in this coaching. If the Mission has access to a support contract for M&E, this training and coaching could be secured through that contract.

The COR/AOR/ G2G/AM should note any performance problem pertaining to schedule, cost, quality and/or non-compliance, as well as any other significant issues. The COR/AOR/G2G/AM should bring any significant performance problem to the immediate attention of OAA to discuss resolution, and should also inform the Project Manager to discuss potential project implications. Any legal compliance, ethical, or similar issues should be brought to the attention of the RLA.

While there is no required format for site visits, Missions should use a standardized site visit template across the Mission (see the *Activity Site Visit Report* on ProgramNet). The COR/AOR/G2G/AM should complete the site visit report following every site visit and keep a copy in the activity/IM official management files with an explanation of both positive and negative findings, and required follow-up actions. It is best practice to document the follow-up actions, with completion/resolution dates included, in the same official management files (see the *Activity Logbook* in Annex 23 for an example of a template to document corrective actions).

## SUPPORTING HIGH QUALITY DATA

Once USAID managers have a basic understanding of the quality of data collected and used, there are many actions that a COR/AOR/G2G/AM can take throughout the course of the R/CDCS, project, and activity's lifespan to help improve data quality. Periodically, lessons learned or best practices identified for improving data quality should be shared widely within the Mission. This promotes Mission-wide awareness of common data quality concerns and mitigation strategies and fosters an organizational culture dedicated to high quality data. Some possible steps that can be taken to improve data quality include:

- Consider hosting a meeting or training on data quality for the Mission's implementing partners. The training should reinforce the importance of data quality for performance management, strengthen understanding of USAID's data quality assurance and DQA processes, and promote mutual buy-in for high quality data.

- Share with Implementing Partners (IPs) and other sources of data the indicator PIRS and *DQA Checklist* (or other DQA format) prior to conducting a DQA. USAID should communicate that the DQA is *not* an audit or test to reduce any anxieties about DQAs.

- If the Mission does not use a performance data system with a partner data portal, then the Mission should provide implementers with standardized templates for data entry and reporting. This can help reduce data entry errors and ensure that important data disaggregations are captured.

- Review original data verification documentation when possible, i.e., original sign-in sheets, databases, reports, photos, etc.

- Review IP reports, including to make sure that data is correctly summed from quarter to quarter. This practice serves as due diligence prior to a DQA and helps Mission staff understand the data and analysis requirements for which the IP should be held accountable.

- Meet with other users of the performance data (such as other donors) to discuss options for improving and using performance data.

- If appropriate, engage local data collection organizations and invest in efforts to build their capacity to improve data quality.

## SUMMARY

By now you should have an understanding of:

- Why data quality is important to USAID

- How to conduct a DQA

- What materials are needed in preparation for a DQA

- Mitigation plans for dealing with problematic data

## REFERENCES

ADS 203

Mission Order on Performance Monitoring

# Performance Management Plan (PMP) Toolkit

## Module 2.8: Develop the PMP Task Schedule

### OVERVIEW

A PMP Task Schedule tracks performance monitoring tasks over the course of the PMP. This module addresses the schedule's utility and describes how to construct a PMP Task Schedule.

### TOOLS

- *Blank PMP Task Schedule*

### SCHEDULE OF PERFORMANCE MONITORING TASKS

The PMP Task Schedule provides a comprehensive and interactive schedule of all of the monitoring and evaluation tasks that will occur over the expected life of the R/CDCS (see Annex 17 from an illustrative *PMP Task Schedule* template. The Task Schedules helps the Mission ensure that monitoring and evaluation tasks are anticipated in advance, delegated to responsible parties, and scheduled in such a way that they do present an unnecessary management burden on the Mission.

The Task Schedule should be regularly updated over the course of the R/CDCS, as new performance monitoring and evaluation tasks arise and to reflect any changes in timeframes or responsibilities (see ADS 203.3.3.1). While the PMP Task Schedule is a required element of the PMP, there are no required elements or formats for the Task Schedule. Missions should choose a structure and format that best suits their needs.

Tasks that may be included in the PMP Task Schedule include:

- Establishing baselines
- Collecting and analyzing indicator data
- Assessing data quality
- Updating and revising the PMP (particularly when new projects are designed)
- Conducting Portfolio Reviews
- Preparing for the PPRs
- Stakeholder meetings to discuss performance
- M&E training for Mission staff and partners
- Conducting site visits

The Task Schedule may also include learning events, stakeholder meetings, and other opportunities to review monitoring and evaluation data. Evaluation tasks, such as writing evaluation Scopes of Work and following up on evaluation recommendations, may be included in the Evaluation Plan, prepared separately, or included as part of the overall PMP Task Schedule, depending on the format that works best for the Mission.

## DEVELOPING THE PMP TASK SCHEDULE

To develop the initial Task Schedule, the PMP Team and PMPOC should work with the DO teams to identify the key performance monitoring, reporting and oversight tasks they expect to be engaged in over the course of the R/CDCS. This provides DO teams and the PMPOC with a "bird's eye view" of key PMP tasks over the life of the R/CDCS. Not every routine task needs to be included in the Task Schedule, and DO Teams and the PMPOC should use discretion in determining which tasks should be tracked in the Task Schedule. Tasks that require cross-office collaboration, review and clearance, or have important dates or deadlines, can be helpful to track so everyone is aware and can flag potential conflicts in advance. Internal deadlines should be as realistic as possible, taking into consideration the amount of time needed to identify and collect data.

One of the key benefits of the PMP Task schedule is to ensure cross-office coordination for monitoring tasks to minimize costs and rationalize efforts. After the Task Schedule is initially developed, all tasks should be analyzed to assess the management burden on the Project Team, DO team, and Program Office. This analysis should also look at opportunities to achieve economies of scale, such as combining the baseline data collection efforts of two DO teams proposing to use household-level surveys.

> **Helpful Hint**
>
> Some Missions have linked the PMP Task Schedule to Google Calendar or other USAID scheduling calendars so that relevant staff are sent email reminders of the PMP tasks that they are responsible for completing and managing.

## UPDATING THE PMP TASK SCHEDULE

As Project Designs are completed, and project and activity M&E Plans are finalized, the PMP Task Schedule should be updated to reflect any new monitoring and evaluation tasks. The PIRS/CIRS serve as a good reference point for identifying any new baseline data collection needs and monitoring requirements. Again, upon updating the Task Schedule, timing/LOE, delegation of roles and responsibilities, and nature of the tasks should be assessed with regard to management burden and potential economies of scale.

## SUMMARY

By now you should have an understanding of:

- How a PMP Task Schedule can help the Mission manage its M&E tasks

- How to develop a PMP Task Schedule

## REFERENCES
ADS 201
ADS 203

# Performance Management Plan (PMP) Toolkit

## Module 2.9: Develop/Refine PMP Evaluation Plans

### OVERVIEW

The PMP Evaluation Plan helps the Mission to identify and track evaluations over the course of the R/CDCS timeframe. This module describes a Mission PMP Evaluation Plan and how and why it supports performance monitoring. The module also describes the roles and responsibilities associated with the development and refinement of the PMP Evaluation Plan and what tools can assist with Evaluation Plan development.

### TOOLS

- *Evaluation Plan Summary and Schedule*
- *Worksheet: Which Evaluations are Required?*

### PMP EVALUATION PLANS - OVERVIEW

One of the PMP requirements is an Evaluation Plan that identifies and tracks evaluations across the Mission over the entire R/CDCS timeframe. The PMP Evaluation Plan should include (at a minimum):

- The projects/activities/programs to be evaluated
- Evaluation type (performance or impact evaluation)
- Possible evaluation questions
- Estimated budgets
- Planned start dates and estimated completion dates of evaluations (usually presented in a Gantt chart)
- Whether the evaluation is required

**Roles and Responsibilities**

The project teams will prepare project M&E plans as a part of the Project Design process, and the Mission's PMPOCs will ensure the project plans meet requirements, are consistent with Mission R/CDCS, and are reflected in the PMP's multi-year Evaluation Plan. Project teams should work with the Mission's Program Office to ensure that the Mission-wide PMP is regularly updated from new project M&E plans.

The Evaluation Plan may include additional information useful for planning and tracking evaluations, such as:

- Evaluation titles and key questions
- POCs for the evaluations
- Start and end dates of projects/activities
- Reason for evaluation
- Whether the evaluation will be externally led or internally led

See *Sample Multi-Year Mission-Wide Evaluation Summary and Schedule* (Annex 18).

## DEVELOPING THE PMP EVALUATION PLAN

The following tasks represent the key steps in developing the PMP Evaluation Plan, broken up into those that occur while the PMP is still in the process of being developed and those that come after PMP approval.

**During the initial PMP development phase,** it is necessary to do the following:

1. **Review the illustrative evaluation questions and impact evaluation opportunities** listed in the R/CDCS. During the R/CDCS process, each Mission is required to provide illustrative high-priority evaluation questions for each Development Objective (DO) and identify an impact evaluation opportunity for each DO. These should be reviewed during PMP development. If these questions and opportunities remain relevant, then they should be included in the Evaluation Plan with the additional details required in the Evaluation Plan.

2. **Review currently planned or ongoing evaluations.** Evaluations that were planned prior to the R/CDCS approval that are still planned to continue or are currently ongoing should be included in the Evaluation Plan.

3. **Determine required evaluations.** Certain projects are required to be evaluated over the life of the R/CDCS per ADS 203. These include:

   - *Large projects.* Each USAID Mission 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. All field Operating Units should calculate the average project size at the DO level using the definition for project provided in ADS 201.

     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. See the *Which Evaluations Are Required?* Worksheet (Annex 19) to help calculate and identify "large" projects.

   - *Innovative activities.* Additionally, any activity within a project involving untested hypotheses or demonstrating new approaches (e.g., designated as "pilot" or "proof of concept") that are anticipated to expand 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 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.

4. **Determine non-required evaluations selected for management purposes.** USAID Missions 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 are also encouraged to 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.

**Following initial PMP approval,** it is necessary to do the following:

1. **Update and revise the Evaluation Plan** as new projects and activities are designed and as decisions are made regarding the details of a planned evaluation.

2. **Include additional evaluations that were not planned.** In the course of implementing a project, the following situations could serve as triggers for an otherwise unplanned 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.

3. **On an annual basis, update the evaluation registry section of the Performance Plan and Report** with information about evaluations completed in the past year and ongoing and planned evaluations based on the PMP Evaluation Plan.

> **Good Practice**
>
> In developing the Evaluation Plan, Missions should revisit the PIRS 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 or activity 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 ADS 203.3.1.1).

## DEVELOPING PROJECT MONITORING AND EVALUATION PLANS

Missions must develop a project M&E plan during the Project Design phase and include it as an annex to their Project Appraisal Document (PAD) (see 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 in addition 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 adapts project implementation to achieve high-quality development results as quickly and sustainably as possible

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 ADS 203. If an evaluation of the project is not required under ADS 203 (i.e., if the project is not large or innovative), the DO team or Mission leadership could still decide to plan for an evaluation for other management or learning purposes.

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

3. Additional information about the evaluation, such as whether it is a performance evaluation or an impact evaluation. The Evaluation Plan should identify when the evaluation 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 finalize the evaluation in time to inform specific decisions.

   For impact evaluations, project design and evaluation design must be developed together so that baseline data can be collected on both the treatment and control groups. Parallel contracts are one option to consider as they can be procured to bring on an evaluation team at the same time as the Project Design team.

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

> **Importance of Planning for Evaluation during Project Design**
>
> Planning ahead for evaluations during Project Design better ensures that evaluations are relevant, timely, and useful. If an impact evaluation is planned, its design should be summarized in the Project Appraisal Document. Impact evaluations require that project implementation incorporate specific design requirements and data collection needs for effectively estimating project impact, including designating a 'target' group from the 'control' 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.

The Project M&E Plan is included as an Annex to the Project Appraisal Document (PAD). After the PAD is approved, the PMP Evaluation Plan should be updated to incorporate any planned evaluations over the life of the project.

## SUMMARY

By now you should have an understanding of:

- The importance of the PMP Evaluation Plan in managing evaluations across the life of the R/CDCS

- How to develop the PMP Evaluation Plan

- How to update the PMP Evaluation Plan following the development and approval of Project Monitoring and Evaluation Plans

## REFERENCES

ADS 201
ADS 203

# Performance Management Plan (PMP) Toolkit

## Module 2.10: The Mission's Performance Data Management System

### OVERVIEW

Given the volume of data involved in the monitoring and evaluation of a Mission's programs, it is imperative that these data be effectively stored and managed. This module provides an overview on managing performance data, including available performance data systems and considerations for making sure that data is managed effectively.

### TOOLS

- *Screenshot of AIDtracker*

### MANAGING PERFORMANCE DATA

USAID's renewed focus on rigorous M&E means that a significant amount of data is collected throughout the R/CDCS, project, and activity life cycles. The amount of data being collected raises important questions about how this data will be effectively managed and used for reporting, analysis, and learning purposes.

The Mission's performance monitoring information system is a data system that serves as a repository for all performance indicators (at the strategy, project, and applicable activity/implementing mechanisms (IM) levels), including baseline values and timeframes, targets and rationales for targets, and actual values.  The indicator data stored in the performance monitoring information system is an essential component of the PMP. Performance data is dynamic and will be updated as baselines are measured, actuals are collected, and performance indicators are added, dropped or revised. At a minimum, performance data should be stored in Excel.  Ideally, the Mission will have and use a performance monitoring information system (e.g., AIDtracker, FACTS Info, or another Mission system) that offers more functionality in analyzing the Mission's performance data.

Some performance monitoring data must be reported to Washington under the Government Performance and Results Modernization Act (GPRMA), largely via the Operating Unit's annual Performance Plan and Report (PPR). Other performance data is captured and reported via other processes, depending on legislative requirements, presidential initiative requirements (e.g, Feed the Future), hard and soft earmarks, and to satisfy other technical, policy, and stakeholder needs.

Table 11 provides a summary of some of the different performance monitoring information systems currently being used by the Agency.  Note that this is just a snapshot of different performance monitoring information systems available to Missions and does not include the many Mission-specific performance monitoring information systems currently being used.

**Table 11: Example of USAID Performance Monitoring Information Systems**

| Name of Report/System | Description |
|---|---|
| **AIDtracker** | AIDtracker is a system managed by M/CIO that enables Mission-level project and activity management and monitoring to include real-time status of project indicators, beneficiaries, and other frameworks. Mapping of project and activity data to user-specific locations is enabled via a geographic "point and click" interface. See Annex 20 for a *screenshot of AIDtracker*. |
| **Foreign Assistance Coordination and Tracking System (FACTS) Info** | FACTS Info is a central USG data system that combines into one central repository all planning and tracking of foreign assistance funds over which the Director of U.S. Foreign Assistance (F) has authority. The system includes information for each country or headquarters office that manages foreign assistance funding. FACTS INFO allows both State and USAID to get data for all F managed foreign assistance funding in various ways in order to make decisions, prepare required OMB and Congressional reports, and respond to information requests. |
| **Feed the Future Monitoring System (FTFMS)** | FTFMS allows the tracking of FTF programming and M&E data, which encompasses internal and mission Bureau for Food Security (BFS) programs, Global Health nutrition programming, and BFS funded development programming for FFP. It also provides tracking for the 57 indicators that BFS uses to monitor their program's performance. This data is used to create a variety of reporting tools that BFS uses to measure progress and tell the FTF story as a bureau, agency, and a cross-Agency government initiative. |

Information that a performance monitoring information system can help the Mission manage includes:

- Data Quality Assessments (required for all indicators reported to Washington)

- Indicator data inclusive of targets and actuals (including disaggregates)

- Site visit reports

- Implementing partner performance reports (monthly, quarterly, semiannual, annual)

- Performance Indicator Reference Sheets (PIRS)

- Evaluations

Note that per the *Mission Order on Performance Monitoring*, the Mission must track the geographic location of each activity/IM at

> **Interim Guidance on Mission-Level Performance Monitoring Information Systems**
>
> Per USAID Standardization Project Notices, AIDtracker is suggested as an interim solution for Missions until a permanent Agency system is developed. It will include geo-mapping functionality as well as a field-tested Indicator Wizard. See ProgramNet for more information and FAQs on AIDtracker. Also, per Executive Notices, spending money to develop a new system to manage data is prohibited. Missions may continue to use an existing system, adopt an existing system, or adopt AIDtracker.

the administrative level (state/province/department). Missions can require further detail or greater specificity in geographic location, if desired. USAID's GeoCenter is available to provide expert consultations and capacity support for analysis of geographic information that aids in strategic decision-making.

## UPDATING THE PERFORMANCE MONITORING INFORMATION SYSTEM

The COR/AOR/AM/G2G is responsible for ensuring timely data collection of performance data along the schedule outlined in the award agreement and Activity/IM's M&E plan (quarterly, semi-annual or annual). After the COR/AOR/AM/G2G, in consultation with the Project Manager, reviews the data in implementing partner reports and verifies that the data is of acceptable quality and accurately reflects actual achievements, the performance indicator actual values need to be updated in the performance monitoring information system. Since indicator data is collected not just at the activity level but also at the strategy and project levels, a number of individuals across the Mission in addition to COR/AOR/AM/G2Gs, including the PMPOC, Project Managers, and DO team leads, may be responsible for ensuring that data for a particular indicator is collected and updated in the performance monitoring information system. The Performance Indicator Reference Sheet should clearly document who in the Mission is responsible for a given indicator.

Depending on the type of system the Mission uses to manage its performance data, in some cases the system will have a web-based "partner portal" which implementing partners can use to report data directly into the system. In other cases, data from partner reports will need to be manually entered into the Mission's performance monitoring information system.

## VALIDATING PERFORMANCE DATA

Even if the Mission uses a web-based platform to collect data from implementing partners, the COR/AOR/AM/G2G and Project Manager should still regularly review and assess the "face validity" of the reported data or, in other words, that the data looks "right" and makes sense. If, for example, partner data suggests that crop yields increased during a period in which there was flooding, the COR/AOR/AM/G2G may want to contact the IP to confirm that the data reported is indeed accurate. For Missions that do not have a web portal for partners to enter data, it is recommended that the Mission use a standardized template to collect data from implementing partners in order to facilitate data review and aggregation across activities.

DO Team Leaders/Project Managers should periodically review project performance data, checking for consistency and quality. The Program Office is responsible for ensuring that DO/Project Managers and COR/AOR/AM/G2G collect and review indicator data consistently, and that these data are entered in the performance monitoring information system on a timely basis. (See Module 2.7 for a more detailed discussion of data quality assurance procedures). Table 12 summarizes illustrative key Mission roles and responsibilities for performance monitoring data management. Mission staff should also refer to their Mission's *Mission Order on Performance Monitoring*.

## DATA MANAGEMENT BEST PRACTICES

Linking data collection with data analysis, reporting, and utilization is all part of the performance monitoring information system, and is therefore a critical part of the M&E process. The way that data is stored, managed, and accessed is a significant determinant of its utility. Consider the following to ensure that data remains secure, practical, and user-friendly.

1. *Data format.* Seek to record, store, and report data in standardized formats across Mission programs.

2. *Logical organization.* Organize data to facilitate easy analysis and reporting. For example, the Mission will likely want to be able to sort data by DO and IR, as well as by project and activity.

> **Helpful Hint**
>
> Per the *Mission Order on Performance Monitoring*, to ensure visibility and transparency the PMPOC will establish a common electronic location and naming conventions for all Project M&E Plans and Activity/IM M&E Plans. The PMPOC also will ensure that the latest Mission-wide PMP is stored in a common location. Similarly Project Managers and COR/AOR will also ensure that the latest Project and Activity/IM M&E Plans, respectively, are stored in the common location.

3. *Data availability.* Consider who should be granted access to collected data and ways to facilitate access and sharing across the Mission.

4. *Data quality.* The *Mission Order on Performance Monitoring* details the regular review and verification that the Mission should undertake of its performance data. In addition, the Mission should assess opportunities to foster a culture of high quality data collection.

5. *Data accessibility.* Where possible, utilize technology to organize and manage data. A common data system can help staff organize and analyze data, as well as highlight trends and identify emerging patterns.

## Table 12: Key Roles and Responsibilities for Capturing Performance Data

| Level | Performance Monitoring Responsibility | Who |
|---|---|---|
| Activity/IM | Collect performance data. | COR/AOR/G2G and Activity Managers |
| | Verify implementing partner performance reports. | |
| | Review data in IP reports or third-party sources. | |
| | Enter performance indicator actual values into the performance monitoring information system. | |
| DO/Project | Periodically review performance data, checking for consistency and quality across activities. | DO Team Leaders/Project Managers |
| DO/Project/Activity /IM | Ensure that DO/Project Managers and COR/AOR/G2G collect and review indicator data consistently, and ensure that the data is entered into the system on a timely basis. | Program Office |
| | Review COR/AOR/G2G and DO/Project Manager indicator data for quality and consistency. | |
| Non-project (e.g., Goal, context) | Collect data as needed for non-project performance indicators (e.g., Goal level indicators and context indicators) or third-party data. | |
| Mission-wide | Review data from third-party sources (e.g., M&E support mechanisms) | |

## SUMMARY

By now you should have an understanding of:

- How and why we document performance data

- The different platforms available to document and manage data for analysis and utilization

- Considerations for effectively managing performance data across the Mission

## REFERENCES
ADS 203

Mission Order on Performance Monitoring

# Performance Management Plan (PMP) Toolkit

## Module 2.11: Strengthen Learning in the Performance Monitoring Process

### OVERVIEW

Learning takes place throughout the process of planning, developing, and implementing the PMP. This module provides direction on how to develop a PMP Learning Plan, what to include, and how this planning can help maximize the knowledge generated, captured, shared, and used in performance management.

### TOOLS

- *Program Cycle Learning Guide*
- *CLA in Four Missions*
- *USAID Learning Lab*
- *ProgramNet Learning Page*

### LEARNING THROUGHOUT THE PROGRAM CYCLE

Learning has always been a part of USAID's work; it is clearly not new. USAID staff and implementing partners have always sought ways to better understand the development process and USAID's contribution to it, to share the successes and lessons of USAID's initiatives, and to iteratively improve our operating modes and mindsets. Learning is at the core of the Program Cycle, linking together (1) Agency policies and strategies, (2) strategic planning (i.e., the R/CDCS process), (3) Project Design and implementation, and (4) evaluation and monitoring.

While some Missions produce Mission-wide learning plans (sometimes referred to as CLA Plans) that the PMP feeds into, many others can strengthen the learning components of their performance management through adopting and integrating learning-oriented approaches and practices into their existing processes, structures, and plans.

In performance management, as in other components of the Program Cycle, emphasizing a learning approach should facilitate:

- Coordination, collaboration, and exchange of experiential knowledge internally and with external stakeholders;

- Testing development hypotheses, identifying and filling critical knowledge gaps, and addressing uncertainties in the hypotheses with new research or syntheses of existing analyses;

**Good Practice**

While learning efforts often focus most directly on improving development interventions, effective management and support operations are critical to the success of those very development interventions. Missions are encouraged to plan for and foster wide-scale systematic learning that also supports learning within the Mission's support offices including the OAA, EXO, OFM, RLA and HR.

- Ensuring new learning, innovations, and performance information gained through monitoring and evaluation to inform strategy implementation; and

- Identifying and monitoring game-changers—the broad conditions that are beyond the Mission's control but could evolve to impede or facilitate implementation—based on associated tripwires that may trigger programmatic and project contingencies or even changes in strategic direction (See ADS 201.3.3.4).

A learning approach ensures that progress toward DOs is guided by continuous learning, ongoing assessment of the causal pathway, iterative adaptation during program implementation and, where relevant, the strategy.

## DEVELOPING THE PMP LEARNING PLAN

Developing a learning plan can help ensure that learning is more systematically planned, adequately resourced, integrated into ongoing tasks and work schedules, and acted on in ways that are strategic and can maximize results.

There are three key steps in developing a learning plan:

1. Identifying key junctures in the PMP process to integrate learning

2. Answering key questions to identify how the learning focus can be strengthened

3. Integrating learning directly into PMP workplans, task schedules, stakeholder engagement plans, and other Mission plans and processes

## IDENTIFYING KEY JUNCTURES TO INTEGRATE LEARNING

In the process of developing, refining, and implementing the PMP, numerous opportunities arise to ensure more consultation, collaboration, dialogue, cross-fertilization of ideas, and develop a sense of ownership around the learning that is being generated. There are also opportunities where a Mission might benefit from including tacit, experiential knowledge in addition to data, or where learning has been generated but could be shared and used more broadly.

A few examples of how learning can be built into the PMP development process include:

- Building on the learning in the R/CDCS—update and refine the strategic planning, stakeholder engagement, and context analysis developed under the R/CDCS. Make sure new thinking around the Results Framework is synergized with other learning efforts.

- PMP Launch Event—Ensure that Mission staff are aware of opportunities for learning in the PMP Process, through learning activities at key junctures, and ensure broad strategic participation and engagement around key issues.

- Project design process—Integrate emerging knowledge into the design process

- Selecting and refining performance indicators—Engage stakeholders across DOs and Technical Offices for synergies and cross-office learning.

- Context indicators—Involve a broad set of stakeholders, including the host country government, to identify meaningful indicators .

- Evaluation Plan—Inform evaluation planning with research and experiential learning, and create synergies between evaluation questions and broader learning efforts.

- Data Analysis—Engage with internal and external stakeholders to cross-reference patterns, fill information gaps, and discuss findings and implications.

- Site visits—Maximize efforts to understand implementation realities and promising and not-so-promising practices, and share relevant findings beyond activity teams.

- Portfolio reviews—Provide upfront analysis of data, discuss emerging and cross-cutting issues, and address larger contextual issues and needed course corrections.

- Evaluation results—Ensure broad sharing beyond the Mission, and encourage discussion regarding implications for project and activity design and implementation.

## IDENTIFYING HOW THE LEARNING FOCUS CAN BE STRENGTHENED

At each of these key junctures, there are actions that can be taken to improve the quality, breadth, and depth of the knowledge being captured. This includes identifying other stakeholders, internal or external, who could bring in-depth experiential knowledge and new perspectives, as well as identifying opportunities that might facilitate the exchange of this information. As knowledge is generated, it is important to think through who would benefit from this new knowledge, and what insights and changes this knowledge could bring to strategies, plans, projects, mechanisms, activities, or partnerships.

Table 13 details some considerations for identifying key junctures and approaches for learning.

**Table 13: A template for identifying key activities and approaches for learning**

| When/where learning can be strengthened | | |
|---|---|---|
| Knowledge generation and capture | Activities and interventions | Stakeholder consultations, mapping, after-action reviews, big-picture reflections, learning networks, small-group dialogue or debate, learning events, expert panels, assessments, special studies |
| | Key actors to involve | Cross-Mission team, other donors, host country government, sectoral experts, researchers, IPs, private sector, local organizations (universities, think tanks, evaluators) |
| Sharing what is learned | Who will benefit from learning | USAID/W, regional Missions, other Missions, other DO or technical teams, other donors, host country government, IPs |
| | Format | Informal discussions, dialogue or debate, formal meetings, presentations, reports, briefs or updates, tools or guidance, policy |
| Using what is learned | What kind of change can this learning contribute to? | Change in: understanding of context, Development Hypothesis, Project Design, activity design, mechanism, partnerships or roles, internal or host country policy |
| Updating learning | How often? | Weekly, monthly, semiannually, annually |
| | How? | Ongoing monitoring, surveys, evaluation results, after-action reviews, big-picture reflections, learning events |

## PLANNING FOR AND INCORPORATING LEARNING OPPORTUNITIES

Missions should plan for and incorporate learning opportunities directly into PMP workplans, task schedules, stakeholder engagement plans, and other Mission plans and processes. The more that these elements are integrated, the easier it will be to plan, allocate resources for, and carry out learning opportunities in a deliberate and thoughtful manner. In addition, think through other existing structures, processes, and plans. For instance, the Mission may want to integrate stakeholder engagement, collaboration mapping, and evaluation plans into a broader learning approach to ensure that synergies are captured wherever possible. See the *Collaborating, Learning and Adapting in Four Missions* webinar and *CLA at USAID/Uganda* on USAID Learning Lab.

## KEY LEARNING ACTIVITIES

In many ways, the goal of learning is for a Mission to be agile and responsive in making needed and evidence-based adjustments. Activities that can facilitate adaptive management and learning are those that pull together and analyze information in strategic ways or those that foster reflection, review, and dialogue. These are discussed as follows.

## STRATEGIC INFORMATION GATHERING, MAPPING, AND ANALYSIS

Strategic information gathering can entail activities such as donor and activity mapping; assessing, surveillance and response; the use of complementary and experiential data; and drawing on the expertise of stakeholders and local experts.

- **Mapping development activities of USAID, USG, host country, other donors, and implementing partners**. Mapping can be helpful in understanding which actors are conducting which activities and where. Mapping is essential for meaningful stakeholder coordination. While some of this work will likely have been carried out in development of the R/CDCS, a fresh look at key stakeholders and updated information is essential to ensure that the information gathered remains strategically useful. Incorporating relevant local data, such as population, nutrition status, rainfall rates, markets, and so forth, and ensuring its timely updating, can provide the specificity needed to review a Mission's high-level goal and development objectives along with project- and activity level interventions.

> **Good Practice:**
> **Four Key Learning Principles**
>
> - Integrate learning into existing processes, structures, and plans
> - Promote strategic coordination across Mission teams and external partners
> - Create a culture of inquiry to challenge assumptions and find solutions
> - Use knowledge sharing as a platform for collaboration and joint action

- **Assessing, Surveillance and Response (ASR) reports on game-changers.** ASR reports that are developed annually can serve as a consistent method to understand the initial context and subsequent evolution of any broad trends. ASRs can be used to inform discussions at Portfolio Reviews or other events, both internal or with partners and stakeholders, involving reflection on the Mission's portfolio. ASRs can be useful in tracking and better understanding the implications of certain contextual factors and potential game changers—such population growth, climate change, environmental degradation, and political and governance trends— on the Mission's portfolio. ASRs are one input into big-picture discussions, which would be complemented by participants' nuanced and contextually specific observations. (See the *Program Cycle Learning Guide* on USAID Learning Lab).

- **Using complementary data sources.** A Mission's initiation of new studies to explore uncertain aspects of the Development Hypothesis can be important in furthering Mission-specific and Agency-wide goals. Missions should utilize additional resources at their disposal in efforts to fill

identified knowledge gaps, including through syntheses of existing research, DO and project evaluations, impact evaluations, and other data sources. Experiential data—including observations and experience from Mission staff, seasoned practitioners, local leaders, beneficiaries, other stakeholders, and recognized experts—can also be a reference point and a source for triangulation. When these data sources are not supported by reliable evidence (i.e., unsubstantiated but knowledgeable opinions), they should be used with other data sources to provide deeper context and insight.

- **Advisory councils of external experts** can be assembled in-country and through remote linkages to provide in-depth knowledge—of evidence and experiential learning—in the form of updates, recommendations, advice, and periodic reviews over emerging issues. It is important that the individuals involved be seen as neutral parties without vested interest in the outcome of specific program decisions.

## REFLECTION, REVIEW, AND DIALOGUE

Reflection, review, and dialogue can involve stakeholder consultations, "Big Picture Reflection," portfolio reviews, after-action reviews, and fostering learning networks and communities of practice.

- **Stakeholder consultations** bring in a broad perspective for review or comment on a decision, process, task, or strategy. These can be purely internal, cutting across operating units, or include external stakeholders such as donors, academics, host country government counterparts, implementing partners, and local organizations (e.g, NGOs, CSOs, local universities, private sector entities).

- **"Big-Picture Reflection"** discussions bring together a wide array of stakeholders in the Mission to share learning and observations, particularly around specific contextual factors, Development Hypotheses, programmatic approaches, or other conceptual directions, and discuss implications for Mission strategy, implementation, and any needed course correction (see the _USAID/Uganda Local Governance Big Picture Reflection_ for an example).

- **Portfolio Reviews** provide an opportunity to discuss in-depth analysis of performance and contributing factors, ground-truth the Results Framework, incorporate cross-cutting issues, and set a foundation for adaptation and course correction.

- **After-Action Review (AAR)** is a methodology that can be integrated into program operations for periodic reflection on specific DOs, or particular processes, activities, or actions to better understand underlying obstacles or opportunities, possible course corrections, and improvements.

- **Learning networks** are a highly facilitated, formally structured and resourced effort to bring a group of stakeholders together to tackle an issue, pilot an approach, or find a common solution, usually in a timebound manner.

- **Communities of practice**, discussion groups, staff meetings, ad hoc cross-team meetings, brownbags, presentations, mentorships, and staff rotations all offer opportunities to build in dialogue and sharing of experiential knowledge among skilled practitioners.

## SUMMARY

By now you should have an understanding of:

- How to strengthen learning in the performance management process

- Specific activities and approaches that can increase knowledge generation, capture, sharing, and use

## REFERENCES AND RESOURCES

ADS 201

ADS 203

**Web Toolkit**

Program Cycle Learning Guide

**Webinars**

- CLA: Collaborating, Learning and Adapting – Implementing the CDCS as a Living Strategy, PLP/LER, Stacey Young, August 16, 2011
- USAID Program Cycle Learning Guide and CLA
- CLA in four missions

**Web resources centers**

- Learning Lab
- ProgramNet Learning Page

# Performance Management Plan (PMP) Toolkit

## Module 2.12: Develop the Performance Management Budget

### OVERVIEW

Management and financial costs related to collecting, analyzing, and reporting data should be carefully considered by Missions. This module provides guidance on developing budget parameters for monitoring and evaluation, as well as the minimum requirements for Mission M&E budgets.

### TOOLS

- *Mission Performance Management Budget Tool*

### BUDGETING FOR PERFORMANCE MANAGEMENT

When preparing the Mission-wide PMP, Missions can find it useful to assess the amount they have budgeted, or plan to budget, for monitoring and evaluation to ensure that there is sufficient funding for M&E activities. Per ADS 203, Missions should reserve between 5 and 10 percent of their budgets for both monitoring and evaluation (see ADS 203.3.2.3). Since Missions are required to reserve 3 percent of their total program budget for external evaluations, this effectively means that between 2 and 7 percent of their budgets should be used for performance monitoring and for other performance management efforts (including additional evaluations, if needed). Budget sources for performance management may include both program funds and operating expense (OE) resources.

The Mission's M&E budget should be robust enough to support performance data collection, review, analysis, and reporting to support decision-making. A performance management budget may include, for example:

- Salaries of Mission M&E staff

- The cost of external evaluations

- Relevant equipment and software (e.g., GPS devices, ArcGIS and licenses)

- The Mission's M&E support contract(s)

- Data collection (for example, Mission-funded and -managed surveys)

- Data quality assurance, including Data Quality Assessments (DQAs)

- Technical assistance (if needed, for example, to hire an external expert to support DQAs or data analysis)

- Training (for example, training CORs/AORs/AMs/G2Gs on how to conduct site visits)

- Analytical support (which could include hiring an external expert to help conduct regression analyses for Mission-funded surveys)

- Other costs related to Mission performance management (for example, logistics support for stakeholder sessions to analyze the Mission's performance prior to a Portfolio Review)

- Events to support dissemination or use of evaluation findings and/or performance monitoring data with partners and other stakeholders

- Learning events

> **Helpful Hint**
> The Mission Program Office is responsible for overseeing the program budget and budget execution process, including inter-agency budget coordination as appropriate. Therefore, in essence the PO assumes responsibility for ensuring that sufficient resources are budgeted across the Mission for evaluation and performance monitoring—including at the aggregate level for the DOs and R/CDCS Goal.

It is recommended that Missions initially formulate their M&E budgets from evaluation and performance monitoring needs identified in the R/CDCS. The budget will be further revised during Project Design, when Project M&E Plans refine evaluation questions and performance monitoring requirements and identify additional needs based on the project's analytical requirements. The optional *Mission Performance Management Budget Tool* (see Annex 21) serves as a tool for M&E budget planning purposes.

The following three scenarios are included in the Toolkit for illustrative purposes to help Missions think through their planned M&E budgets, including gaps and over commitments.

## SCENARIO 1

The Mission's portfolio is heavily earmarked, and includes Presidential Initiatives and other high-level commitments to meet reporting requirements. In addition, Pillar Bureaus in Washington have requested a large number of impact evaluations in order to justify results and report impact. The Health DO team has recently added two health-funded M&E staff to provide specific health M&E expertise for its projects, including helping to manage pre–Portfolio Review sessions with implementing partners and key stakeholders. Working with the Health DO team, the Program Office (led by the M&E POC) analyzes the Mission-wide Evaluation Plan and determines the following:

- Overall Health DO budget = $140 million for PEPFAR, PMI, Tuberculosis, and other projects.
- Costs for three Impact Evaluations (determined in cooperation with the Global Health Bureau) and two performance evaluations (one identified for a large project by the DO team): $7.9 million

**Analysis**: The PO and the DO team determine that while total evaluation costs are more than the 3 percent of the DO budget, the total amount is acceptable because health projects traditionally have higher data collection and analysis costs than those in other sectors. Both the PO and the DO agree, however, to explore two opportunities to improve cost-effectiveness: 1) request that the Global Health Bureau help fund all three impact evaluations, since they need this information for their Washington-based stakeholders, and 2) use the three impact evaluations to share the same data collection method for the baseline, treatment, and control group data.

**Table 14: Scenario 1—M&E Budget Calculations**

| M&E Need/Requirement | Amount Budgeted |
|---|---|
| PEPFAR-related IR, 1 impact evaluation | **$3,500,000** |
| PMI and TB IR, 2 impact evaluations (1 each) | $4,000,000 |
| Large project performance evaluation related to a third IR | $180,000 |
| Pilot cross-cutting health service delivery evaluation related to the third IR | $250,000 |
| **Total Planned Costs for Health DO Evaluations** | **$7,930,000** |
| M&E Staff salaries | $255,000 |
| M&E training and facilitation costs | $35,000 |
| **Total Planned M&E Costs for Health DO** | **$8,220,000** |
| **M&E Costs as a percent of DO Budget** | **5.87 percent** |

## SCENARIO 2

The Mission is continuing legacy programs in its new R/CDCS for a highly successful, but small, DO focused on cross-cutting governance projects. Funding for the DO is mostly collected through a shared services approach where the other three DOs allocate a percentage of their overall funding for the Governance DO. As a result, the Governance DO has almost no funds for evaluations, and limited funds for performance monitoring. There are several innovative approaches the Mission is planning for the cross-cutting Governance DO, some of which are tied to the use of host country systems and local organizations as part of USAID Forward. Working with all of the DOs, but particularly with the Governance DO, the Program Office has determined the following:

- Overall Governance DO budget = $10 million
- Estimated M&E costs= $1.1 million

**Table 15: Scenario 2—M&E Budget Calculations**

| M&E Need/Requirement | Amount Budgeted |
|---|---|
| Impact evaluation question identified in the R/CDCS | **$1,000,000** |
| DO Indicator 1: DO team will need to commission a report | $10,000 |
| DO Indicator 2: Minimal cost, context indicator | N/A |
| DO Indicator 3: Minimal cost, covered by other DO data collection efforts | N/A |
| Project level indicators (costs are included in the mechanism budgets) | N/A |
| External evaluations not covered by PO | N/A |
| M&E staff salaries | $65,000 |
| Support services contract (covered by PO) | N/A |
| Other: Data quality assessments will have some costs | $10,000 |
| **Total M&E costs for Governance DO** | **$1,085,000** |
| **M&E costs as a percentage of DO budget** | **10.85 percent** |

**Analysis:** The PO and the DO team determine that these total costs are within the recommended amounts for evaluation and performance monitoring. However, there are no funds within the DO for the impact evaluation mentioned in the R/CDCS. Indeed, when the funds for the evaluation are removed from the M&E calculations for the DO, the performance monitoring costs are, by themselves, significantly under the recommended percentage. Given that this is a cross-cutting DO, which should have an impact on the achievements of other DOs, the Mission will be assuming a certain amount of risk for potentially insufficient performance monitoring at these levels. Both the PO and the DO team agree to the following strategy: 1) the DO team will rely heavily on additional support and assistance from the PO, particularly the PMPOC and Evaluation POC; 2) the PO will explore additional funding streams that can be used by the Governance DO for the evaluation; and 3) the PO will look for opportunities to embed the Governance DO team's evaluation questions into the evaluation plans of other DO teams.

If the Mission cannot fund the evaluation identified in the R/CDCS and Evaluation Plan for the DO, the Mission may still be in compliance with Agency policy because: 1) the R/CDCS requirement is only to "identify" an impact evaluation opportunity; and 2) the 5–10 percent budget threshold for M&E is calculated as an average across the Mission-wide PMP, and therefore it is possible for individual DOs to be higher or lower than the recommended range.

## SCENARIO 3

The Mission has just finished its Mission-wide Evaluation Plan and the PO is now assessing the total M&E costs across the entire Mission Portfolio, including program funded salaries for M&E staff embedded in DO teams. Working with all of the DO teams the PO has determined the following:

- Overall Mission program budget= $250 million.
- Estimated M&E costs= $29.3 million

### Table 16: Scenario 3—M&E Budget Calculations

| M&E Need/Requirement | Amount Budgeted |
|---|---|
| Program Office M&E costs (includes M&E support contract, M&E staff salaries, training, M&E infrastructure and equipment, external evaluations, etc.) | $10,050,000 |
| DO 1 costs (large DO = $110m) | $15,000,000 |
| DO 2 costs (medium-sized DO = $54m) | $3,400,000 |
| DO 3 costs (medium-sized DO = $75m) | $250,000 |
| DO 4 costs (small DO = $11m) | $600,000 |
| **Total M&E costs across Mission** | **$29,300,000** |
| **Total DO M&E costs as a percentage of the total DO program budget** | **7.7 percent** |
| **Mission M&E costs as a percentage of total DO program budget** | **11.7 percent** |

**Analysis:** The PO and the DO teams determine that the total planned cost for M&E in the Mission is within the recommended amounts for evaluation and performance monitoring. When the PO M&E budget is added, the grand total M&E costs are still within expected parameters. However, when they looked at the projected DO 3 M&E costs, they identify that this DO has less than 1 percent allocated towards

monitoring and evaluation. If the DO 3 team is expecting to access additional performance monitoring and evaluation services from the mission's M&E support contract managed by the PO, then this may be acceptable (of course, the PO team should also be in agreement). Even if the DO 3 team does not expect to tap into the mission's M&E support contract, the amount the DO team has reserved for M&E might be sufficient. The M&E POC would need to discuss the DO team's M&E strategy with the team and make adjustments, if necessary. A good practice would then be to document the DO 3 team's rationale/justification for their M&E strategy in the PMP (including in the PMP Evaluation Plan).

## COST-EFFECTIVENESS CONSIDERATIONS

There are trade-offs between the cost of collecting data and the quality of M&E data. As data quality increases, costs will often likewise increase, as seen in Figure 13. The more important the management decision, the greater the need for data to be credible and sufficiently meet the data quality standards. For example, prior to making a decision to reallocate resources from a non-performing project to a more successful project, it is important to know that this decision is being made based upon credible data.

**Figure 13: Cost-Effectiveness of M&E**
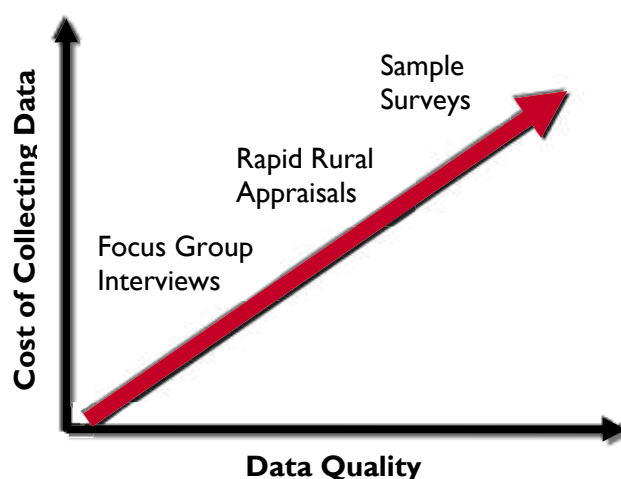


Mission M&E systems should be cost-effective (see ADS 203.3.2.3). If M&E costs are too prohibitive (e.g. approaching or over 10 percent of the Mission's overall budget), Missions should consider:

- **Eliminating redundant indicators** (see ADS 203.3.6). In most cases, there should be no more than three indicators per result. This rule of thumb requires Missions to choose a minimum set of indicators that are necessary to monitor the result rather than collect data that would be interesting to know but is not essential.

- **Sharing costs with other USG entities or donors**. Best practices have included Pillar Bureau financial support for evaluations, piggy-backing Mission-identified questions onto surveys being conducted by other entities, and even joint evaluations where the Mission provides the logistics and other local support and the other USG Agency covers the costs of the external evaluators.

- **Building the capacity of local and host government entities to conduct M&E** (see ADS 203.3.2.2). The Mission can explore opportunities for capacity-building focused on host country M&E entities or other local M&E firms.

If the total projected costs for all M&E activities are still too high, the PMP development team, Project Design team, or other Mission staff should consider revising either the data sources or the data collection methodologies. The Mission should carefully weigh the trade-off between cost and quality in relation to the kinds of decisions expected to be made with the data. The more important the decision, the more important the data quality will be. The justification for an alternative data source or data collection methodology should be documented in the PIRS.  Possible mitigation actions should be considered if it is expected that a particular methodology will yield lower quality data.

As a last resort and in very rare instances, Mission staff should carefully assess the possibility of modifying the relevant outcome and IR statements and corresponding indicators (see ADS 203.3.2.3). When assessing the possibility of making these changes, the Mission should consider how this performance data would support management decisions. Both the level of the management decision (for example, is the decision being made by the AOR/COR or the Mission Director?), and the level of the output or result (for example, is the decision being made at the activity level, or at the DO level?) are key to helping determine if revising result statements is warranted.

## IMPLEMENTING PARTNER M&E BUDGETS

USAID guidance states that CORs/AORs/AMs must work with COs/AOs to ensure that implementing partners (contractors, grantees, and agencies) include costs of data collection, analysis, and reporting as a separate line item in their budgets to ensure that adequate resources are available (see ADS 203.3.5). This requirement applies to instructions to offerors/applicants in solicitations and for implementation budgets. Such inclusion not only signals the importance of performance monitoring to implementing partners, but it can also improve the overall efficiency and effectiveness of performance management.

Additionally, data collection, analysis, and reporting requirements should be included in the tasks and workplans of USAID's implementing partners. A best practice would be to request that implementing partners include all M&E costs, including staff salaries, by component, by task, and/or by result/purpose/output. This way CORs/AORs/AMs can monitor and assess their implementing partners' efforts to monitor activity performance. If activity progress lags, then the COR/AOR/AM can review the data collection efforts to see if they are sufficient.

> ### Should Implementing Partners Manage Their Own Evaluations?
>
> While in the strictest sense it would be a conflict of interest for an implementing partner to evaluate its own activity, in some cases an IP-initiated evaluation may make programmatic and management sense to support the partner's efforts at self-evaluation. This may be related to the nature of the activity (for example, small, experimental, politically sensitive, innovative), the nature of the country context (for example, fragile, rapid growth), or the complexity of expected outputs and outcomes. The information from the evaluation could be used by the partner and by USAID (or other stakeholders) to identify project constraints, and inform activity-level decisions, including assessing whether the partner has achieved their activity objectives. Note that this applies only to non-required evaluations; required evaluations must be led by an external, independent team lead.

## SUMMARY

By now you should have an understanding of:

- The different performance management components that can be included in a Mission-level M&E budget
- How to build a performance management budget
- Considerations for assessing cost-effectiveness of performance management efforts
- M&E budgeting for implementing partners

**REFERENCES**

ADS 201

ADS 203

Mission Order for Performance Monitoring

Mission Order for Budget

Mission Order for Evaluation

# Performance Management Plan (PMP) Toolkit

## Module 3.1: Analyzing Performance Data

### OVERVIEW

The PMP serves as a tool for managing as well as analyzing performance data. This module describes approaches, tools and methods for reviewing and analyzing data across the strategy, project and activity levels. Topics covered include how to review and analyze data across the portfolio, data quality assurance and activity oversight, and various approaches for analyzing data

### TOOLS

- *Program Cycle Learning Guide*
- *USAID GeoCenter*

### REASONS TO ANALYZE PERFORMANCE DATA

Monitoring and analysis of performance data is at the core of USAID's adaptive management process. USAID relies on the best available evidence and analysis to make management decisions, learn more systematically, and document program effectiveness. Mission staff analyze performance by comparing actual results against the targets initially set at the beginning of the strategy, project or activity to better understand the progress being made toward intended results in the R/CDCS and/or Project LogFrames. Analysis of performance data can also be used to help USAID staff critically assess the logic underlying their assumptions and development hypotheses, in order to adapt projects and strategic and programmatic approaches.

Performance data should be supplemented with findings from evaluations, assessments, research, and other information that can help to better understand why certain outcomes are occurring. Some of the questions that can be probed through the analysis of performance data include: "To what extent are we meeting our targets?", "Where are we falling short?", "What have been the trends in progress to date?", and "How on track are we to achieving the desired results by the strategy/project/activity end date?" Evaluation can, in turn, be used to probe further into why certain results have or have not occurred, how results were achieved, unintended consequences or reasons for unexpected progress, the sustainability of programmatic efforts, and the effectiveness of the implementation approach. Examining a particular finding from different angles, and with different sources of information, can be useful in triangulating data, as well as help to increase confidence in the findings being communicated to decision-makers and other stakeholders.

### TRACKING, MANAGING AND ANALYZING PERFORMANCE DATA

Performance data is collected, assessed, analyzed, and reported throughout the R/CDCS lifecycle. As shown in Figure 14, there are different stages of managing, tracking, analyzing and using performance data.

Throughout all stages of the data management process, evidence is gathered, knowledge is gained, and learning should occur.

**Figure 14: Stages of Data Management**



**Data Management Actions**

| Develop | Collect and Organize | Review | Analyze, Use and Report |
|---|---|---|---|
| PMP, Project M&E Plans, Activity M&E Plans | Collect data from surveys, interviews, observation, etc. and organize in Excel or a data system | Regularly review performance data; supplement with Data Quality Assessments and Site Visit Reports | Analyze and Use for Portfolio Reviews, Special Studies, Assessments, Evaluations, PPR, Ad Hoc Requests, Learning and Decision-making |

**Monitoring and Tracking Performance Data**

## THE PERFORMANCE MONITORING PATHWAY

At each level of the R/CDCS Results Framework, performance monitoring adds specific value while building on previous monitoring efforts.  From the activity/IM level, to the project level, to the DO level, data "rolls up" or aggregates so that the Mission can assess its progress toward achieving the results in its R/CDCS.  For example, a training activity implemented by a grantee may have output data such as "number of people trained" and outcome data such as "change in participants' knowledge and skills" and "percent of employers with increased sales after training was completed." Within the broader project to which this activity contributes, other implementing partners may be reporting on the same indicators.   Data aggregated across activities/IMs is used to show progress toward the project's Sub-Purpose and Purpose, which in this case might be "increased sales among targeted enterprises" and "increased revenue among targeted enterprises," respectively.  In this example, the project may be one of the several projects contributing to an Economic Growth DO focused on increased trade and investment.

Aggregating data across the R/CDCS Results Framework requires the collaboration and coordination of staff from across the Mission.  Figure 15 shows the key individuals or offices generally responsible for different levels of performance monitoring and data aggregation.  For example, Project Managers have a key role in making sure that data collection is consistent and correctly aggregated across activities.  They also work with DO teams and technical offices to assess how projects are contributing to progress toward IR and DO level results.  Importantly, this "roll up" of performance monitoring data from the activity to the R/CDCS levels should be complemented with evaluations, assessments, and other opportunities to examine the results being observed.

**Figure 15: Monitoring Levels and Roles**

| | Activity-Level Performance Data within a mechanism | Activity-Level Performance Data across mechanisms within a Project | Project-Level Performance Data | DO-Level Performance Data | CDCS-Level Performance Data |
|---|---|---|---|---|---|
| **PROGRAM OFFICE** | | | | | CDCS Performance Data |
| **PROGRAM MANAGER** | | | | DO Performance Data | |
| **PROJECT MANAGER** | | Aggregated Outputs and Outcome data | Project LogFrame Performance Data | | |
| **AOR/COR** | Sub-activity data (outcomes) / Sub-activity data (outputs) | | | | |

As follows is a brief description of how different Mission staff may be engaged in data collection, review, and analysis across the performance monitoring pathway:

## ACTIVITY/IMPLEMENTING MECHANISM LEVEL

The Mission's CORs/AORs/G2Gs/AMs are on the front lines of USAID's performance monitoring. Specifically, they monitor the quality and timeliness of key outputs and outcomes at the activity level, assess data quality, approve activity M&E plans, and conduct activity oversight. Their role includes ensuring and verifying that:

- Activity level performance data is accurate (e.g., that disaggregations and other calculations are correct and in accordance with the award mechanism and/or activity M&E plan);

- Reported data meets minimum data quality standards;

- Verification documentation is being maintained (e.g., photos pre-, post- and during construction, or original daily sign-in sheets with training participant signatures or thumb-prints);

- Data collection methods are appropriate (and follow the details documented in the PIRS); and

- Baselines and targets are consistent with M&E plans and PIRSs.

## PROJECT (ACROSS MULTIPLE ACTIVITIES) LEVEL

The Project Manager is responsible for managing the analysis of performance data at the project level. The key monitoring value provided by the Project Manager is to assess achievement across a project Goal and Purpose by aggregating activity level data. As certain indicator data can be reported by multiple implementing partners, the Project Manager is responsible for reviewing data aggregated across activities to

determine whether project targets have been met. The Project Manager may also be responsible for ensuring the collection of certain project Goal or Purpose performance and context indicators and monitoring assumptions and risks. In addition, the Project Manager is responsible for understanding the breadth of data limitations for all relevant project-level performance data.

## DO (ACROSS MULTIPLE PROJECTS) LEVEL

At the DO level, the DO team reviews and assesses progress toward results across all of the projects managed under a DO. This may include DO-level data collection in collaboration with the Program Office, reviewing performance indicators, and monitoring critical assumptions and risks. Members of DO teams in some Missions may have multiple roles and responsibilities related to performance monitoring (e.g., a COR may also be a Project Manager, or a Project Manager may also be a DO Team Leader).

## R/CDCS RESULTS FRAMEWORK (ACROSS THE DO AND GOAL) LEVEL

In most cases, the Program Office will monitor the R/CDCS goal. The Program Office helps coordinate and integrate DO-level monitoring across the Mission to identify commonalities and cross-cutting issues across DOs, assess Goal and DO-level assumptions and risks, and analyze the contributions of individual DO results to the achievement of the R/CDCS Goal.

For additional information on the performance monitoring roles and responsibilities of Program Offices, Technical Offices, and DO Teams, see the *Mission Order on Performance Monitoring* and ADS 203.3.2.1.

## DATA QUALITY ASSURANCE AND ACTIVITY OVERSIGHT

Performance data should be regularly reviewed for its quality and accuracy. Reviews of indicator data can be focused on any level, including the activity, project and strategy. Activity oversight and data quality assurance procedures complement the review and analysis of performance data and are important in making sure that data collection is on track, of sufficient quality, and verifiable.

In reviewing performance indicator data, Mission staff should remain alert to:

- **Problematic data** – Does the data make sense? Is it consistent? Is it in sync with what was previously reported?

- **Data that is too perfect or consistent** – Is the data inconsistent or irregular (e.g. if all reported data exactly meet the targets over several quarters)?

- **Gaps in data** – Is any data missing?

- **Incorrect data** – Has the data been correctly entered into the system? For example, are decimals in the right places and are the numerators and denominators (in the case of a ratio or percent) correctly reported?

> **Data Considerations**
>
> An implementing partner has been meeting their training targets for over two years – as documented in both their quarterly reports and their annual reports. These trainings are focused on building accounting skills of private sector staff and public sector officials through month long training programs. Should the Mission be concerned?
>
> There may be no problem; however it is unusual for targets to be met exactly, particularly for longer training sessions. It is typical for a percentage of people to drop out of the training. Reasons for exaggerated data could include Implementing Partner fear of not meeting the target or IP staff that report the target as the actual.
>
> Regardless of the reason, it is incumbent on the COR/AOR or Activity Manager to identify whether the Implementing Partner is reporting accurately. In this case, a meeting with the Implementing Partner, where the COR/AOR/G2G and/or Activity Manager reviews the partner's verification documents (e.g., the training participant sign-in sheets) or a site visit to observe the training may be warranted.

There could be a number of different explanations for problematic data. For example, if all capacity building indicators are exceeding their targets, is the data being inflated? Or were the targets set too low? Or does it rather indicate particularly successful implementation that exceeded expectations?

When data analysis identifies a potential issue with the data provided by implementers, the appropriate Mission point of contact (e.g. COR/AOR/G2G/AM, Project Manager, etc.) should discuss the issue with the implementer to determine if there is an issue and, if so, to work collaboratively to resolve it. The solution may be simple, such as a transcription error, or it may be something more complicated with the data collection methodology. In most cases, the implementing partner and COR/AOR/G2G/AM or Project Manager will likely be able to resolve this issue without the involvement of more senior level staff. However, be sure to involve the Contracting or Agreement Officer if a more substantial issue is identified or if the proposed resolution may be outside of the award provisions.

> **Helpful Hint**
>
> To the extent possible, projects teams should work with OAA to embed analysis tasks into the activity mechanism (see ADS 203.3.5). It is a good practice to require that implementing partners, in their monthly, quarterly and annual reports to USAID, analyze progress toward the activity's/IM's objectives. The implementing partner's M&E plan should include the structure of this performance analysis and reporting (e.g., by individual indicator, by groups of indicators, and achievement of milestones or intermediate results leading toward the activity objective).

## ANALYSIS OF CONTEXT INDICATORS

Throughout the course of strategy and project implementation, the Mission should periodically assess the critical assumptions and risks it has identified as having implications for the successful realization of results. If an unpredicted event occurs or an identified risk is realized, then the Mission may need to reassess its development hypotheses and, subsequently, its Results Framework and Project LogFrames.

A number of events could trigger the Mission to look more closely at its identified assumptions and risks, including:

- Trends in performance data that suggest that results are not moving in the direction expected

- Findings from evaluations

- Portfolio reviews and other opportunities to assess what is working and not working

- The emergence of "game changers" (e.g. discovery of natural resources, civil conflict, political transitions), which could significantly change the development context of the country

Analysis of country context, risks, and game changers can also be an opportunity to bring together key stakeholders to augment and nuance the Mission's analysis. The host government, inter-agency working groups, other donors and development actors, and Congress often rely on USAID's analysis and consultation with local stakeholders on issues of strategic and other importance.

## HOW TO ANALYZE PERFORMANCE DATA

Three approaches for analyzing performance data include indicator analysis, project analysis, and portfolio analysis.

**Indicator Analysis.** Indicator analysis focuses on the trends in an individual indicator or a small group of indicators. CORs/AORs/G2Gs/AMs and Project Managers can analyze an indicator's performance by

comparing actual indicator data against the targets for that indicator. The Mission should consider and analyze any important disaggregations for the indicator (e.g., by sex, geography, income level, or other factor), especially if each sub-group has its own target. Analysis of critical assumptions and risks, as well as other context data, can also inform indicator analysis.

- **Example**. Assume that an indicator related to measuring the number of farmers participating in a USAID-supported training has an overall target of 1,200. However, because of the critical role of women in farming in the targeted communities, the Mission has set a sub-target of 50% (in this case, 600) female farmers trained. If females comprise only 30% of farmers where the activity/IM is located, then the target conveys the importance of targeting female farmers in order to meet the target. Including the sub-target for female farmers allows for important conversations to happen between the Mission and implementer about the opportunities and challenges for increasing the activity's reach to female farmers.

- **Example**. The Mission is supporting an activity that provides training to rural farmers on using new production techniques. For the first few quarters of the activity, targets were on track. However, the COR/AOR has noted that the target has not been met during the last two quarters. Some pertinent questions include:

  o Are there any issues with the implementation of the activity?

  o Was the indicator target set too high?

  o Is there a problem with the data (e.g. data not being collected or reported)?

  o Have there been any changes in how the data is being reported (e.g. previous reported cumulatively and then changed to quarterly)?

  o Or, is there something else that happened that was outside of the implementer's manageable control (e.g. an identified or not previously identified critical assumption or risk, or other factors such as seasonal variations, holidays, etc. that influenced the number of participants)?

Any problems with implementation should be documented in the implementing partner's quarterly report. If not, the COR/AOR/G2G/AM should speak with the implementer to try to clarify any issues.

Another consideration is the quality of the data being reported for the indicator. If the indicator target has been achieved but the data quality is low, then the Mission should not rely solely on this indicator to determine whether progress is being made. Rather, the COR/AOR/G2G/AM and Project Manager should examine all of the indicators, and their respective data quality issues, for the activity as a whole. In looking into data quality issues, the Mission may also find information that can help explain trends in the indicator and should be potentially tracked going forward.

**Project Analysis.** After analysis of individual indicators, CORs/AORs/G2Gs/AMs and Project Managers should analyze performance by project, looking at overall progress of all project level indicators. This moves the focus of analysis from individual indicators to the set of indicators for each purpose/result in order to assess whether the purpose/result is on track to being achieved.

Consider the purpose/result in Figure 16. The figure suggests that two of the three sub-purpose indicators have been met or exceeded. Based on this information, the Mission could decide that the project is on track to achieve the sub-purpose. However, if the first indicator, which arguably measures the sub-purpose the most closely, is not on track, then the Mission may want to weight this indicator's significance higher. Also important is how critical missed targets are to achievement of project and

strategy-level results, which could help determine the appropriate scope for the response. Analyzing performance together with context indicators and other sources of information can help the Mission explain performance and determine any corrective actions required to improve performance.

**Figure 16: Result / Purpose Level Analysis**

| | |
|---|---|
| **Sub-purpose:** Productivity of select agricultural commodities increased | On track? Or not on track? |
| Indicator 1: Volume (tons) of crops harvested | Target = not met, or "– –" |
| Indicator 2: % of crop losses during storage | Target = exceeded, or "++" |
| Indicator 3: Number of hectares with improved practices | Target = met, or "+" |
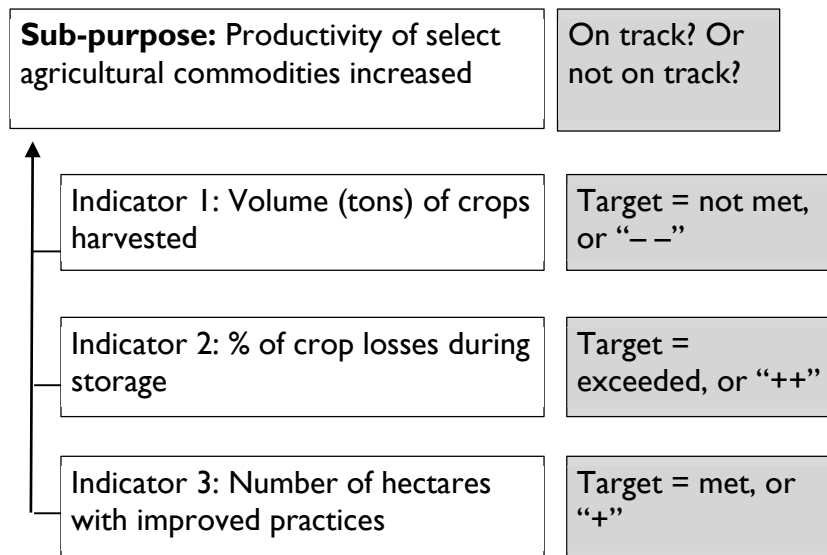
- **Example.** Several implementing partners report on an indicator that measures the capacity of civil society organizations. Upon aggregating that indicator across partners, the Project Manager finds that actuals were 30% below expected targets, as measured by average Organizational Capacity Assessment scores. Upon more closely looking at the data reported by each implementing partner, the Project Manager discovers that one implementing partner reported "0" achievements during the reporting period. Discussions with the relevant Activity Manager quickly revealed that this implementing partner had started implementation late, due to longer than expected negotiations during the award. As a result, the project team decided to reduce the target for the next fiscal year in order to account for a more realistic implementation schedule.

**Portfolio Analysis.** Analyzing the R/CDCS as a whole is typically done during Portfolio Reviews, country-level meetings, and external reporting to stakeholders. A good practice used by some Missions has been to graphically depict the R/CDCS Results Framework, including the overall assessment of the indicator trends for each result statement (see example in Figure 17). This plotting can be depicted as an arrow, as plus or minus signs, or another symbol that conveys the direction of the results.

In plotting the direction of the results, the Mission should draw on performance monitoring data in addition to any additional analysis, evaluation findings and expert and stakeholder inputs to help to better understand trends in the data.

**Figure17: Indicator Trends across an Education DO**
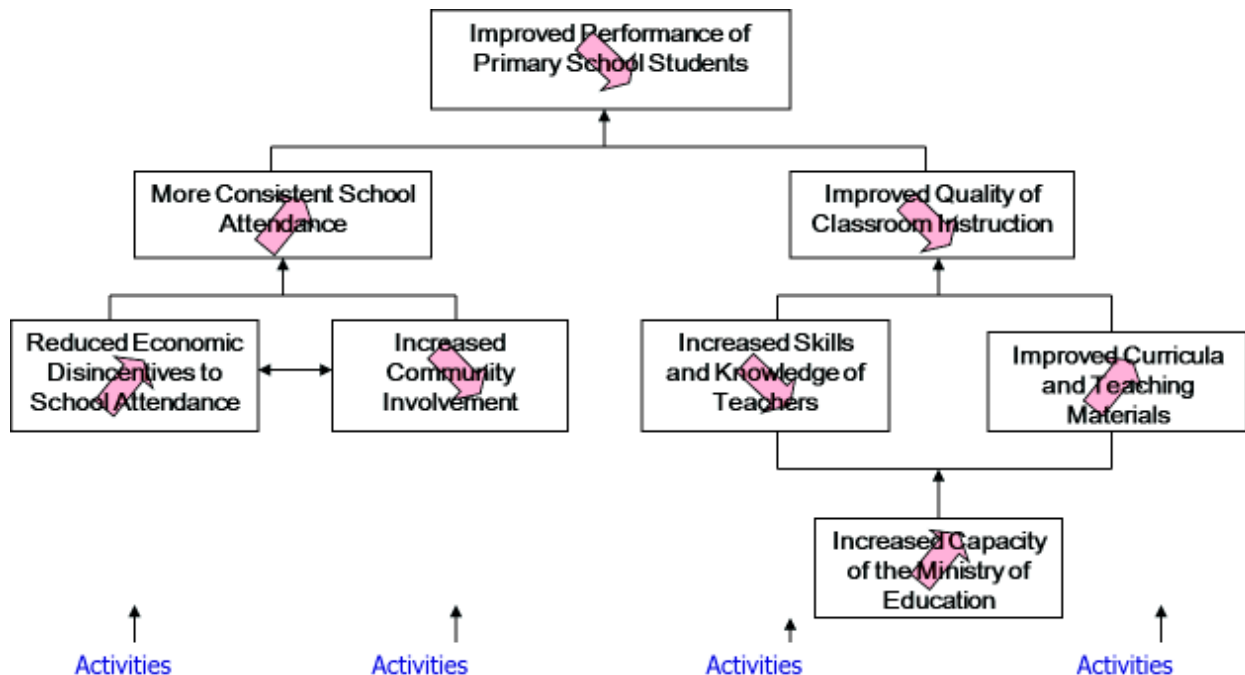


- **Example**. In Figure 17, the performance data suggests that school attendance is increasing, despite the underwhelming performance of activities aimed at increasing community involvement. Similarly, the Figure also suggests that while quality of curricula has improved, the overall quality of classroom instruction has not improved. Overall, the DO is not on track to meeting the intended result of improving the performance of primary school students, suggesting that the DO team may have a serious problem. If it is early in the life of the R/CDCS, then potentially the indicator data at the DO level is not sensitive enough to pick up on the lag in improving overall performance. At the IR levels, there could be a number of factors for the results being observed, such as implementation issues (e.g. delays or other problems), issues with the underlying logic of the Results Framework, or other factors. If it is later in the life of the R/CDCS, and projects and activities are well underway, corrective actions by the Mission may have to be elevated in order get on track to meeting intended results.

See the *Program Cycle Learning Guide* on Learning Lab for additional ways in which the Mission can use Portfolio Reviews to deepen learning culture and inform adaptive management.


## METHODS TO ANALYZE AND PRESENT DATA

Across the life of the R/CDCS so many data points are collected that it can be challenging to capture and present data in a way that will facilitate analysis and sound decision-making. One way to address this problem is through data visualization and use of graphic presentations to facilitate analysis and decision-making. Data visualization can help Mission staff by depicting trends and relationships in the data.

Some common forms of data visualization that can be used to analyze and present both performance and context data include:

- Geo-mapping or Geographic Information Systems (GIS)

- Graphs, Charts and Tables

- Scatter plots, spider graphs, or radar graphs

**Geo-mapping or Geographic Information Systems (GIS).** GIS systems can be used for analysis by mapping performance data onto a geographic representation. GIS analysis can be used to discuss and better understand the meaning of different data points. In the example in Figure 18, analysts discovered a key complementarity between large-scale road construction projects (depicted as lines within the colored provinces) and successful community engagement activities (depicted as larger or smaller triangles) that established good working relationships with village elders, effectively engaged local government entities, and employed a local workforce. The analysis suggested a strong correlation between instances in which successful community engagement activities had occurred in a given community and the success of subsequent infrastructure activities in that community. This portrayal of the data helped USAID demonstrate and communicate the success of its implementation approach. USAID staff can contact the *USAID GeoCenter* for more information on GIS mapping.

**Figure 18. Example of GIS Analysis for Local Governance Activity**
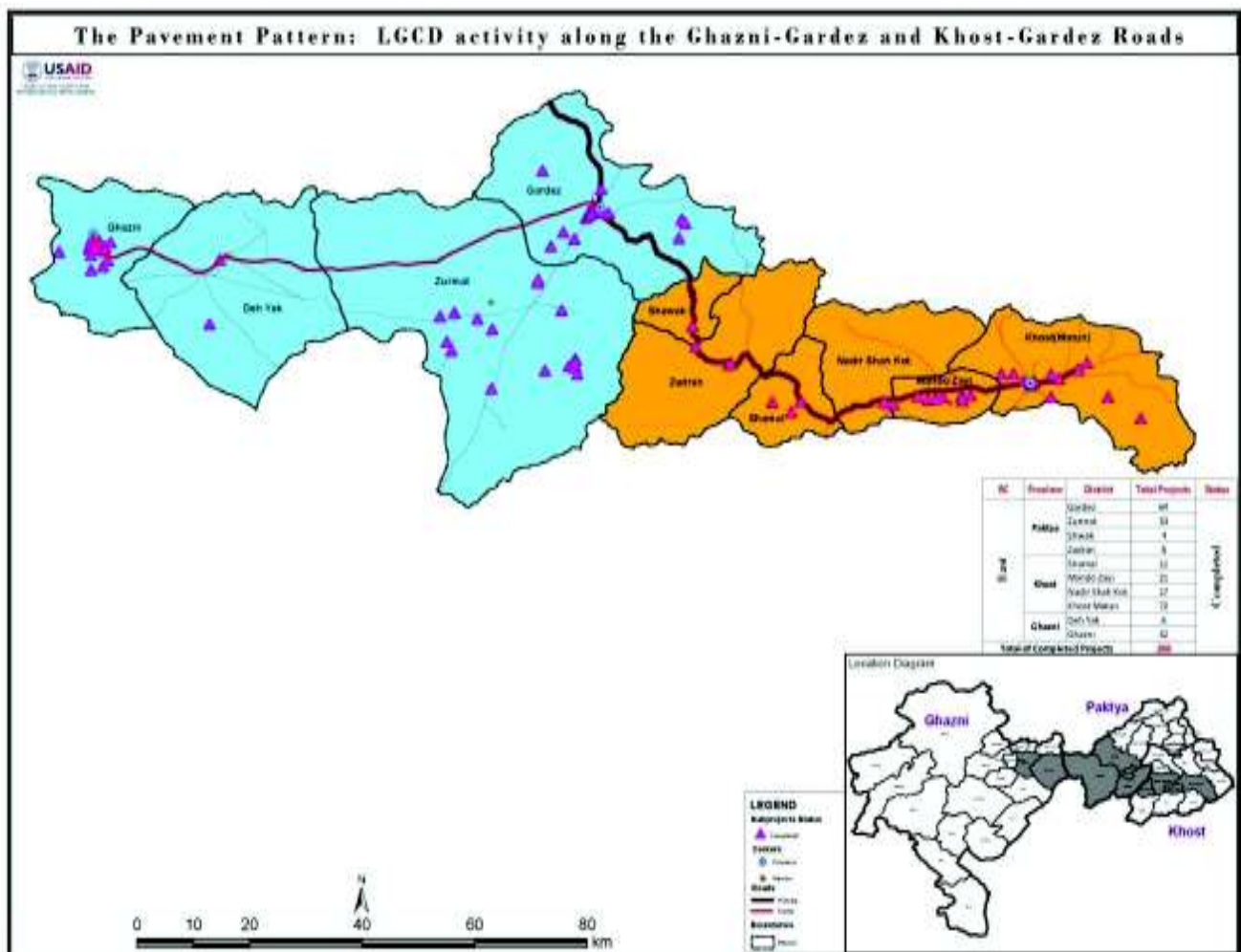
**Graphs, Charts and Tables.** Bar graphs, line graphs, histograms, pie charts, tables, and other common graphic visualizations of data can be helpful in analyzing data and supporting performance reporting. Figure 19 provides an example from USAID/Afghanistan, in which perceptions were mapped using a line graph. Data were analyzed using a logistic regression analysis to better understand which perceptions increased the likelihood that a survey respondent would report improved stability. Perceptions of improved government service delivery—particularly government-provided security but also government services and responsiveness—proved to be the strongest predictors of whether a respondent would report improved stability. This finding helped validate USAID's approach to increasing community stability by working through local government entities to improve service delivery to local communities.

**Figure 19: Example of Visualization Using a Line Graph**

*Percent of Respondents Reporting Improvements in Stability and Service Delivery*
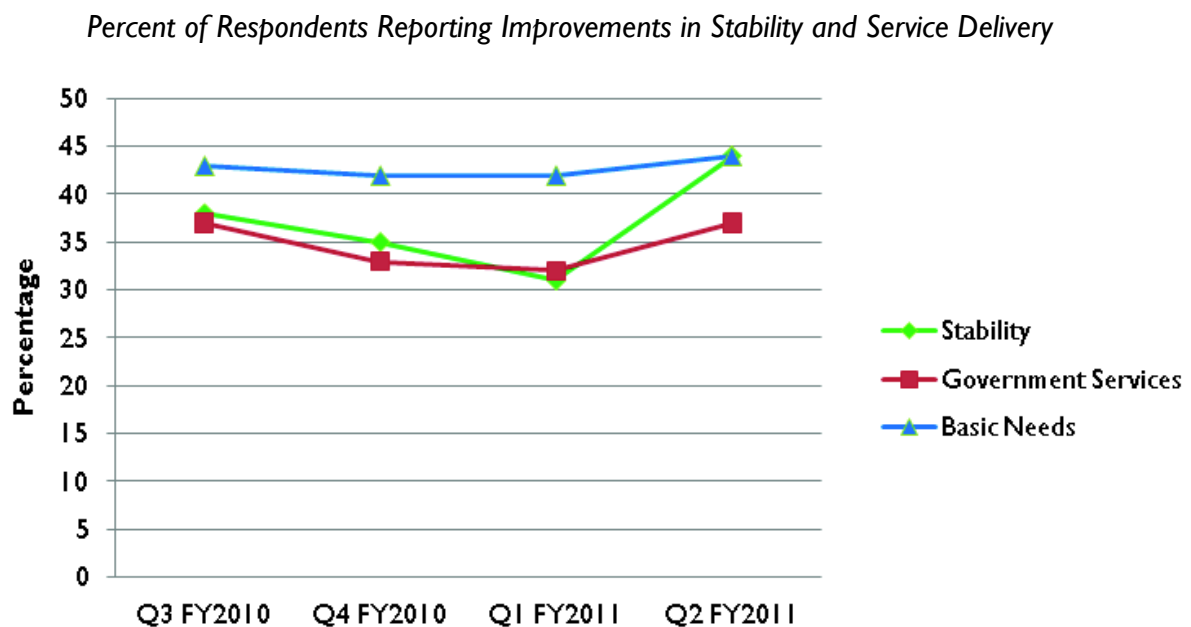


**Scatter plots, spider graphs, or radar graphs.** Figure 20 compares the results of socio-economic and political questions from a "peace for development survey" with the responses from a pre-intervention, baseline survey among a targeted group of beneficiaries. The solid blue shape represents the average score for the treatment clusters, while the gray line shows the comparable baseline scores in all targeted activity regions. The scores of the treatment and baseline areas are similar in the aggregate, with the exception of the level of participation in decision-making in the community. The treatment clusters averaged 2.9 out of 5 on this question, as opposed to a 2.16 for the baseline. The data indicate that more people are participating in decision-making in treatment areas since the baseline was collected. However, the graphic suggests that this has yet to translate to substantially greater satisfaction with the decision-making process.

**Figure 20: Example of a Spider or "Radar" Graph from USAID/Niger**

NIGER SURVEY RESULTS – ECONOMIC AND POLITICAL
TREATMENT VS. BASELINE
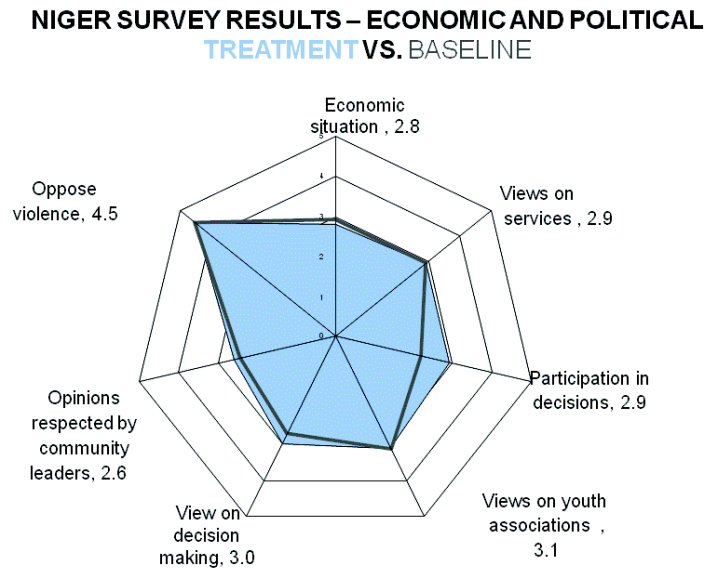


## COMMUNICATING DATA

Considerations when communicating data visually include:

- Know your audience. For example, a graph used to communicate information to a group of Ambassadors and dignitaries will likely be different than a graph used during a presentation to non-literate local artisans in the village.

- Explain what everything means. Label everything!  Include a legend or key to explain information.  GIS maps should include a map key and image scale.  Tables should have clearly labeled vertical and horizontal axes and use appropriate units of measurement.  All maps, graphs and tables should have a clear title that clearly explains the information being depicted.

- Be visually appealing.  If you use different colors, for example, make sure they contrast.

- Be precise. Having two similarly sized pie charts on the same page conveys they are similar in magnitude and importance.  If there are notable differences in the information being portrayed (e.g. vastly different budgets, more significant findings, different size of respondent populations) consider presenting these charts separately or using different sizes and colors and indicate that there are important differences.

- Source information.  Include references for all the data sources to increase data credibility.

## PORTFOLIO, PROJECT AND ACTIVITY REVIEWS

Portfolio, project and activity reviews are an opportunity for efforts to collect, track, analyze and visualize data to pay off, as reviews should be intensively informed by data analysis.  Reviews bring together Mission leadership, Program Office staff and DO teams to determine whether the R/CDCS Goal, DOs, and Projects are on track to meet their targets or if course adjustments are needed.  In addition to being a forum to present data analysis, reviews at the portfolio, project and activity levels can also be an

opportunity to further analyze certain trends and findings based on the collective expertise and insights of those gathered to review and discuss progress to date.

**Mission-wide Portfolio Reviews.** Missions must conduct at least one portfolio review per year geared toward strategic review focused on the higher levels of the Results Framework. The portfolio review examines, among issues:

- Progress toward achievement of the R/CDCS during the past year and expectations regarding future progress

- Logic of the R/CDCS Development Hypothesis

- Status of critical assumptions and game changers

Prior to the Mission-wide portfolio review, DO and project teams should analyze performance data across the DO, including the projects and activities under that DO.  This includes identifying and analyzing trends, cross-cutting themes, and other topics that should be further discussed during the review (see ADS 203.3.2.1).  The Program Office is responsible for reviewing and analyzing progress towards the R/CDCS Goal and analyzing high-level (DO level and above) critical assumptions and risks.

In preparation for the Mission Portfolio Review, Missions may consider hosting smaller review sessions. These reviews can be organized around cross-cutting themes (such as gender, youth, and governance), regions or geographic areas, specific projects or DOs, or other performance issues identified by the Mission. Active participation by stakeholders, including beneficiaries and implementing partners, is important. These smaller reviews can help the Mission identify constraints or opportunities that have affected performance, give stakeholders an opportunity to provide input to the Mission, support the identification of lessons learned, and provide a platform for sharing knowledge among stakeholders.

> **Good Practice**
> A Mission in West Africa hosted DO-level consultations in advance of the Mission's Portfolio Reviews. These sessions, attended by implementing partners, the inter-agency, and other key stakeholders, followed an agenda developed by the IPs that addressed key performance issues identified by the Mission. During the consultations, the participants discussed common operational, political, economic, and security issues that had been affecting performance. Often, trends across the IPs were identified for the first time. Mission staff were able to utilize the learning from these consultations to collaboratively troubleshoot performance issues and augment and inform their own internal analysis and reporting.

**Project Level Review.** DO and Project teams should consider using project reviews as an opportunity to bring together implementers and other stakeholders to discuss progress and implementation challenges.  In addition to drawing on performance data collected from implementers, the Mission can contract local universities, think tanks, and survey firms to augment the team's analysis and help fill knowledge gaps by bringing in local expert knowledge and, perhaps, more objective viewpoints on project progress (see ADS 203.3.5).

**Activity Review.** Project Managers and CORs/AORs/G2G/AMs should consider when activity level analysis is needed, such as prior to a Portfolio Review, midway through completion and/or as the activity is ending, in preparation for follow-on activities, or due to performance issues that have been identified. In-person reviews allow the implementing partner to present their performance data, their analysis, and to engage in a discussion with the COR/AOR/G2G/AM on their progress towards achieving results. This provides a forum for the parties to immediately address key performance issues and identify remediation, mitigation, or even modification requirements.

**Stakeholder, Host Government, and Sectoral Reviews.** As needed, the Program Office and/or DO/Project Teams should conduct reviews with stakeholders, host government partners, or technical sectors. Such reviews improve communication, and can strengthen the quality of collaboration and analysis.

## SUMMARY
By now you should have an understanding of:

- How to track, manage, analyze and use performance data

- Roles and responsibilities along the performance monitoring pathway

- How to conduct performance analysis at the Activity, Project, and R/CDCS Results Framework levels

- Different approaches for analyzing and effectively communicating performance data

- Using data analysis to inform portfolio reviews

## REFERENCES
ADS 200

ADS 201

ADS 202

ADS 203

ADS 205

ADS 302

ADS 303

ADS 324

ADS 350

ADS 502

Mission Order on Performance Monitoring

Mission Order on Portfolio Reviews

How-To Note: Addressing Gender and Inclusiveness in Project Design

# Performance Management Plan (PMP) Toolkit

## Module 3.2: Utilize Knowledge Gained from Data Analysis

### OVERVIEW

Ultimately data should be useful for making informed decisions and contributing to learning. Learning links together all components of the Program Cycle, and is used to develop and adapt plans, projects and programs to improve development outcomes. This module focuses on using the knowledge gained from data analysis.

### TOOLS

- *Model Agenda for a Big-Picture Reflection*
- *Collaboration Mapping Tools and Examples*

## UTILIZING KNOWLEDGE FOR LEARNING

Much time and effort is expended establishing a performance monitoring infrastructure, but often much less time is spent utilizing those data to understand performance, test development hypotheses, question assumptions and cause and effect relationships and, ultimately, manage for results and learning. The data resulting from quality monitoring and evaluation better enables the Mission to learn and adapt iteratively to achieve maximum development results and generate lessons learned that can be used internally and shared with implementing partners and other stakeholders to inform their efforts. Per ADS 203.3.2.2, data analysis and learning should be planned, participatory, and transparent.

This module describes some opportunities to use the insights and information gained from data analysis. Though certainly not exhaustive, this module aims to give Missions some ideas on the many potential uses of data analysis as well as to inspire additional creative thinking around data utilization.

## WAYS TO UTILIZE DATA ANALYSIS

As knowledge and insights are gained from data analysis, they can be used to critically assess and reflect on the Mission's portfolio, particularly what is working, what is not working, how the Mission's approach can be more effective, and any findings that could lead the Mission to adapt its approach. New knowledge may be, for example, used to reexamine the causal logic of the R/CDCS Results Framework and Project LogFrames, anticipate and respond to changes in context, improve coordination and collaboration with stakeholders, and generate lessons to inform programming.

## REEXAMINE CAUSAL LOGIC

The Mission can use knowledge generated through analysis of data (performance, context, and experiential/ observational) to assess the validity of the causal logic underlying its Results Framework and Project LogFrames. Data analysis can be used to identify possible evidence gaps and questions such as, "What more do we need to know in order to validate our strategic approach?" Sometimes asking such questions in a broad forum, such as a cross-mission or cross-donor meeting, can be helpful since others may have different perspectives and sources of knowledge. One approach some Missions have taken to "ground-

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truth" their causal logic is to hold a "Big Picture Reflection" meeting with implementing partners, stakeholders, and other donors to seek feedback on their Results Framework and LogFrames and present analysis of performance data (see *Model Agenda for a Big-Picture Reflection* on USAID Learning Lab).  This inclusive and transparent discussion can lead to adjustments in project design that improve and strengthen the effectiveness of an intervention.

If data analysis yields unanticipated results (e.g. activities are meeting their targets but project results are not moving in the direction anticipated), this may prompt the Mission to investigate further for alternate explanations for the observed results. Research and evaluations conducted by USAID or third parties can be used to complement monitoring data to assess and fill knowledge gaps.

## RESPOND TO IDENTIFIED CONTEXT CHANGES

Implementation does not take place in a static universe—there are constantly context changes, new information, and new ideas. Tracking context indicators and game-changing trends as part of regular and continuous monitoring is particularly important when operating in an environment that has challenges such as instability, ongoing conflict, human-trafficking, and widespread sexual and gender-based violence whose evolution is uncertain and could fundamentally alter the course and impact of the Mission's programs. Depending on the context, game changers could include such dynamics as climate change, the discovery of oil, or a pending election.

As discussed, analysis of available performance data may reveal interesting insights that can be used to make adjustments and course corrections.  When performance data reveals unexpected patterns or trends, it may be fairly straightforward to identify the reasons for these patterns and trends, particularly when examined in combination with context indicator data.  However, other times, the Mission may need to conduct additional exploration and analysis to understand the reasons for particular data trends.

Context changes are not always negative—for example, sometimes situations will improve faster than anticipated or a donor will decide to invest additional resources to advance a particular development outcome. Since changes in context can influence achievement toward results, it can be helpful to cross-reference performance indicator data with context indicator data, performance data from other donors, the latest sector research, and information gained from partner and stakeholder meetings.

## USE KNOWLEDGE TO IMPROVE COLLABORATION AND COORDINATION

Missions should consider integrating into the PMP plans for regular reflection, together with key stakeholders, on what is being learned, what is changing, and what the implications are for the Mission's portfolio. Collaboration and knowledge sharing should aim to cut across a variety of stovepipes to encourage cross-fertilization of lessons learned.  Purposeful dialogue among people with diverse experiences and types of knowledge can add fresh perspectives and generate new ideas to inform project and activity designs. Further, patterns observed in a given sector can have useful lessons that can be applied to other sectors—for example, good practices for targeting women's engagement. Portfolio Reviews and consultations with external organizations are among opportunities that provide opportunities for reflection.

Consider opportunities to increase collaboration and knowledge sharing with stakeholders, including implementing partners, government counterparts, other donors, and local thought leaders. Missions can develop or build upon existing Collaboration Maps to identify opportunities to strengthen collaboration, influence and leverage (see *Collaboration Mapping Tools and Examples* on USAID Learning Lab).

ProgramNet and Learning Lab serve as two web-based platforms managed by USAID to foster collaboration and knowledge sharing both internally and externally (see Figure 21).

**Figure 21: Overview of USAID ProgramNet and Learning Lab**

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### PROGRAM NET
*HTTPS://PROGRAMNET.USAID.GOV/*

ProgramNet is USAID's internal community of practice and key source of support related to the USAID Program Cycle. ProgramNet provides a forum for discussion of issues and sharing ideas, captures suggestions and best practices from the field, facilitates peer-to-peer exchange, and provides practical tools related to different aspects of the Program Cycle. In addition to the Learning Lab, the ProgramNet website serves as another mechanism through which PPL and other Washington bureaus interact with the field and through which staff in the field interact with each other. ProgramNet is only open to USAID staff and houses sensitive but unclassified information related to the Program Cycle.


### LEARNING LAB
*HTTP://USAIDLEARNINGLAB.ORG/*

Learning Lab is an online community designed to generate collective learning for the ultimate goal of increasing the relevance and sustainability of USAID programs. Learning Lab allows USAID staff and partners to share their experiences and support each other's efforts. In particular, it enables them to:

- Connect with a growing number of development practitioners using learning approaches
- Contribute learning approaches, models, and resources
- Access papers and tools from the Learning Resources and Technical Resources libraries
- Collaborate with other members in a variety of communities of practice
- Participate in regular online discussion forums, Speakers Corners, and Seminar Q&A sessions
- Register for and stay up-to-date on speaker series, seminars, and other events
- Learn why and how USAID leaders support the agenda to transform this Agency into a learning organization
- Watch videos and screencasts of past events, presentations, and interviews
- Discover techniques for learning throughout USAID's Program Cycle

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## SHARE KNOWLEDGE TO INFLUENCE OTHERS

Data can be useful not only for internal decision-making but also for influencing the decisions of other development actors and leveraging their skills, resources and expertise.  One of the greatest resources USAID brings to the table is the knowledge and experience that it holds, together with its implementing partners. USAID can use this knowledge to influence the change it hopes to see—whether through engagement with host country governments, participation in donor coordination networks, or sharing knowledge and innovation in multi-donor and stakeholder discussion forums and with representatives of the private sector and civil society.

For example, analysis of monitoring data sometimes reveals key gaps in intervention design that are beyond the Mission's ability and/or resources to address. USAID can pursue opportunities to partner with actors who have the ability to address these gaps and whose efforts complement those of USAID.

Another opportunity for using knowledge as leverage is when an intervention has demonstrated success but the Mission does not have the resources to bring the intervention to full scale, such as across a country or region. Sharing and presenting the evidence-based success with partner governments and other donors can influence their development agendas and support for scale-up.

## PARTNER ENGAGEMENT

Regular meetings with implementing partners present the opportunity for sharing and learning from best practices. To maximize the potential learning that could be generated from partner meetings, consider including on the agenda reflective discussion about subjects such as performance trends, gaps in causal logic, and collaborative data analysis. Prepare partners for these meetings by sharing analysis that the Mission has conducted internally.

Further, it is expected that at least some indicators will be reported on by multiple implementing partners across activities. Engaging all partners who will be linked to an indicator from the outset in a collaborative approach to data collection for that indicator can help set a tone of information sharing and joint-learning. For instance, if all partners jointly design the collection instrument, this can create a sense of buy-in as well as improve data consistency and reliability. The Mission can also hold joint partner meetings to discuss trends and challenges that partners are experiencing with regard to an indicator or group of indicators in order to promote collaborative discussion, problem solving, and sharing of best practices.

Site visits can be another opportunity to share new learning with local stakeholders, partners, and others. As analysis reveals why impressive results are being achieved in a certain sector or by a particular partner, the lessons learned from how these results were achieved can be shared across the Mission. USAID can serve as the connective tissue between various implementers, ensuring that best practices are shared and applied across projects or activities.

## SUMMARY

By now you should have an understanding of:

- Different approaches to utilize data analysis to inform decision-making, learning, sharing of best practices, and adaptive management approaches.

## REFERENCES

ADS 201

ADS 203

# Performance Management Plan (PMP) Toolkit

## Module 3.3: Communicating and Reporting Progress

### OVERVIEW

Accountability, including reporting on Mission performance to Washington and other stakeholders, is another important component of performance management. This module covers various types of Agency reporting of performance data, as well as approaches to ensure that data are clear and accessible to various stakeholders.

### TOOLS

- *Model PPR Preparation Task List for Field Missions*

### RATIONALE FOR PERFORMANCE REPORTING

Performance reporting provides the Mission with an opportunity to communicate its achievements, share accomplishments, and reflect on challenges and lessons learned. Though often a mandatory requirement to ensure accountability to stakeholders, performance reporting can also be viewed as an opportunity for reflection and learning.  Depending on the nature of the report, reporting may also require coordination and communication across USG agencies, providing an additional opportunity to bring stakeholders together to both ensure consistency in reporting and reflect on accomplishments, challenges, and lessons learned.

In addition to routine information requests from Congress, the Embassy, and others, Missions have a number of standard reporting requirements.

> **Helpful Hint**
>
> To be useful and credible for reporting, data should reasonably meet the five standards of data quality: validity, integrity, precision, reliability, and timeliness. Therefore, it is *mandatory* that indicators that are reported externally have had a Data Quality Assessment at some time within the three years before external reporting.

These include the annual Performance Plan and Report (PPR), managed by the Office of the Director of Foreign Assistance (F); and Presidential Initiative Reporting (e.g., Global Health Initiative, President's Malaria Initiative, President's Emergency Plan for AIDS Relief, Global Climate Change, Feed the Future).  In reporting performance, Missions are encouraged to use a mix of standard and custom indicators that adequately convey progress toward objectives.

Where possible, performance indicator data should never be reported without accompanying explanation, analysis, and contextualization that helps explain why this data is important. Therefore, reporting progress toward results should involve not only relaying performance data, but also communicating performance data within the broader context of overall performance to inform stakeholders of the quality and value of USAID's strategic approach, projects and activities.  Table 17 provides an overview of some of the different venues and formats, both internally and externally, in which USAID might communicate and/or report performance data.

**Table 17: Examples of Performance Communication and/or Reporting**

| Communication Focus | Performance Information Reporting Modality |
|---|---|
| Internal | Portfolio Reviews, where performance data is typically reviewed, analyzed, and reported by the DO team, and presented to Senior Management for discussion |
| | Evaluations and other special studies, where analysis about performance is presented as findings, conclusions, and recommendations |
| | Through site visit reports, which include potential actions in response to observations about performance |
| | Data Quality Assessments, which analyze performance data before reporting to Washington |
| | Learning opportunities, where performance data could be presented, including recommendations for action and analysis |
| | Through FrontLines and other USAID newsletters |
| | On ProgramNet, where performance and management issues are shared and discussed with other USAID staff |
| | Presidential Initiative reporting, which is shared with Regional and Pillar Bureaus |
| External | Portfolio Reviews with stakeholders, where performance data is reviewed and analyzed through consultations, and then used to prepare the Program Office and DO teams for internal Portfolio Reviews |
| | Evaluations and other special studies, where analysis about performance is presented as findings and recommendations |
| | Through the PPRs to the Department of State and in the Congressional Budget Justification |
| | Through the Development Experience Clearinghouse, which makes USAID's reports available to the public |
| | Ad hoc requests for performance reporting and data from other USG agencies (for example, related to the MDGs, Initiatives, earmarks, etc.). |
| | Performance reports that are shared with the Host Government, other donors, and other development actors |
| | On Learning Lab and other USAID and external websites |

## TIMING AND PREPARATION FOR PERFORMANCE REPORTING

To ensure that the Mission is sufficiently prepared and responsive to performance reporting deadlines, some helpful practices include making sure that necessary data reporting requirements are included in acquisition and assistance instruments, and making sure that partner reporting schedules provide information at the appropriate times for Agency and USG reporting (for example, following the USG fiscal calendar).

For example, many implementing mechanisms are required to use the activity/IM award date to calculate when their annual reports are due. If the activity/IM anniversary falls in the middle two quarters of the USG Fiscal Year (January – July), then the implementing partner may have to undertake additional data collection efforts to respond to the Mission's performance data call. Working to align partner's performance reporting schedules with USAID's reporting schedule will facilitate data analysis and reporting and minimize the reporting burden on USAID's partners. Note that when the implementer is a U.S. non-governmental organization recipient of a grant or cooperative agreement, the AOR must consult with the Agreement Officer to determine the parameters of performance reporting.

> **Helpful Hint**
>
> Some data collection methodologies, such as certain surveys and polls, but also complex indicators such as indexes and milestone scales, require time both to collect the data as well as to clean, analyze, and finally make the data available to decision-makers. ADS guidance states that these data must be reported in the fiscal year when the findings were first available, not the date of the data collection effort. For example, if a survey takes place in March 2013, and the report with findings is available in December 2013, the data must be reported in the first quarter of FY 2014.

Internally, the Mission should also consider coordinating Portfolio Reviews to be timed at intervals that are useful for informing performance reporting.

## PERFORMANCE PLAN AND REPORT

Perhaps the most significant annual external reporting requirement is the annual Performance Plan and Report (PPR). Table 18 highlights the linkages between the information captured in the Mission's PMP and that reported in the PPR. See the *Model PPR Preparation Task List for Field Missions* (Annex 24), developed based on Mission experiences, for tips on getting ready for the PPR.

### Table 18: How the PMP Links to the PPR

| Performance Plan and Report Element | Mission-Wide PMP Information |
|---|---|
| An Operational Unit (OU) Preference Summary | Various, depending on most recent PPR Guidance |
| Program Area Narratives | Various, depending on most recent PPR Guidance |
| Program Element Narratives | Various, depending on most recent PPR Guidance |
| Key Issue Narratives | Portfolio Review information, evaluation findings, site visit reports, findings from other performance data reviews and analysis efforts, reviews of implementing partner reports |
| Indicator Results and Targets for the following three years | Data Tracker Tables /Performance Monitoring Information System, PIRS |
| Data Quality Assessment summaries | Data Quality Assessment reports, PIRS element on Data Quality |
| Narrative for indicators for which the actual result level is 10 percent or more different from the target | Data Tracker Tables/Performance Monitoring Information System |
| Performance Plan and Evaluation Registry (an annex to the PPR in FACTS Info) | PMP Evaluation Plan information – inventory of evaluations conducted during the previous year, and planned evaluations and estimated budgets for the coming fiscal year plus two out years |

## ADDITIONAL REPORTING REQUIREMENTS

There may be additional reporting requirements for some USAID Missions and Washington Operating Units related to, for example, Presidential Initiatives, USAID strategies, other earmarks and Congressional reporting requirements, and potentially other Foreign Assistance requirements. For example, beginning in FY 2013, all Missions were required to submit their PEPFAR Country Operational Plan/Regional Operational Plan (COP/ROP) indicator data into the FACTS Info – PEPFAR Module. Missions should consult with their respective regional and technical bureau counterparts, the weekly Foreign Assistance Bulletin, and Agency Notices to stay apprised of new reporting requirements.

## DEVELOPMENT EXPERIENCE CLEARINGHOUSE

Transparency is an important USAID operating principle. The Development Experience Clearinghouse (DEC) is an Agency-wide, web-based platform for the submission, storage, and sharing of documents. Documents posted to the DEC are made publically availably unless they are processed as "Sensitive but Unclassified."

To support broader Agency learning process and public transparency, Missions should submit the following types of documents to the DEC:

- <u>All</u> evaluation reports (except in rare circumstances, if a waiver is sought and approved);

- Assessments and special studies;

- Contractor/grantee technical reports, publications, and final reports;

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

- USAID Mission Close Out ("graduation") reports.

Since the DEC is a public resource, Missions should make sure that information and reports posted to the DEC are appropriate for public consumption (e.g. do not contain Personally Identifiable Information or Sensitive but Unclassified information) and have gone through appropriate clearance channels.

## SUMMARY

By now you should have an understanding of:

- Opportunities and requirements for reporting internally and externally

- Preparing for performance reporting

- Sharing and communicating performance data and findings

### REFERENCES
ADS 201
ADS 203

# NAME OF MISSION

## PERFORMANCE MANAGEMENT PLAN

# NAME OF MISSION

## PERFORMANCE MANAGEMENT PLAN

**Status:**           **[Insert draft or final]**

**Date of Publication:**      **[Insert date]**

# INTRODUCTION/OVERVIEW *[OPTIONAL]*

*Insert narrative that describes the purpose of this document and its components, as well as, if desired, how the document was developed, a summary of how the mission organizes its performance management system, and any overarching principles of performance management to which the Mission adheres.*

# RESULTS FRAMEWORK *[OPTIONAL BUT RECOMMENDED]*

*Insert graphic of the full R/CDCS Results Framework, including assumptions/risks, links to other USAID or donor projects, etc.*

# INDICATOR SUMMARY *[OPTIONAL]*

*Missions may find it useful to include summary tables or graphics of the full set or a core set of performance and context indicators*

# PMP CHANGE TRACKER TABLE *[OPTIONAL]*

*As noted in Part 2 Module 1, documentation of changes is recommended to help provide an audit trail, help staff complete required data fields in the Performance Plan and Report, facilitate on-boarding new staff and partners, and support future planning and performance management tasks. Missions may wish to use a Change Tracker Table to document PMP changes in a single table, in addition to individual Performance Indicator Reference Sheets, to facilitate tracking and learning.*

| Item | Source Document/Date and/or Version | Description as Listed Previously | Status | Revision and date | Comments |
|---|---|---|---|---|---|
|  |  |  |  |  |  |
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# INDICATOR REFERENCE SHEETS

| USAID Performance Indicator Reference Sheet |
|---|
| **Name of Result Measured (Goal, DO, IR, sub-IR, Project Purpose, Project Output, etc.):** |
| **Name of Indicator:** |
| **Is this a Performance Plan and Report indicator?** No _____  Yes _____, for Reporting Year(s) _____ <br> **If yes, link to foreign assistance framework:** |
| **DESCRIPTION** |
| **Precise Definition(s):** |
| **Unit of Measure:** |
| **Disaggregated by:** |
| **Rationale or Justification for indicator:** |
| **PLAN FOR DATA COLLECTION BY USAID** |
| **Data Source:** |
| **Method of data collection and construction:** |
| **Reporting Frequency:** |
| **Individual(s) responsible at USAID:** |
| **DATA QUALITY ISSUES** |
| **Dates of Previous Data Quality Assessments  and name of reviewer:** |
| **Date of Future Data Quality Assessments:** |
| **Known Data Limitations:** |
| **TARGETS AND BASELINE** |
| **Baseline timeframe:** |
| **Rationale for Targets:** |
| **CHANGES TO INDICATOR** |
| **Changes to indicator:** |
| **Other Notes:** |
| **THIS SHEET LAST UPDATED ON:** |

## USAID Context Indicator Reference Sheet *(Optional)*

| |
|---|
| **Name of Relevant Result(s) (Goal, DO, IR, sub-IR, Project Purpose, Project Output, etc.):** |
| **Name of Context Indicator:** |
| **Indicate whether this is a Condition, Critical Assumption, or Risk Indicator, or whether it is outside the Mission's manageable interest:** |

| DESCRIPTION |
|---|
| **Precise Definition(s):** |
| **Unit of Measure:** |
| **Disaggregated by:** |
| **Rationale or Justification for the context indicator** *(how it will be used by the Mission)***:** |

| PLAN FOR DATA COLLECTION BY USAID |
|---|
| **Data Source:** |
| **Method of data collection:** |
| **Method of Analysis:** |
| **Reporting Frequency:** |
| **Individual(s) responsible at USAID:** |

| BASELINE |
|---|
| **Baseline trend** *(optional):* |
| **Trigger** *(optional)***:** |

| CHANGES TO CONTEXT INDICATOR |
|---|
| **Changes to indicator:** |
| **Other Notes** *(optional):* |
| THIS SHEET LAST UPDATED ON: |

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# PERFORMANCE INDICATOR TRACKING TABLE: BASELINE, TARGETS, AND ACTUAL RESULTS (Note: should not be in Word document form, but rather in Excel or a performance monitoring information system)

| | INDICATOR | BASELINE DATE | BASELINE ACTUAL | FY 2012 TARGET RATIONALE | FY 2012 TARGET | FY 2012 ACTUAL | FY 2013 TARGET RATIONALE | FY 2013 TARGET | FY 2013 ACTUAL |
|---|---|---|---|---|---|---|---|---|---|
| 1.1.1 | NUMBER OF PUBLIC POLICIES INTRODUCED, ADOPTED, REPEALED, CHANGED OR IMPLEMENTED CONSISTENT WITH CITIZEN INPUT | 2012 | 0 | MECHANISMS FOR CITIZEN INPUT NEED DEVELOPMENT | 1 | 1 | MECHANISMS FOR CITIZEN INPUT IMPROVED | 5 | 4 |
| | DIMENSION OF NGO SUSTAINABILITY INDEX: ADVOCACY | 2011 | 4.3 | TREND ANALYSIS OF LAST 5 YEARS | 4.2 | 4.2 | PROJECT GAINS MOMENTUM | 4.0 | 4.2 |
| 1.1.2 | DIMENSION OF NGO SUSTAINABILITY INDEX: LEGAL ENVIRONMENT | 2011 | 3.3 | EXPERT JUDGMENT | 3.3 | 3.5 | PROJECT GAINS MOMENTUM | 3.0 | 3.5 |
| | NUMBER OF LAWS AND REGULATIONS ADOPTED/AMENDED TO IMPROVE CSO ENABLING ENVIRONMENT | 2012 | 0 | POLITICAL ENVIRONMENT RESTRICTIVE; NO CURRENT BILLS UNDERWAY | 1 | 1 | IMPROVED ADVOCACY PRACTICE BY CSOS | 3 | 3 |
| 1.1.3 | NUMBER OF LAWS AND REGULATIONS ADOPTED/AMENDED TO IMPROVE MEDIA ENVIRONMENT | 03/2013 | 4 | PROJECT WILL SUPPORT ADOPTION OF 4 LAWS IN PROCESS + 2 NEW ONES | 6 | 6 | PROJECT SUPPORTS 6 LAWS | 6 | 3 |

# PERFORMANCE MANAGEMENT TASKS AND RESPONSIBILITIES SCHEDULE (ILLUSTRATIVE)

| Performance Monitoring Task Schedule | Project/Activity | Responsible | FY 2013 | | | | FY 2014 | | | | Notes |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | |
| Data collection and analysis - DO Level | | | | | | | | | | | |
| | | | | | | | | | | | |
| Data collection and analysis - IR Level | | | | | | | | | | | |
| | | | | | | | | | | | |
| Data collection and analysis - Activity Level | | | | | | | | | | | |
| | | | | | | | | | | | |
| Evaluation design and implementation | | | | | | | | | | | |
| | | | | | | | | | | | |
| Review Partner Performance Information | | | | | | | | | | | |
| | | | | | | | | | | | |
| Report Performance Results | | | | | | | | | | | |
| | | | | | | | | | | | |
| Data Quality Assessment | | | | | | | | | | | |
| | | | | | | | | | | | |
| Review & Update PMP | | | | | | | | | | | |

# PMP EVALUATION PLAN (ILLUSTRATIVE)

| Evaluation | FY13 | | | | FY14 | | | | FY15 | | | | FY16 | | | | FY17 | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| Health Performance Evaluation | | | | | | | | | | | | | | | | | | | | |
| Economic Growth Performance Evaluation | | | | | | | | | | | | | | | | | | | | |
| Education Performance Evaluation | | | | | | | | | | | | | | | | | | | | |
| Local Governance Impact Evaluation | | | | | | | | | | | | | | | | | | | | |
| Agriculture Performance Evaluation | | | | | | | | | | | | | | | | | | | | |

**Key**

| Color | Description |
|---|---|
| (yellow) | 1. Design and SOW Start |
| (orange) | 2. Final SOW |
| (red) | 3. Awarded by |
| (purple) | 4. Field Work |
| (blue) | 5. Final Report Completed |

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# PMP EVALUATION PLAN (CONTINUED)

| Evaluation Title/Questions | POCs | Project/ activity/ program to Be Evaluated | P/A/P Start/ End Dates | Required (and reason required) or Optional | Evaluation Type (performance or impact), and Projected Use | Internal or external | Estimated Evaluation budget | Evaluation Start/ End Dates |
|---|---|---|---|---|---|---|---|---|
| *Example* | | | | | | | | |
| Family Planning Project evaluation 1. To what extent did the MFP project increase capacity of local family planning centers? 2. Did use of modern family planning methods increase in target areas? | Speedy Analyst | Increased use of modern family planning methods Project | Jan. 2011/ Dec. 2013 | Required – large project | Performance; to decide whether to exercise option years or re-compete | External | $180,000 | Dec. 2012/ Dec. 2013 |

## Notes on Evaluation Plan Summary Fields

In all cases, if the information for a particular field is not yet known, enter TBD, but update field as relevant decisions are made.

| Evaluation Title/Questions | Include the planned Evaluation title and any key questions that have been identified thus far. These questions may come from the R/R/CDCS, a Project Design Document, or other evaluation planning if such planning is already underway. Only include the 1-5 key questions, not detailed sub-questions. |
|---|---|
| POC | Enter the point of contact(s) for the evaluation with responsibility for ensuring the evaluation is completed as planned. Ideally this will include one point of contact in the program office and one point of contact in the technical office. |
| Project/ activity/ program to Be Evaluated | Evaluations may be focus on individual activities, projects, programs (an entire DO, for instance), or even cross-cutting issues. Enter here what is to be evaluated. If multiple projects, activities, or programs are to be included in the evaluation, include the name of each one that will be included. |
| P/A/P Start/ End Dates | Include the start and end dates of the projects, activities, and programs that are to be evaluated. If multiple projects, activities, and programs are included in the evaluation, include all start and end dates. |
| Required (and reason required) or Optional | Evaluations may be required because a project has been determined to be a **large project** or because it is a **pilot or innovative project**. 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. An **pilot or innovative project** is one that includes any activity within the |

| | 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. If an evaluation is required, note here whether it is because of the large project requirement or the innovative intervention requirement. If the evaluation is not required, but a commitment has been made to do the evaluation, than note here that it is an optional evaluation. |
|---|---|
| Evaluation Type (performance or impact), and Projected Use | Note here what type of evaluation is planned. There are two types of evaluations. **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. **Performance evaluations** often incorporate before-after comparisons, but generally lack a rigorously defined counterfactual. Performance evaluations focus on descriptive and normative questions, such as, 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. |
| Internal or external | Note here whether the evaluation is external or internal (and the type of internal evaluation). An **external** evaluation is one in which (at minimum) the lead evaluator is an independent expert outside of USAID, with no fiduciary relationship with the implementing partner. In most cases these will be managed by the program office. USAID Mission/Office management may make exceptions under unusual circumstances to management by the program office, but the exception should be documented in an addendum to this evaluation plan and included in the PMP. An **internal** evaluation is one that does not meet the standards of external evaluation. These are generally of two types. An *implementer internal evaluation* is an one that is led by an individual with a fiduciary relationship to the implementing partner, such as an evaluation led by implementer staff or under a sub-contract of the implementer. A *USAID internal evaluation* is one that is led by USAID staff. |
| Estimated Evaluation budget | Enter the estimated budget for the evaluation. |
| Evaluation Start/ End Dates | Enter the estimated start date for the evaluation (i.e., when the evaluation will be awarded) and the estimated end date of the evaluation. Note that numerous steps must take place prior to the estimated start date, such as development of the Statement of Work. |

# DATA QUALITY ASSESSMENT PROCEDURES

*Insert narrative reviewing data issues (such as the availability of local data, potential limitations in conducting surveys, capacity for analysis by local organizations, potential survey fatigue among the population) - optional*

*Insert narrative describing: 1) common Mission formats for DQAs, 2) a common location for approved DQAs, and 3) Mission-specific procedures and best practices for conducting DQAs. Procedures documented in the Mission Order on Performance Monitoring regarding DQAs should also be referenced in this section of the PMP.*

# COLLABORATION, LEARNING, AND ADAPTING (CLA) PLAN *[OPTIONAL]*

## Learning and the Program Cycle

This Plan supports and enhances overall efforts throughout the Program Cycle and goals for Performance Management. It reinforces the learning plans outlined in the M,E & L section of the CDCS and supports the Mission's Learning/CLA Plan and/or the Learning Approaches in the Mission's PADs (*if relevant*). This plan outlines how USAID will:

- **Collaborate.** Coordinate activities to increase synergy and reduce duplication of effort. Work with others where it makes sense.
- **Learn**. Draw on a wide range of knowledge sources and perspectives. Test our development hypotheses. Share learning about what works and what doesn't. Use development methodologies that catalyze learning for our beneficiaries.
- **Adapt.** Based on our learning, make iterative course corrections while we implement to improve overall effectiveness.

## Objectives for Learning/CLA

*Insert narrative describing what the Mission hopes to achieve by strengthening its approach to learning.*

## Activities and Approaches for Learning

*Insert narrative that outlines how and where learning can be strengthened. Missions may approach this in several ways. For example, the narrative may be organized around activities related to:*

- *Collaboration*
- *Learning*
- *Adapting*

*Or, around key entry points:*

- *Planning strategies and projects*
- *Drafting implementing mechanisms*
- *Institutionalizing management processes*

*See the text box for the types of activities and approaches that may be included in this section. For more information, see Module 2.11 of the PMP Toolkit, the [Program Cycle Learning Guide](#) on the Learning Lab, and the [Learning and Adapting](#) resources on ProgramNet.*

## Roles and Responsibilities

*Insert narrative on the Mission's approach to implementing this plan and who will be responsible for which activities. In many Missions, primary responsibility for CLA rests with the Program Office, and some Missions have hired a Learning Advisor to oversee and manage learning activities. Development Objective teams, project teams, COR/AORs, and support offices have major roles to play in facilitating and supporting CLA in projects and activities, and Mission leadership is also important in supporting processes and a culture that is conducive to learning. Given that a key aspect of CLA is its integrated nature, strategic learning efforts should involve all mission staff, partners and other stakeholders. To ensure consistency, learning activities should also be included in the PMP task schedule.*

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**CLA Activities and Approaches**

These are some of the activities and approaches that Missions may include in their Learning Plans:

- Developing learning agendas or research questions around critical knowledge gaps at the DO, project and/or technical level
- Planning for evaluation utilization and dissemination
- Identifying "game changers," processes for tracking their evolution and plans for responding to them
- Planning for "big picture reflection" sessions—periodic, facilitated discussions with local stakeholders that cover development hypotheses, changes in context, or other issues
- Implementing systems to gather, analyze and use performance monitoring information and other key data sets
- Coordinating site visits among technical or development objective teams to encourage collaboration
- Facilitating implementing partners to coordinate efforts, share learning with each other and other stakeholders through partner meetings, communities of practice, funded learning networks, etc.
- Testing development hypotheses through evaluations or other means
- Instituting stocktaking and reflection opportunities to consider new learning, shifting priorities, and necessary adaptations

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## Indicators of Success

*Insert narrative to describe how the Mission will know if its learning approaches have been successful. Depending on the Mission's objectives for learning, they may want to track indicators around learning and collaboration processes or to use [complexity-aware monitoring approaches](#), or a combination of both.*

# BUDGET [OPTIONAL]

## Mission Performance Management Budget Tool
### USAID/XXXX

| Result Statement | FY1 | FY2 | FY3 | FY4 | FY5 | Total | Percent |
|---|---|---|---|---|---|---|---|
| **Goal** | | | | | Total Program Funds | | $ 100,000,000 |
| Indicator G1: _____ | $5,000 | $5,400 | $5,000 | $6,000 | $6,000 | $27,400 | 0.0% |
| Indicator G2: _____ | 400 | 400 | 400 | 400 | 400 | 2,000 | 0.0% |
| Indicator G3: _____ | 200 | 200 | 200 | 200 | 200 | 1,000 | 0.0% |
| External Evals. Not covered by DOs | 0 | 200,000 | 200,000 | 200,000 | 250,000 | 850,000 | 0.9% |
| M&E staff salaries | 130,000 | 136,000 | 140,000 | 146,000 | 152,000 | 704,000 | 0.7% |
| Technical Assistance | 20,000 | 20,000 | 20,000 | 20,000 | 20,000 | 100,000 | 1.1% |
| Training | 20,000 | 20,000 | 20,000 | 20,000 | 20,000 | 100,000 | 0.1% |
| Infrastructure and Equipment | 20,000 | 20,000 | 20,000 | 20,000 | 20,000 | 100,000 | 0.1% |
| Support Services Contract | 1,500,000 | 1,500,000 | 1,500,000 | 1,500,000 | 1,500,000 | 7,500,000 | 7.5% |
| Other | 0 | 20,000 | 0 | 20,000 | 20,000 | 60,000 | 0.1% |
| **Total** | **$1,690,600** | **$1,916,600** | **$1,900,600** | **$1,926,600** | **$1,982,600** | **$9,417,000** | **9.4%** |
| **DO Y** | | | | | Total Program Funds | | $ 50,000,000 |
| Indicator DO1: _____ | $500,000 | $0 | $500,000 | $0 | $600,000 | $1,600,000 | 3.2% |
| Indicator DO2: _____ | 0 | 0 | 0 | 0 | 0 | | |
| Indicator DO3: _____ | 0 | 210,000 | 250,000 | 250,000 | 200,000 | 910,000 | 1.8% |
| Project-level Indicators | 0 | 0 | 0 | 0 | 0 | | |
| External Evals. Not covered by PO | 400,000 | 210,000 | 0 | 450,000 | 500,000 | 1,560,000 | 3.1% |
| M&E staff salaries | 130,000 | 136,000 | 140,000 | 146,000 | 152,000 | 704,000 | 1.4% |
| Technical Assistance | 0 | 0 | 0 | 0 | 20,000 | 20,000 | 0.0% |
| Training | 40,000 | 0 | 0 | 0 | 0 | 40,000 | 0.1% |
| Infrastructure and Equipment | 10,000 | 0 | 0 | 0 | 0 | 10,000 | 0.0% |
| Support Services Contract | 0 | 0 | 0 | 0 | 0 | | |
| Other: _____ | 0 | 0 | 0 | 0 | 0 | | |
| **Total DO Y** | **$1,080,000** | **$556,000** | **$890,000** | **$846,000** | **$1,472,000** | **$4,844,000** | **9.7%** |
| **DO X** | | | | | Total Program Funds | | $ 20,500,000 |
| Indicator DO1: _____ | $10,000 | $5,400 | $5,000 | $5,000 | $10,000 | $35,400 | 0.2% |
| Indicator DO2: _____ | 0 | 0 | 0 | 0 | 0 | | |
| Indicator DO3: _____ | 0 | 0 | 0 | 0 | 0 | | |
| Project-level Indicators | 0 | 0 | 0 | 0 | 0 | | |
| External Evals. Not covered by POs | 0 | 0 | 300,000 | 0 | 350,000 | 650,000 | 3.2% |
| M&E staff salaries | 65,000 | 68,000 | 70,000 | 73,000 | 80,000 | 356,000 | 1.7% |
| Technical Assistance | 0 | 0 | 0 | 0 | 0 | | |
| Training | 0 | 0 | 0 | 0 | 0 | | |
| Infrastructure and Equipment | 0 | 0 | 0 | 0 | 0 | | |
| Support Services Contract | 0 | 0 | 0 | 0 | 0 | | |
| Other: ___Data quality assessments_____ | 10,000 | 10,000 | 10,000 | 10,000 | 10,000 | 50,000 | 0.2% |
| **Total DO X** | **$85,000** | **$83,400** | **$385,000** | **$88,000** | **$450,000** | **$1,091,400** | **5.3%** |
| | | | | | | | |
| **Total Evaluations** | **$400,000** | **$410,000** | **$500,000** | **$650,000** | **$1,100,000** | **$3,060,000** | **1.8%** |
| **Grand Total of all M&E** | **$2,855,600** | **$2,556,000** | **$3,175,600** | **$2,860,600** | **$3,904,600** | **$15,352,400** | **9.0%** |
| | | | | | | | |
| **Percent Evaluations to Total M&E** | **14.0%** | **16.0%** | **15.7%** | **22.7%** | **28.2%** | **19.9%** | |

# Annex 2: PMP Roles & Responsibilities Worksheet
**Part 1 Module 2**

*Note: Illustrative Performance Monitoring Roles & Responsibilities (ADS 203.3.2.1). See, also, your Mission's Performance Monitoring Mission Order.*

| | **Program Office** | **Technical Office** | **Comments** |
|---|---|---|---|
| **Performance Monitoring Procedures** | • *Identify monitoring point of contact responsible for managing the performance monitoring and evaluation processes at the mission* | • *Stay up to date on performance monitoring requirements and assist with specific performance monitoring and evaluation processes* | |
| **Performance Management Plan** | • *Lead the overall PMP process and serve as a resource for Mission requirements and approval process*<br>• *Responsible for collecting R/CDCS Goal level indicators*<br>• *Assist technical staff with completing Performance Indicator Reference Sheets* | • *Develop indicators at DO, IR and sub-IR levels*<br>• *Develop DO evaluation plan*<br>• *Finalize relevant sections of the PMP*<br>• *Ensure completion of Performance Indicator Reference Sheets* | |
| **Project M&E Plans** | • *Ensure project M&E plans meet requirements, are consistent with R/CDCS, and are reflected in 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 and Agreement Officers' Representatives (CORs/AORs) to review or comment on activity level M&E plans* | • *Approve activity M&E plans submitted by partners*<br>• *Ensure activity level plans are consistent with and feed into the project M&E plan*<br>• *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*<br>• *May ensure collection of certain contextual or high-level indicator data* | • *Responsible for ensuring data is collected and reliable*<br>• *May collect data directly or from implementers or other sources*<br>• *Works with implementers to resolve any problems with data collection* | |
| **Maintaining Performance Information** | • *Plans, develops and maintains mission wide performance information systems.* | • *Shares data with the program office or contributes data to performance information systems on regular basis.* | |

**Part I Module 2**

| No. | Task | Primary Responsibility - PMP Development Core Team Member | Secondary Responsibility - PMP Development Core/ Extended Team Member(s) | Estimated Level of Effort - Actual | Estimated Level of Effort - Calendar | [Month #1 - Insert month, year] | | | | | | | | [Month #2 - Insert month, year] | | | | Key Deadline/ Note 1 | Key Deadline/ Note 2 | Current Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | Week 1 | Week 2 | Week 3 | Week 4 | | | | | Week 1 | Week 2 | Week 3 | Week 4 | | | |
| | [Concise title] | [List one core team member] | [Name one core or extended team member for the Goal and per DO] | [Specify unit - days, hours] | [Specify unit - days, hours] | | | | | | | | | | | | | | | (Status as of: [insert MM/DD/Y YYY]) |
| | | | | | | | | | | | | | | | | | | | | |
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## R/CDCS to Initial PMP Crosswalk - Blank Form

| R/CDCS Element | Name | Indicator/Measure | Revised Indicator/Measures | Responsibility | Comments |
|---|---|---|---|---|---|
| **R/CDCS Goal** | | | | | |
| | | | | | |
| | | | | | |
| **Development Objective (DO)** | | | | | |
| | | | | | |
| **Intermediate Results (IR)** | | | | | |
| | | | | | |
| **Intermediate Results (IR)** | | | | | |
| | | | | | |
| **Intermediate Results (IR)** | | | | | |
| | | | | | |

| Assumption | | | | | | | |
|---|---|---|---|---|---|---|---|
| Assumption | | | | | | | |
| Risk | | | | | | | |
| Risk | | | | | | | |
| High-level Evaluation Questions | | | | | | | |
| High-level Evaluation Questions | | | | | | | |
| High-level Evaluation Questions | | | | | | | |
| Impact Evaluation Opportunities | | | | | | | |

Annex 5: PMP Change Tracker Table
**Part 2 Module 1**

**PMP Change Tracker Table Template**

| Item | Source Document/Date and/or Version | Description as Listed Previously | Status (Revise, Add, Drop) | Revision and Date | Comments |
|---|---|---|---|---|---|
| | | | | | |
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**Example PMP Change Tracker Table**

| Item | Source Document/Date and/or Version | Description as Listed Previously | Status (*Revise, Add, Drop*) | Revision and date | Comments |
|---|---|---|---|---|---|
| Sub-IR (and Project Purpose) | Approved R/CDCS, dated 12/5/2012 | "Civil Society Organizations capacity to provide constituent services improved" | Revise | "Civil Society Organizations capacity to provide constituent services in targeted rural areas improved" (approved by Project Manager and DO Team Leader on 3/12/2013 (PMPOC informed)) | During Project Design the team realized that the program could not be focused across the country to include all civil society organizations nationally. Instead, the priority is to provide services to rural communities in targeted areas, where government capacity to deliver services is too low. While the scope has changed, the meaning of the result has not changed. This change does not require Washington approval, because it is at the sub-IR level (see *Mission Order on Strategy*). The change also has the full agreement of the Ministry of Local Development. |
| | | | | | |
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### PMP Indicator Selection Working Meeting Tool

This tool introduces "Sticky Note" brainstorming as a best practice for developing performance and context indicators for your PMP, project M&E Plan, or even activity M&E Plan.

| STICKY NOTE BRAINSTORMING:  PMP INDICATOR SELECTION | |
|---|---|
| **Goal** | To identify and build consensus around a "best" set of performance and context indicators to measure results in the R/CDCS and/or Project LogFrame. |
| **Materials** | White boards or flip-charts, packages of sticky notes, pens, markers |
| **Participants** | Initially the PMP team, including the DO team staff, Program Office (at a minimum the Mission's PMPOC), and other technical staff appropriate to the DO.  Later participants can include local stakeholders, members of the inter-agency, and other Mission staff. |
| **Considerations** | This "Sticky Note" approach works well in smaller groups where a degree of trust has already been established. |

First, designate a facilitator from the PMP Team or the DO/Project Team.

**Step 1:**  Write a single results statement on flip chart paper (landscape is better for long results statements), and hang it on a wall.

**Step 2:**  Review the results statement with the participants, making sure that everyone understands the result statement as it is written.  Note that if there are serious problems with a result in the R/CDCS Result Framework or Project LogFrame, consult the *Mission Order on Strategy* for considerations on making changes.  If participants generally feel comfortable with the results statements, or if there are only minor issues with the language of the results/purpose statement, move on to the next step.[1]

**Step 3:**  Once there is agreement on the meaning of the results statement, each participant is given a pad of post-it notes and a pen.

**Step 4:**  Give each participant about five minutes at the beginning to produce their own ideas on potential indicators. They write these ideas down on the post-its, one idea per post-it note.  Note that it is not necessary to make participants start from scratch.  The facilitator can also provide them with a list of indicators appropriate for their sector drawn from a variety of existing indicator sources (of course, participants are still welcome to brainstorm original ideas).

**Step 5:**  The facilitator then asks the participants to group their indicator ideas together on a blank wall or table top. As they are grouping the "like" indicators together, the grouping can change and evolve as the indicators are discussed.

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[1] If the proposed change does not significantly change the meaning of the results statement, then this change might be possible to make with the proper approval of the DO Team Leader, the Program Office, and potentially the Mission Front Office.  If the proposed change does significantly change the meaning of the results statement, then additional review and clearance may be required. See your *Mission Order on Strategy*.

**Step 6**:  For each grouping of "similar" indicators, the participants should collectively select the best of the similar indicators.  For those unique indicators that do not fit into any groupings – or into small groupings of 2-3 – the participants should review these as well and decide whether any are good enough to keep.

**Step 7**:  The facilitator then instructs the participants to decide on the best indicators from each of the indicator groups and post them up under the result statement written on the flip chart. Participants should collectively discuss reasons why they think particular indicators are or are not good measures of the selected results statement.  The facilitator should ensure that diverse perspectives are heard and that the conversation is not dominated by a few voices.

**Step 8**:  Working as a group, the facilitator helps the group narrow down and select the top 1-3 indicators to measure the result.  The general rule of thumb is that the group should select the minimum number of indicators needed to effectively measure the results statements, but not more than three.

Repeat for each result statement.

**Optional: Newspaper headlines exercise**
Ask the group to individually write down at least 2 headlines that they would expect to read in the local papers if the results statement was achieved at the end of the R/CDCS or project timeframe.  Then group the headlines together on the wall as each one is read aloud.  As a group, pick the best headline.  Then develop indicators to "prove" that the headline was real.

**Next Steps**
After indicators are selected, then the individual or team responsible for that indicator (see the *Mission Order on Performance Monitoring*) work together to complete the Performance Indicator Reference Sheet (PIRS) or optional Context Indicator Reference Sheets (CIRS) for that indicator.

Note that before finalizing the selected indicators, the PMP/DO/Project Team may want to use a similar methodology with different stakeholders to confirm from other vantage points that the selected indicators are a good measure of the result.  Rather than start from scratch, a good approach can be to have stakeholders review the indicators that the team has already selected and then brainstorm any indicators that they believe might be a better measure of the selected result.

# Annex 7: PMP Indicator Criteria Worksheet

**Part 2 Module 2**

## Identifying High-Quality Performance Indicators

Performance indicators should be identified and defined carefully as they represent an important investment of resources. Each result should be measured by the fewest number of indicators needed to fully measure the result. If a particular indicator is determined to be weak, options include to: 1) revise the indicator to improve its quality, 2) decide that this indicator represents the best currently available despite limitations and note data quality issues in the PIRS, or 3) identify a new indicator. Consider the following criteria when designing indicators.

| | | Comments |
|---|---|---|
| **Validity** | | |
| There is a direct relationship between the result and what is being measured. (If a proxy is needed, please explain). | | |
| The scope of the indicator is appropriate to the scope of the result. | | |
| The indicator reflects the right level in the Results Framework or Project LogFrame (not higher or lower). | | |
| **Reliability** | | |
| The mission can ensure consistent data collection from year to year, location to location, data source to data source. | | |
| The mission can ensure the periodic review of data collection, storage, analysis & reporting of the indicator. | | |
| **Timeliness** | | |
| Data will be available in the timeframe necessary to inform program management decisions. | | |
| **Precision** | | |
| The margin of error is less than the expected change being measured.* | | |
| The margin of error is acceptable given the likely management decisions to be affected. | | |
| **Integrity** | | |
| The indicator is conducive to objective and independent data collection, management and analysis. | | |
| **Practical & Useful** | | |
| The data will be useful for management decision-making. | | |
| The data are worth the resource costs to USAID managers. | | |
| **Disaggregation** | | |
| The indicator can be appropriately disaggregated by sex, age, location, or other relevant dimensions important for programming (gender ADS 203.3.4.3). Please list. | | |

*Rule of thumb:  sample size of 400 = 5 percent margin of error; sample size of 1500 = 2.6 percent margin of error*

Annex 8: Overview of Select Data Collection Methods
**Part 2 Module 3**

| Method | Description | Strengths | Weaknesses | Example Data |
|---|---|---|---|---|
| **Surveys** | Surveys can take a number of forms and can vary in level of rigor, formality, and focus. Though often considered to be a quantitative technique, surveys may include open-ended questions that can yield useful qualitative data as well. Surveys can be self-administered or collected externally; and can measure perceptions, satisfaction, knowledge, and actions. | Surveys can collect standardized data from large sample sizes relatively quickly and inexpensively, and can provide statistically reliable data on large groups. | After the survey is written, the researcher is not able to adjust the content of the survey to each respondent, limiting the depth of the data collected. | Percentage of respondents reporting a particular behavior or opinion; average self-reported expenditures in a given time period |
| **Key Informant Interviews** | Key Informant Interviews (KII) are conducted with an individual who has particular knowledge of the sector, program or population of interest. They can vary with respect to level of formality, and can include open-ended and closed-ended questions. | KIIs allow the interviewer to interact with the respondent and "dig deep" into an issue, probing based on the respondent's answers. Their content can be easily modified as researchers learn more about the subject and informants. | KIIs typically take more time per person, and their flexibility means that the data collected is less standardized across respondents than with quantitative surveys. | Support for a particular policy; awareness of the role that gender norms plays in the respondent's life; reasons for stakeholder satisfaction with program |
| **Direct Observation** | Direct observations can be structured or semi-structured and consist of systematic observation within its natural setting. Observation can be of physical | Direct observations allow the researcher to capture data about what is actually happening, avoiding the | Direct observations can be expensive if extensive travel is required; important data can be missed or | Percentage of teachers implementing instructional techniques they have been trained on; the amount of time |

| | Description | Strengths | Weaknesses | Example |
|---|---|---|---|---|
| | surroundings, activities, behaviors, or processes and often incorporate the use of checklists, photos, GPS mapping, time stamping, recording, and document collection. | bias of going through another person. | misinterpreted without knowledge of local context; there is a risk of bias in data collected, due to logistical limitations or the Hawthorne effect. | a person spends engaged in a particular activity during the course of a day |
| **Focus Group Interviews** | Focus Group Interviews (FGI) are small-group, facilitated sessions with a group of participants who have something in common. Primary interaction is predominantly among participants. FGIs are used to record attitudes, beliefs, opinions, reactions, or perceptions. | FGIs collect views of a larger group of people in a shorter time than individual interviews, and allow participants to interact and respond to each other, producing information useful for researchers. | Individual perspectives can be lost or influenced by peer pressure; more coordination is necessary to convene a group; FGIs cannot be used to reliably represent views of a larger population. | Percentage of groups who rank a particular factor as most important for them; understanding of the risk factors for a certain disease; strengths and limitations of service delivery in view of clients/beneficiaries |
| **Expert Panels** | Expert panels are small-group, facilitated discussions and analysis with a group of experts on the subject. Primary interaction is between participants who deliberate on conditions or characteristics and may score certain facets of the issue being discussed. | Expert panels provide a wealth of expert knowledge quickly, while also allowing for interaction among participants. | Views are limited to a small group of individuals, often representing the elite; expert panels can be difficult to plan given the participants' schedules; panel members often require compensation | Percentage of experts indicating a particular score according to a given scale (for example: 4 or higher out of 5, where 1 represents not at all free, and 5 represents the freest) |
| **Community Interviews** | Community interviews are conducted on a specific topic but are open to a broader group of community members than FGIs. Interaction is primarily between the participants and the interviewer, who usually follows a structured interview guide. | Community interviews capture a larger number of views in a shorter period of time than individual interviews and can be arranged quickly in a community setting in | Respondents are vulnerable to peer pressure; community interviews do not allow for much interaction among respondents; interviewees may join | Most urgent challenge for youth in the community as reported by young people interviewed |

| | | | | response to availability of relevant individuals. | late in the interview or depart early. |
|---|---|---|---|---|---|
| **Organizational Capacity Assessments** | Organizational Capacity Assessments can be participatory or external in nature, and can rate organizations or institutions on a variety of criteria, often including the presence of financial systems, management procedures, human resources, and sustainability. | Organizational Capacity Assessments provide a standardized snapshot of an organization's capacity in a short time. | Organizational Capacity Assessments are limited by how much information the organization provides and the accuracy of this information. | Average overall self-reported score for organizational sustainability, based on a rubric with scores ranging from 1 to 5. | |
| **Document Review** | Document review involves reviewing data that has already been generated; such as project records, training materials, legislation, attendance sheets, correspondence, and data bases. | Document review often can be done remotely on a variety of topics, and is typically low in cost, although the cost can vary according to subject matter. | Document reviews are limited to what information is available either publicly or through other stakeholders; there is no ability to follow up with additional questions, and they may require cross-checks to control for biases of reviewers. | Percentage increase in Gross Domestic Product; maternal mortality rates; number of related laws passed since the launch of the intervention | |
| **Participatory Rural Appraisal** | Participatory Rural Appraisals can include a number of different methods designed to engage community members and build ownership. They can often be used in areas with low literacy and vary depending on context. Techniques might include the construction of visual materials such as seasonal calendars, timelines, and community maps; or ranking exercises. | Participatory Rural Appraisals can be used with populations from whom it is otherwise difficult to collect information. | Participatory Rural Appraisals are limited in the kinds of information that can be collected. | Percentage of community groups who identify maize as their most important food crop | |

| | | | | |
|---|---|---|---|---|
| **Most Significant Change** | Most Significant Change is a participatory technique based on the collection of stories about important or significant changes participants believe to be a result of the intervention(s). Panels or community voting may determine which change is viewed as the most representative or most significant. | Most Significant Change prioritizes the views and values of participants, while still reaching a tangible conclusion. | Results can be difficult to standardize across populations and can be vulnerable to biases of the facilitator. | Percentage of groups who identify decreased prevalence of domestic violence as the most significant change resulting from the intervention |
| **Mobile/Technology Solutions** | This category includes uses of technology to collect data, supported by experts to develop or modify software and systems and the focused training of enumerators. This can include use of mobile phones (crowd mapping), smart phones (surveys), GIS systems, satellite imagery, web-based applications, and other functionalities. | Mobile/Technology Solutions can collect data from a large number of otherwise hard-to-reach people quickly, accurately, and inexpensively. | Mobile/Technology Solutions often require a certain amount of expertise, investment, and training, depending on the particular technology. | Visual representation of geographic locations of project investments, with level of investment for each geo-name |

Annex 9: Data Collection Capacity Assessment Tool -Local Data Collection Organizations

**Part 2 Module 3**

| Element | Sub-element | Instructions | Findings | Thresholds | Decision |
|---|---|---|---|---|---|
| **Professional Research Staff** | Number of research staff | Ask how many professional research staff are full time salaried employees; then ask how many total full time salaried employees | Number of Research Staff = _____ (a)<br><br>Number of Total Staff = _____ (b)<br><br>Percent of Research Staff (a ÷ b) = _____ (c) | If (c) is less than 25 percent, this may be an issue | |
| | Number of female research staff | Ask how many female professional research staff are full time salaried employees | Number of Female Research Staff = _____ (d)<br><br>Percent of Female Research Staff (d ÷ a) = _____ (e) | If (e) is less than 25 percent, this may be an issue | |
| | Number of research staff with relevant advanced degrees | Ask how many research staff have advanced degrees, by type of relevant degree | Number with Masters or above in: Statistics = _____ (f); Survey methods = _____ (g); Evaluation methods = _____ (h); Other = _____ (i)<br><br>Percent of Research staff with relevant advanced degrees ((f+g+h+i) ÷a) = _____ (j) | If (j) is less than 25 percent, this may be an issue | |
| | Type of experience of research staff | Ask where the research staff got their professional experience | Government = _____<br>Nonprofit = _____<br>Higher Ed = _____<br>Private Sector = _____<br>None = _____ | The greater the spread of institutional experience, the better | |

| Organization | | | | |
|---|---|---|---|---|
| | Years of experience of research staff | Ask how many years of direct research experience the salaried employees have | Get names of institutions: No. ≥ 25 years = ___ (k); No. 15 - 24 years = ___ (l); No. 10 – 14 years = ___ (m); No. 5 – 10 years = ___; No. ≤ 5 years = ___ | If (o) is less than 25 percent, this may be an issue |
| | | | Add (k) + (l) + (m) = ___ (n); percent of experienced staff (n ÷ a) = ___ (o) | |
| | | | Get References: | |
| | Total number of research staff available | Ask how many research staff are available for an assignment at this time | No. fulltime research staff = ___; No. other research staff = ___; No. Independent Consultants = ___ | Ability to augment staff with others is key |
| | Years of experience of staff using statistical software | Ask how many years of direct experience with statistical software the salaried employees have; Ask them which ones? (SPSS, Stata, SAS, Other) | No. ≥ 25 years = ___ (k); No. 15 - 24 years = ___ (l); No. 10 – 14 years = ___ (m); No. 5 – 10 years = ___; No. ≤ 5 years = ___ | If (o) is less than 25 percent, this may be an issue |
| | | | Add (k) + (l) + (m) = ___ (n); percent of experienced staff (n ÷ a) = ___ (o) | |
| | | | Get references: | |
| | Number of enumerators used in the past | Ask what is their experience with managing enumerators | No. of enumerators on average = ___; Maximum no. of enumerators they've worked with in the past = ___ | Ability to field and manage enumerators is key |
| | Professionalism of organization | Ask if the organization follows a code of professional standards (or is a member of an international association) | Professional Standard Code: ___ (Y/N); When adopted = ___ (date). Member of Professional International Association: ___ (Y/N); When joined = ___ Year; Name = ___ | Commitment to professional standards indicates a degree of maturity |

| | | | | The capacity of the organization to use alternative methods to collect data could be key to helping USAID, particularly with remote data collection |
|---|---|---|---|---|
| | Use and availability of technology to collect data | Ask if the organization has available and has used hand held devices | Telephone polls: Staff = ____ (Y/N); Org = ____ (Y/N) | |
| | | | Internet survey: Staff = ____ (Y/N): Org = ____ (Y/N) | |
| | | | Smart Phones/Tablets: Staff = ____ (Y/N): Org = ____ (Y/N) | |
| | | | Text Messages: Staff = ____ (Y/N): Org = ____ (Y/N) | |
| | | | GPS Device: Staff = ____ (Y/N): Org = ____ (Y/N) | |
| | | | Other: Staff = ____ (Y/N): Org = ____ (Y/N) Name: ____ | |
| | Intellectual property | Ask for a list of publications, website, etc. | List/Name: | Publications and website indicates that the org is connected to the larger world of M&E, research, etc. |
| **Sector(s)** | Sector focus, based on your Mission portfolio | Ask whether this focus includes both staff expertize and data collection experience | Staff experience = ____ | If (p) is less than 1, or less than 1 per year, this may be an issue |
| | | | Number of data collection efforts (e.g., survey) = ____ (p) | |
| **Theme(s)** | Demonstrated experience with youth, gender, LGBT, other marginalized groups | Ask how the org. has collected data for this theme | Answers can include: oversampling, use of similar enumerators, socially sensitive data collection methodologies, remote data collection, proxy indicators, Etc. | If this is difficult to answer, this may be an issue |

| | | | | |
|---|---|---|---|---|
| **Funding Sources** | **Domestic** | Government | Ask how many years, and how many assignments per year | Total number of years of experience = _____ Average number of assignments/contracts per year = _____ | Stronger capacity if both domestic and international experiences |
| | | Non-profits | Ask how many years, and how many assignments per year | Total number of years of experience = _____ Average number of assignments/contracts per year = _____ | Stronger capacity if both domestic and international experiences |
| | | Higher Education | Ask how many years, and how many assignments per year | Total number of years of experience = _____ Average number of assignments/contracts per year = _____ | Stronger capacity if both domestic and international experiences |
| | | Private Sector | Ask how many years, and how many assignments per year | Total number of years of experience = _____ Average number of assignments/contracts per year = _____ | Stronger capacity if both domestic and international experiences |
| | **International** | Donors | Ask how many years, and how many assignments per year | Total number of years of experience = _____ Average number of assignments/contracts per year = _____ | Stronger capacity if both domestic and international experiences |
| | | Other international | Ask how many years, and how many assignments per year | Total number of years of experience = _____ Average number of assignments/contracts per year = _____ | Stronger capacity if both domestic and international experiences |
| **Analytical Capacity** | | Statistical software | Ask whether they have corporate and staff experience with: | SPSS: Staff = _____ (Y/N); Org = _____ (Y/N)<br>SAS: Staff = _____ (Y/N); Org = _____ (Y/N)<br>Stata: Staff = _____ (Y/N); Org = _____ (Y/N) | If the organization has both staff and organization experience, this |

| | Data Collection Methods | | |
|---|---|---|---|
| | | Other: Staff = ____ (Y/N); Org = ____ (Y/N); Name = | demonstrates stronger capacity |
| Coding | Ask what type of experience they have with coding data | Answers can include: Open - ____ (Y/N); Axial = ____ (Y/N); Selective = ____ (Y/N); Developed Code Book? ____ (Y/N); Exhaustive = ____ (Y/N); Mutually Exclusive = ____ (Y/N); Residual Other = ____ (Y/N); Missing data = ____ (Y/N); Heaping data = ____ (Y/N) | If the organization has problems answering, then this may be an indicator of a weakness |
| Data processing | Ask (1) whether they have experience with this; and (2) what procedures and systems they have in place to build capacity | Data entry (1) ____ (Y/N); (2)<br>Cleaning (1) ____ (Y/N); (2)<br>Editing (1) ____ (Y/N); (2)<br>Other = ____ (1) ____ (Y/N); (2) | Answers should include: training, etc. |
| Quality Assurance & Quality Control | Ask how they ensure QA/QC? | Description of quality assurance system to make sure requirements will be fulfilled:<br>Description of the quality control process of meeting products and services to consumer expectations: | If unable to answer, then this could be a major issue |
| Survey/Poll | Ask whether this focus includes both staff experience and data collection experience | Staff experience = ____<br>Number of data collection efforts (e.g., survey) = ____ (q) | If (q) is less than 1, or less than 1 per year, this may be an issue |
| Focus Groups | Ask whether this focus includes both staff experience and data collection experience | Staff experience = ____<br>Number of data collection efforts (e.g., survey) = ____ (r) | If (r) is less than 1, or less than 1 per year, this may be an issue |
| Key Informant Interviews | | Staff experience = ____ | |

| | | | |
|---|---|---|---|
| | Ask whether this focus includes both staff experience and data collection experience | Number of data collection efforts (e.g., survey) = _____ (s) | If (s) is less than 1, or less than 1 per year, this may be an issue |
| Scorecards | Ask whether this focus includes both staff experience and data collection experience | Staff experience = _____ Number of data collection efforts (e.g., survey) = _____ (t) | If (t) is less than 1, or less than 1 per year, this may be an issue |
| Participatory Rural Appraisals | Ask whether this focus includes both staff experience and data collection experience | Staff experience = _____ Number of data collection efforts (e.g., survey) = _____ (u) | If (u) is less than 1, or less than 1 per year, this may be an issue |
| Observational study | Ask whether this focus includes both staff experience and data collection experience | Staff experience = _____ Number of data collection efforts (e.g., survey) = _____ (v) | If (v) is less than 1, or less than 1 per year, this may be an issue |
| Rich Text Analysis | Ask whether this focus includes both staff experience and data collection experience | Staff experience = _____ Number of data collection efforts (e.g., survey) = _____ (w) | If (w) is less than 1, or less than 1 per year, this may be an issue |
| Other | Ask whether this focus includes both staff experience and data collection experience | Staff experience = _____ Number of data collection efforts (e.g., survey) = _____ (x) | If (x) is less than 1, or less than 1 per year, this may be an issue |
| **Referrals** — Recent (within last 2 years) | Ask for name and contact information | Ask referrals about experience, including whether their capacity has been stretched due to too much work | The more successful the organization, the increased possibility that they are too stretched |
| Recent (within last 2 years) | Ask for name and contact information | Ask referrals about experience, including whether their capacity has been stretched due to too much work | |

| | Ask for name and contact information | Ask referrals about experience, including whether their capacity has been stretched due to too much work | |
|---|---|---|---|
| Recent (within last 2 years) | Ask for name and contact information | Ask referrals about experience, including whether their capacity has been stretched due to too much work | |
| Largest effort in organization's history | Ask for name and contact information | Ask referrals about experience, including whether their capacity has been stretched due to too much work | |

# Annex 10: Critical Assumptions/Risks Planning Tool
**Part 2 Module 4**

| Result | Critical Assumption | Risk | Context Indicator (if applicable) | Monitored By | Risk Mitigation Plan (if applicable) |
|---|---|---|---|---|---|
| **DO 1, IR 1 (Specific to IR)** | | | | | |
| **DO 1, IR 2 (Specific to IR)** | | | | | |
| **DO 1, IR 3 (Specific to IR)** | | | | | |

| Result | Critical Assumption | Risk | Monitored By | Mitigation Plan |
|---|---|---|---|---|
| **DO 1 (Cuts across all IRs)** | Government leadership (including the President, actively supports functional and structural reform of the ministry and state institutions, but particularly in the Office of the President | Many reforms will fail, especially those that involve staffing or restructuring, without significant leadership support and follow through | News articles, meetings with IPs, IP monthly reports on status of the reforms | Establish meeting between USG, the Activity and IP to initiate work; USAID to meet with ministry leadership on an ongoing basis to provide political support; sign MOU to provide stronger level of commitment; USAID remains overtly supportive of the activity's support for ministry initiatives |
| | The Project has access to ministry leadership, including the President | Reforms stalled waiting for Ministerial approval | Meetings with IPs, IP monthly reports on status of the reforms | Identify empowered senior leaders such as Undersecretaries to work with on a daily basis |
| | Party leadership remains stable such that reforms, and attitude toward USAID reform activities, remain positive | Reforms blocked or slowed by newer leadership with different priorities or political agendas | Perception survey conducted annually | Maintain positive relationship with the rank and file of ministries. If needed, work with new leadership, with USG support, to facilitate understanding of the activity and USAID's work with the ministry to achieve its own articulated visions and strategies |

| **USAID Performance Indicator Reference Sheet** |
|---|
| **Name of Result Measured (Goal, DO, IR, sub-IR, Project Purpose, Project Output, etc.):** |
| **Name of Indicator:** |
| **Is this a Performance Plan and Report indicator?**  No _____   Yes _____, for Reporting Year(s) _____<br>**If yes, link to foreign assistance framework:** |
| **DESCRIPTION** |
| **Precise Definition(s):** |
| **Unit of Measure:** |
| **Disaggregated by:** |
| **Rationale or Justification for indicator:** |
| **PLAN FOR DATA COLLECTION BY USAID** |
| **Data Source:** |
| **Method of data collection and construction:** |
| **Reporting Frequency:** |
| **Individual(s) responsible at USAID:** |
| **DATA QUALITY ISSUES** |
| **Dates of Previous Data Quality Assessments  and name of reviewer:** |
| **Date of Future Data Quality Assessments:** |
| **Known Data Limitations:** |
| **TARGETS AND BASELINE** |
| **Baseline timeframe:** |
| **Rationale for Targets:** |
| **CHANGES TO INDICATOR** |
| **Changes to indicator:** |
| **Other Notes:** |
| **THIS SHEET LAST UPDATED ON:** |

| **Instructions for Completing the Performance Indicator Reference Sheet** |
|---|
| **Name of Result Measured:** Enter the full name and number (e.g., IR 2.1) of the relevant result. |
| **Name of Indicator:** Enter the full title of the indicator. If this is a foreign assistance standard indicator, include the indicator number. |
| **Is this a PPR indicator?** Enter yes or no, and clarify which reporting years(s). |
| **If yes, link to foreign assistance framework:** Enter the relevant program area, element, sub-element of the standardized program structure from the Director of Foreign Assistance. |
| **DESCRIPTION** |
| **Precise Definition(s):** Define the specific words or elements used in the indicator. |
| **Unit of Measure:** Enter the unit of measure (*number of…*, *percent of…*, or *US dollars*). Clarify the minimum or maximum values if needed (*minimum score is 1.0 and maximum score is 5.0*). Clarify if the number is cumulative or specific to the year. Clarify numerator and denominator if applicable. |
| **Disaggregated by:** List any planned ways of disaggregating the data (*male/female, youth/adult, urban/rural, region, etc.*) and justify why useful. |
| **Rationale or Justification for indicator:** Briefly describe *why* this particular indicator was selected to measure the intended result and *how* it will be useful for managing performance. |
| **PLAN FOR DATA COLLECTION BY USAID** |
| **Data Source:** Identify the source of data (e.g., DHS survey; ministry data; partner records) |
| **Method of data collection and construction:** Describe the tools and methods for collecting the raw data. Examples include: ledger of patient names, document review, structured interviews, focus group interviews, written survey, direct observation, self-reported information, and so on. If the indicator is constructed, such as an index or an expert panel assessment, describe the procedure for construction. Who collects the raw data and where is it stored before it gets to USAID? |
| **Reporting Frequency:** Describe *how often* data will be received by USAID and *when*. |
| **Individual(s) responsible at USAID:** Identify the specific staff member *directly responsible* for acquiring the data. |
| **DATA QUALITY ISSUES** |
| **Date of Past Data Quality Assessments and reviewer:** Enter the date of previous data quality assessments and the responsible party. |
| **Date of Future Data Quality Assessments:** Enter the planned date for subsequent data quality assessments. |
| **Known Data Limitations:** Enter any major data limitations from summary section of DQA checklist. |
| **TARGETS AND BASELINE** |
| **Baseline timeframe:** State the timeframe (quarter, year, etc.) that will serve as the baseline value for this indicator. If baselines have not been set, identify *when* and *how* this will be done. While this information is optional for the PIRS, data tracking tables must identify a baseline timeframe and value. See ADS 203.3.9 for more information on baselines. |
| **Rationale for Targets:** Explain the basis on which targets are set (e.g., identify specific trends to make reasonable projections based on anticipated level of effort and resources). While this information is optional for the PIRS, data tracking tables must include rationales for targets along with target values. See ADS 203.3.9 for more information on targets. |
| **CHANGES TO INDICATOR** |
| **Changes to Indicator:** Document here any changes to indicator, such as a change in the how the data is collected, not changes in the indicator data. Specify (1) the date of the change (2) the change that was made, and (3) the reason for the change. |
| **Other notes:** Use this space as needed. |
| **THIS SHEET LAST UPDATED ON:** mm/dd/yy<br>To avoid version control problems, type the date of most recent revision or update to this reference sheet. |

# Annex 14: USAID Context Indicator Reference Sheet (CIRS)
**Part 2 Module 5**

| USAID Context Indicator Reference Sheet |
|---|
| **Name of Relevant Result(s) (Goal, DO, IR, sub-IR, Project Purpose, Project Output, etc.):** |
| **Name of Context Indicator:** |
| **Indicate whether this is a Condition, Critical Assumption, or Risk Indicator:** |
| **DESCRIPTION** |
| **Precise Definition(s):** |
| **Unit of Measure:** |
| **Disaggregated by:** |
| **Rationale or Justification for the context indicator** *(how it will be used by the Mission)*: |
| **PLAN FOR DATA COLLECTION BY USAID** |
| **Data Source:** |
| **Method of data collection:** |
| **Method of Analysis:** |
| **Reporting Frequency:** |
| **Individual(s) responsible at USAID:** |
| **BASELINE** |
| **Baseline trend** *(optional)*: |
| **Trigger** *(optional)*: |
| **CHANGES TO CONTEXT INDICATOR** |
| **Changes to indicator:** |
| **Other Notes** *(optional)*: |
| **THIS SHEET LAST UPDATED ON:** |

| Instructions for Completing the Context Indicator Reference Sheet |
|---|
| **Name of Relevant Result(s) (Goal, DO, IR, sub-IR, Project Purpose, Project Output, etc.):** Enter the full name and number (e.g., IR 2.1) of the relevant result. |
| **Name of Context Indicator:** Enter the full title of the context indicator. |
| **Indicate whether this is a Condition, Critical Assumption, or Risk Indicator:** Enter the relevant type of context indicator. |
| **DESCRIPTION** |
| **Precise Definition(s):** Define the specific words or elements used in the indicator. Remember to define any terms that may be ambiguous. For example how do you define Civil Liberties? |
| **Unit of Measure:** Enter the unit of measure (*number of…*, *percent of…*, *score …*, or *US dollars*) or whether it is binary (Yes/No the event happens, the threshold is reached, etc.). Clarify the minimum or maximum values if needed (*minimum score is 1.0 and maximum score is 5.0*). Clarify if the number is cumulative or specific to the year. Clarify numerator and denominator if applicable. |
| **Disaggregated by:** List any planned ways of disaggregating the data (*male/female, youth/adult, urban/rural, region, etc.*) and justify why useful. |
| **Rationale or Justification for the context indicator** *(how it will be used by the Mission)*: Briefly describe *why* this particular indicator was selected help analyze results, determine progress, augment performance indicators, or trigger management decisions |
| **PLAN FOR DATA COLLECTION BY USAID** |
| **Data Source:** Identify the source of data (e.g., Multilateral donor, newspaper headlines, disaster warning systems, websites). |
| **Method of data collection:** Describe the tools and methods for collecting the raw data. Examples include: Downloading a report from a secondary source, Host Government Ministry quarterly reports, calling data source to request document, etc. Who collects the raw data and where is it stored before it gets to USAID? |
| **Method of Analysis:** Explain how this indicator data will be used to assess progress, or determine next steps, or triangulate other performance data, or other method. For example, regional export trends from the World Bank could be compared to specific commodity trade data to assess overall performance. |
| **Reporting Frequency:** Describe *how often* data will be collected by USAID and *when*. |
| **Individual(s) responsible at USAID:** Identify the specific staff member *directly responsible* for acquiring the data. |
| **BASELINE** |
| **Baseline trend** *(optional)*: Describe what the historic trend has been, or the expectations of what will happen. Because this is not a performance indicator, targets should not be set. However, baseline information can help in the analysis and decision-making process for the mission. |
| **Trigger** *(optional)*: **Targets are not needed for Context indicators. However, this field is used to n**ote if there are any values for the indicator or thresholds which, if crossed, would cause concern and thus trigger re-examination of project or Development Hypothesis. |
| **CHANGES TO CONTEXT INDICATOR** |
| **Changes to indicator:** Document here any changes to indicator, such as a change in the how the data is collected, not changes in the indicator data. Specify (1) the date of the change (2) the change that was made, and (3) the reason for the change. |
| **Other Notes** *(optional)*: Use this space as needed. |
| **THIS SHEET LAST UPDATED ON:** mm/dd/yy |
| To avoid version control problems, type the date of most recent revision or update to this reference sheet. |

**Part 2 Module 6**

## Data Quality Assessment Checklist and Recommended Procedures

This Data Quality Assessment (DQA) Checklist is provided as a recommended tool that an operating unit (OU) may use to complete its DQAs. If the OU prefers or has successfully used a different tool for conducting and documenting its DQAs in the past, they are free to continue the use of that tool instead. The checklist below is intended to assist in assessing each of the five aspects of data quality and provide a convenient manner in which to document the OU's DQA findings.

| |
|---|
| USAID Mission or Operating Unit Name: |
| Title of Performance Indicator: <br> *[Indicator should be copied directly from the Performance Indicator Reference Sheet]* |
| Linkage to Foreign Assistance Standardized Program Structure, if applicable (i.e. Program Area, Element, etc.): |
| Result This Indicator Measures *[For USAID only]* (i.e., Specify the Development Objective, Intermediate Result, or Project Purpose, etc.): |
| Data Source(s): <br> *[Information can be copied directly from the Performance Indicator Reference Sheet]* |
| Partner or Contractor Who Provided the Data: <br> *[It is recommended that this checklist is completed for each partner that contributes data to an indicator– it should state in the contract or grant that it is the prime's responsibility to ensure the data quality of sub-contractors or sub grantees.]* |
| Period for Which the Data Are Being Reported: |
| Is This Indicator a Standard or Custom Indicator?     _____ Standard Foreign Assistance Indicator    _____ Custom (created by the OU; not standard) |
| Data Quality Assessment methodology: <br> *[Describe here or attach to this checklist the methods and procedures for assessing the quality of the indicator data. E.g. Reviewing data collection procedures and documentation, interviewing those responsible for data analysis, checking a sample of the data for errors, etc.]* |
| Date(s) of Assessment: |
| Assessment Team Members: |
| *USAID Mission/OU Verification of DQA* <br> Team Leader Officer approval <br><br> X_____ |

| | | YES | NO | COMMENTS |
|---|---|---|---|---|
| **VALIDITY – Data should clearly and adequately represent the intended result.** | | | | |
| 1 | Does the information collected measure what it is supposed to measure? (E.g. A valid measure of overall nutrition is healthy variation in diet; Age is not a valid measure of overall health.) | | | |
| 2 | Do results collected fall within a plausible range? | | | |
| 3 | Is there reasonable assurance that the data collection methods being used do not produce systematically biased data (e.g. consistently over- or under-counting)? | | | |
| 4 | Are sound research methods being used to collect the data? | | | |
| **RELIABILITY – Data should reflect stable and consistent data collection processes and analysis methods over time.** | | | | |
| 1 | When the same data collection method is used to measure/observe the same thing multiple times, is the same result produced each time? (E.g. A ruler used over and over always indicates the same length for an inch.) | | | |
| 2 | Are data collection and analysis methods documented in writing and being used to ensure the same procedures are followed each time? | | | |
| **TIMELINESS – Data should be available at a useful frequency, should be current, and should be timely enough to influence management decision-making.** | | | | |
| 1 | Are data available frequently enough to inform program management decisions? | | | |
| 2 | Are the data reported the most current practically available? | | | |
| 3 | Are the data reported as soon as possible after collection? | | | |
| **PRECISION – Data have a sufficient level of detail to permit management decision-making; e.g. the margin of error is less than the anticipated change.** | | | | |
| 1 | Is the margin of error less than the expected change being measured? (E.g. If a change of only 2 percent is expected and the margin of error in a survey used to collect the data is +/- 5 percent, then the tool is not precise enough to detect the change.) | | | |

| 2 | Has the margin of error been reported along with the data? (Only applicable to results obtained through statistical samples.) | | | |
|---|---|---|---|---|
| 3 | Is the data collection method/tool being used to collect the data fine-tuned or exact enough to register the expected change? (E.g. A yardstick may not be a precise enough tool to measure a change of a few millimeters.) | | | |
| **INTEGRITY – Data collected should have safeguards to minimize the risk of transcription error or data manipulation.** | | | | |
| 1 | Are procedures or safeguards in place to minimize data transcription errors? | | | |
| 3 | Is there independence in key data collection, management, and assessment procedures? | | | |
| 3 | Are mechanisms in place to prevent unauthorized changes to the data? | | | |

| **SUMMARY** |
|---|
| Based on the assessment relative to the five standards, what is the overall conclusion regarding the quality of the data? |
| Significance of limitations (if any): |
| Actions needed to address limitations prior to the next DQA (given level of USG control over data): |

| **IF NO DATA ARE AVAILABLE FOR THE INDICATOR** | **COMMENTS** |
|---|---|
| If no recent relevant data are available for this indicator, why not? | |
| What concrete actions are now being taken to collect and report these data as soon as possible? | |
| When will data be reported? | |

**Recommendations for Conducting Data Quality Assessments**

1. Data Quality (DQ) assessor should make sure that they understand the precise definition of the indicator by checking the Performance Indicator Reference Sheet. Please address any issues of ambiguity before the DQA is conducted.

2. DQ assessor should have a copy of the methodology for data collection in hand before assessing the indicator. For USAID Missions, this information should be in the PMP's Performance Indicator Reference Sheets for each indicator. Each indicator should have a written description of how the data being assessed are supposed to be collected.

3. Each implementing partner should have a copy of the method of data collection in their files and documented evidence that they are collecting the data according to the methodology.

4. DQ assessor should record the names and titles of all individuals involved in the assessment.

5. Does the implementing partner have documented evidence that they have verified the data that has been reported? Partners should be able to provided USAID with documents (process/person conducting the verification/field visit dates/persons met/activities visited, etc) which demonstrates that they have verified the data that was reported. Note: Verification by the partners should be an ongoing process.

6. The DQ assessor should be able to review the implementing partner files/records against the methodology for data collection laid out in the PMP (for USAID Missions only). Any data quality concerns should be documented.

7. The DQ should include a summary of significant limitations found. A plan of action, including timelines and responsibilities, for addressing the limitations should be made.

## Performance Monitoring Task Schedule

| Project/Activity | Responsible | FY 2013 | | | | FY 2014 | | | | Notes |
|---|---|---|---|---|---|---|---|---|---|---|
| | | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | |
| **Data collection and analysis - DO Level** | | | | | | | | | | |
| | | | | | | | | | | |
| **Data collection and analysis - IR Level** | | | | | | | | | | |
| | | | | | | | | | | |
| **Data collection and analysis - Activity Level** | | | | | | | | | | |
| | | | | | | | | | | |
| **Evaluation design and implementation** | | | | | | | | | | |
| | | | | | | | | | | |
| **Review Partner Performance Information** | | | | | | | | | | |
| | | | | | | | | | | |
| **Report Performance Results** | | | | | | | | | | |
| | | | | | | | | | | |
| **Data Quality Assessment** | | | | | | | | | | |
| | | | | | | | | | | |
| **Review & Update PMP** | | | | | | | | | | |
| | | | | | | | | | | |

# Annex 18: Evaluation Plan Summary and Schedule Template
## Part 2 Module 9

*Example Template*
**Evaluation Plan Schedule**

## Multi-Year Evaluation Plan for a PMP

| Evaluation | FY13 | | | | FY14 | | | | FY15 | | | | FY16 | | | | FY17 | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| Health Performance Evaluation | | | | | | | | | | | | | | | | | | | | |
| Economic Growth Performance Evaluation | | | | | | | | | | | | | | | | | | | | |
| Education Performance Evaluation | | | | | | | | | | | | | | | | | | | | |
| Local Governance Impact Evaluation | | | | | | | | | | | | | | | | | | | | |
| Agriculture Performance Evaluation | | | | | | | | | | | | | | | | | | | | |

## Key

| | |
|---|---|
| 1. Design and SOW Start | |
| 2. Final SOW | |
| 3. Awarded by | |
| 4. Field Work | |
| 5. Final Report Completed | |

**Evaluation Plan Summary**

| Evaluation Title/Questions | POCs | Project/ activity/ program to be Evaluated | P/A/P Start/ End Dates | Required (and reason required) or Optional | Evaluation Type (performance or impact), and Projected Use | Internal or external | Estimated Evaluation budget | Evaluation Start/ End Dates |
|---|---|---|---|---|---|---|---|---|
| *Example* | | | | | | | | |
| Family Planning Project evaluation<br>1. To what extent did the MFP project increase capacity of local family planning centers?<br>2. Did use of modern family planning methods increase in target areas? | Speedy Analyst | Increased use of modern family planning methods Project | Jan. 2011/ Dec. 2013 | Required – large project | Performance; to decide whether to exercise option years or re-compete | External | $180,000 | Dec. 2012/ Dec. 2013 |

## Notes on Evaluation Plan Summary Fields

In all cases, if the information for a particular field is not yet known, enter TBD, but update field as relevant decisions are made.

| | |
|---|---|
| Evaluation Title/Questions | Include the planned Evaluation title and any key questions that have been identified thus far. These questions may come from the R/CDCS, a Project Design Document, or other evaluation planning if such planning is already underway. Only include the 1-5 key questions, not detailed sub-questions. |
| POC | Enter the point of contact(s) for the evaluation with responsibility for ensuring the evaluation is completed as planned. Ideally this will include one point of contact in the program office and one point of contact in the technical office. |
| Project/ activity/ program to Be Evaluated | Evaluations may focus on individual activities, projects, programs (an entire DO, for instance), or even cross-cutting issues. Enter here what is to be evaluated. If multiple projects, activities, or programs are to be included in the evaluation, include the name of each one that will be included. |
| P/A/P Start/ End Dates | Include the start and end dates of the projects, activities, and programs that are to be evaluated. If multiple projects, activities, and programs are included in the evaluation, include all start and end dates. |
| Required (and reason required) or Optional | Evaluations may be required because a project has been determined to be a **large project** or because it is a **pilot or innovative project**. 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. A **pilot or innovative project** is one that includes any activity within the 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. If an evaluation is required, note here whether it is because of the large project requirement or the innovative intervention requirement. If the evaluation is not required, but a commitment has been made to do the evaluation, than note here that it is an optional evaluation. |
| Evaluation Type (performance or impact), and Projected Use | Note here what type of evaluation is planned. There are two types of evaluations. **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. **Performance evaluations** often incorporate before-after comparisons, but generally lack a rigorously defined counterfactual. Performance evaluations focus on descriptive and normative questions, such as, 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. |
| Internal or external | Note here whether the evaluation is external or internal (and the type of internal evaluation). An **external** evaluation is one in which (at minimum) the lead evaluator is an independent expert outside of USAID, with no fiduciary relationship with the implementing partner. In most cases these will be managed by the program office. USAID Mission/Office management may make exceptions under unusual circumstances to management by the Program Office, but the exception should be documented in an addendum to this evaluation plan and included in the PMP. An **internal** evaluation is one that does not meet the standards of an external evaluation. These are generally of two types. An *implementer internal evaluation* is led by an individual with a fiduciary relationship to the implementing partner, such as an evaluation led by implementer staff or under a sub-contract of the implementer. A *USAID internal evaluation* is one that is led by USAID staff. |
| Estimated Evaluation budget | Enter the estimated budget for the evaluation. |
| Evaluation Start/ End Dates | Enter the estimated start date for the evaluation (i.e., when the evaluation will be awarded) and the estimated end date of the evaluation. Note that numerous steps must take place prior to the estimated start date, such as development of the Statement of Work. |

# Annex 19: Which Evaluations are Required?
**Part 2 Module 9**

Evaluations are required for large and pilot projects[2] of each Development Objective. There is no single required way to calculate "large" projects, but this chart may be a useful place to start:

**Calculating Large Projects**

| | Total Program Budget for R/CDCS period | | # Projects for | | Large projects = > this # | List Large Projects |
|---|---|---|---|---|---|---|
| DO 1 | | ÷ | | = | | |
| DO 2 | | ÷ | | = | | |
| DO 3 | | ÷ | | = | | |

The guidance recommends that "OUs should calculate the average project size <u>at the Development Objective level</u>". Following the R/CDCS, the mission should have a sense of how activities and projects align to each of the DOs, or if they don't align to DOs and are being phased out. Once you know how the projects align to each DO and you have an estimate of how much each project will cost, then you should be able to calculate large projects.

    a. **Question: What about projects funded before the new R/CDCS that will continue, but do not "fit" under the new R/CDCS? Should they be evaluated?**
        i. Example: Georgia has a number of ongoing projects that were funded by a one-time $1 billion dollar pool of supplemental funds for reconstruction prior to the R/CDCS. They do not "fit" under the new R/CDCS.
        ii. Answer: On-going projects that don't fit under the new DOs do not need to be evaluated under the new R/CDCS.

    b. **Question: Evaluate projects or mechanisms?**
        iii. Answer: If 3 mechanisms comprise a single project (less than one project) and that project is a "large project" within its DO, then you are required to do one evaluation of that project. Such an evaluation may address the project as a whole, just one of the mechanisms, or even a component of one of the mechanisms.

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[2] A set of planned and then executed interventions identified through a design process, which are together intended to achieve a defined development result, generally by solving an associated problem or challenge. The term project does not refer only or primarily to an implementing mechanism, such as a contract or grant. (USAID Evaluation Policy, p. 4)

Annex 20: Screenshot of AIDtracker
**Part 2 Module 10**

## Mission Performance Management Budget Tool

USAID/XXXX

| Result Statement | FY1 | FY2 | FY3 | FY4 | FY5 | Total | Percent |
|---|---|---|---|---|---|---|---|
| **Goal** | | | | **Total Program Funds** | | | **$100,000,000** |
| Indicator G1: _____ | $5,000 | $5,400 | $5,000 | $6,000 | $6,000 | $27,400 | 0.0% |
| Indicator G2: _____ | 400 | 400 | 400 | 400 | 400 | 2,000 | 0.0% |
| Indicator G3: _____ | 200 | 200 | 200 | 200 | 200 | 1,000 | 0.0% |
| External Evaluations Not covered by DOs | 0 | 200,000 | 200,000 | 200,000 | 250,000 | 850,000 | 0.9% |
| M&E staff salaries | 130,000 | 136,000 | 140,000 | 146,000 | 152,000 | 704,000 | 0.7% |
| Technical Assistance | 20,000 | 20,000 | 20,000 | 20,000 | 20,000 | 100,000 | 1.1% |
| Training | 20,000 | 20,000 | 20,000 | 20,000 | 20,000 | 100,000 | 0.1% |
| Infrastructure and Equipment | 20,000 | 20,000 | 20,000 | 20,000 | 20,000 | 100,000 | 0.1% |
| Support Services Contract | 1,500,000 | 1,500,000 | 1,500,000 | 1,500,000 | 1,500,000 | 7,500,000 | 7.5% |
| Other | 0 | 20,000 | 0 | 20,000 | 20,000 | 60,000 | 0.1% |
| **Total** | **$1,690,600** | **$1,916,600** | **$1,900,600** | **$1,926,600** | **$1,982,600** | **$9,417,000** | **9.4%** |
| **DO Y** | | | | **Total Program Funds** | | | **$50,000,000** |
| Indicator DO1: _____ | $500,000 | $0 | $500,000 | $0 | $600,000 | $1,600,000 | 3.2% |
| Indicator DO2: _____ | 0 | 0 | 0 | 0 | 0 | | |
| Indicator DO3: _____ | 0 | 210,000 | 250,000 | 250,000 | 200,000 | 910,000 | 1.8% |
| Project level Indicators | 0 | 0 | 0 | 0 | 0 | | |
| External Evaluations Not covered by PO | 400,000 | 210,000 | 0 | 450,000 | 500,000 | 1,560,000 | 3.1% |
| M&E staff salaries | 130,000 | 136,000 | 140,000 | 146,000 | 152,000 | 704,000 | 1.4% |
| Technical Assistance | 0 | 0 | 0 | 0 | 20,000 | 20,000 | 0.0% |
| Training | 40,000 | 0 | 0 | 0 | 0 | 40,000 | 0.1% |
| Infrastructure and Equipment | 10,000 | 0 | 0 | 0 | 0 | 10,000 | 0.0% |
| Support Services Contract | 0 | 0 | 0 | 0 | 0 | | |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Other: _____ | 0 | 0 | 0 | 0 | 0 | | |
| **Total DO Y** | **$1,080,000** | **$556,000** | **$890,000** | **$846,000** | **$1,472,000** | **$4,844,000** | **9.7%** |
| **DO X** | | | | **Total Program Funds** | | | **$20,500,000** |
| Indicator DO1: _____ | $10,000 | $5,400 | $5,000 | $5,000 | $10,000 | $35,400 | 0.2% |
| Indicator DO2: _____ | 0 | 0 | 0 | 0 | 0 | | |
| Indicator DO3: _____ | 0 | 0 | 0 | 0 | 0 | | |
| Project level Indicators | 0 | 0 | 0 | 0 | 0 | | |
| External Evaluations not covered by POs | 0 | 0 | 300,000 | 0 | 350,000 | 650,000 | 3.2% |
| M&E staff salaries | 65,000 | 68,000 | 70,000 | 73,000 | 80,000 | 356,000 | 1.7% |
| Technical Assistance | 0 | 0 | 0 | 0 | 0 | | |
| Training | 0 | 0 | 0 | 0 | 0 | | |
| Infrastructure and Equipment | 0 | 0 | 0 | 0 | 0 | | |
| Support Services Contract | 0 | 0 | 0 | 0 | 0 | | |
| Other: _____Data quality assessments_____ | 10,000 | 10,000 | 10,000 | 10,000 | 10,000 | 50,000 | 0.2% |
| **Total DO X** | **$85,000** | **$83,400** | **$385,000** | **$88,000** | **$450,000** | **$1,091,400** | **5.3%** |
| | | | | | | | |
| **Total Evaluations** | **$400,000** | **$410,000** | **$500,000** | **$650,000** | **$1,100,000** | **$3,060,000** | **1.8%** |
| **Grand Total of all M&E** | **$2,855,600** | **$2,556,000** | **$3,175,600** | **$2,860,600** | **$3,904,600** | **$15,352,400** | **9.0%** |
| | | | | | | | |
| **Percent Evaluations to Total M&E** | **14.0%** | **16.0%** | **15.7%** | **22.7%** | **28.2%** | **19.9%** | |

# Annex 22: Site Visit Plan Summary
**Part 3 Module 1**

## SITE VISIT PLAN SUMMARY

This section the Site Visit Plan includes a description of the reasons for conducting the site visit. Site visits may include regularly scheduled; in response to identified problems; in response to USAID stakeholder requests to monitor; and other ad hoc needs (e.g. CODELs).

Potential rationale for conducting a site visit includes:

- Conducting data verification.  It is recommended that the Site Visit team should select one indicator (or more) on which the partner has reported, and check the partner's understanding of the indicator, data collection methodology, reporting chain, and supporting documentation. These site visits include comparing the data reported by the partner to USAID with records maintained at the partner's central field office, and potentially to the records at the satellite field site(s).  The documentation to be reviewed (among others) includes the following:

  - ✓ Verification documentation (such as participant sign-in sheets)
  - ✓ Whether approved activity level performance data collection and reporting methodologies are being followed
  - ✓ Confirmation of indicator actuals
  - ✓ Beneficiary counts
  - ✓ Gender information
  - ✓ Status of the activity (ongoing, closed, etc.)
  - ✓ Assessment whether the implementing partner will achieve the activity objectives by the end date of the mechanism

- Examining data management and data quality. Conduct meetings or interviews with implementing partners to gain appreciation of how accurate the data are and how much credence can be placed in the figures cited.  These site visits could focus on receiving a briefing on the data collection and analysis procedures, and data storage system used.  On these site visits the COR/AOR/G2G and/or Activity Manager will:

  - ✓ Conduct initial data management assessments of implementing partners
  - ✓ Conduct a data quality assessment, if required

- Regularly scheduled activity sampling, conducted as part of COR/AOR/G2G responsibilities (*see ADS 302, 303 and 350*). These site visits could focus on status of workplan implementation, participation in threshold events (such as opening or completion ceremonies, press releases, conferences, etc.), to improve understanding of the activity/IM's objectives, to review submitted invoices, review award deliverables, meet new key staff, etc.  This is an opportunity for the Site visit team to ask the partner whether there are any observations, findings or concerns the partner may have with their operations.  On these site visits the COR/AOR/G2G and/or Activity Manager can:

  - ✓ Review the performance reporting by the partner
  - ✓ Review the workplan and status reports
  - ✓ Take photos of activity/IM events

- ✓ Assess their information management systems (e.g., file storage)
- ✓ Review other award deliverables (e.g., closedown plan)
- ✓ Discuss other activity/IM issues

- Responding to identified problems other than performance data issues. These site visits could be due to questionable award deliverables, concerns about workplan issues, communications concerns, and other issues identified within the Mission. Summarize the site visit and share the negative or positive findings and any required follow-up actions with relevant Mission staff. These site visits could be in response to:

  o Responding to stakeholder requests to monitor or assess Mission-funded activities. On occasion, the Mission's implementing partners, the Host Government, Inter-agency staff, or other activity/IM or project stakeholders may identify an issue or problem related to activities/IMs. These problems can be focused on a single activity/IM, activities/IMs in a particular geographic location (even other regions), among a type of task or sector (e.g., veterinary services), or among a specific beneficiary or stakeholder group. These site visits may be scheduled as needed, and may be preceded by communications with the partner on the nature of the issue. Note that not all requests may be in response to negative concerns; they may also be requested in order to highlight a best practice, success, pilot effort or learning opportunity.

  o Preparation for a CODEL or other high-level visit. These visits may be scheduled as needed, and may be preceded by communications with the partners, beneficiaries, and other stakeholders in order to help prepare for the high-level visit. In preparation, any and all issues may be on the table, depending on the nature of the high-level visit and the known objectives for the visit.

  o Preparation for an external evaluation, special study, performance audit, or other review of the activity/IM, project, or DO. While the need for the site visits needs to be carefully considered (the Mission may need to prevent even the appearance of potential conflict of interest), these site visits may be helpful to explain the nature and objectives of the evaluation, study, audit or other review. The COR/AOR/G2G, Activity Manager, and/or Program Office should check with the CO/AO and/or RLA to identify any potential limitations for a preparatory site visit. Note that it is often the right of the implementing partner to examine the scope of work for such reviews, ahead of the evaluation, special study, performance audit or other team's arrival.

- Inspecting equipment or commodities purchased through USAID for activities. ADS 324.5.4 and E 324.5.4 on Arrival and Disposition of Commodities requires that implementing partners verify that commodities financed by USAID are being effectively used in the activity, and if not, that the commodities are transferred to other activities or otherwise disposed of as approved by USAID. Furthermore, ADS 325.5.6 suggests that checks of the "end use" of these commodities confirms with the subcontract or grant agreement. As a result, Mission site visits should also review:

  ✓ Proper use of commodities and equipment purchased by the project or activity/IM

Other compliance issues:

- ✓ Financial systems reviews
- ✓ Gender issues
- ✓ Family planning
- ✓ Proper branding
- ✓ Status of environmental mitigation plans, if required
- ✓ Office of Foreign Assets Control (OFAC) conditions on awards
- ✓ TraiNet

## SITE VISIT TEAM COMPOSITION

This section includes a description of who will participate in the site visits. The composition of the site visit team will depend on the nature of the activity/IM, as well as the reason for the site visit. Depending on the nature of the visit, it may be good to include the PMPOC or someone from the Program Office, or relevant Support Office (such as the RLA, OFM, OAA), in order to provide an extra set of eyes and mitigate the possible appearance of bias. After the team has been determined, a site visit team planning meeting might be needed to help determine:

- The key question(s) that need to be answered;
- Who else should be involved, and at what point in the monitoring effort (e.g., the implementing partner(s), beneficiaries, local institutions, external statistical or technical experts, etc.);
- Does the Mission team have the required expertise and/or knowledge?  If not, is short-term technical assistance available locally? Within USAID/Washington? Within in the region?
- The appropriate site visit methodology (observations, interviews, document reviews, data quality assessments, or other); and
- Timing and any other program resource requirements (logistics, equipment, etc.).

## SCHEDULE FOR SITE VISITS

This section of the Plan includes the schedule for the site visits, which guidance suggests should be at least every 6 months for each activity/IM.  Depending on the complexity of the Mission's projects, it may be important to conduct site visits more frequently, if resources permit. In order to ensure sufficient oversight and monitoring of all activities, Mission staff should focus on determining the triggers that will require a site visit more frequently than every 6 months.

The Site Visit Plan should include the methodology chosen for scheduling the site visits.  For example, the Mission (or Project team or DO team) may decide that regularly scheduled activity site visits should be scheduled according to the following:

- ✓ Every activity/IM will receive a site visit every 6 months for the life of the activity/IM, starting 6 months after the initial workplan, or sub-activity, has been approved
- ✓ Data quality assessments and/or performance data verification site visits will be scheduled in addition to the regularly scheduled site visits, in order to ensure that the Mission's information needs are met in a timely manner
- ✓ Infrastructure or construction activities/IMs will receive a site visit every month, except when sufficient field verification documentation is submitted to the COR/AOR/G2G and/or Activity Manager.  When sufficient field verification documentation is received, a site visit will occur every quarter
- ✓ Other

The Mission should also consider whether site visits can be "clustered" together (e.g. by sector or geographic area) to leverage Mission resources If security conditions or other constraints temporarily preclude the monitoring/verification site visits in a certain geographic area or region, then those activities should be prioritized for future site visits or become candidates for other verification methods.

## SITE VISIT DATA COLLECTION METHODOLOGIES

This section includes a description of how the data will be collected by the site visit team. There are three key approaches that could be used to collect data at each site visit. Each of the approaches used by the Mission will need to be documented in the Activity Site Visit Report:

- **Interviews:** This approach collects information from stakeholder and beneficiary experiences, perceptions, opinions, feelings and knowledge about the Mission-funded activity.
- **Observations:** This approach describes activities, behaviors, actions, and conversations that were directly observed by the Mission's site visit team during the course of a site visit. This will result in field notes and data that are rich with detailed descriptions. These observations should, if possible, be documented through photos, collection of verification documents (for example, copies of sign-in sheets for training), collection of GPS coordinates, etc.
- **File and Document Reviews**: This approach samples written material from organizational records and files, correspondence, official publications, letters, photographs, etc. This provides verification from an implementing partner's own records that they have documented necessary evidence and data to support the reporting of achievements of their activities. This approach should be used in conjunction with either of the first two data collection approaches (particularly relevant for training, education, or other capacity building activities), or in circumstances in which site visits to activity locations are not advisable for security or other reasons.

## SITE VISIT DOCUMENTATION

This section includes the Mission's standard Activity Site Visit Report (see the standardized Activity Site Visit Report on ProgramNet), as well as any other requirements that teams should be aware of ahead of time. Examples of what may be required include:

- Complete Site Visit Report form
- Summaries of interviews with beneficiaries, government officials, and other stakeholders (including any interesting quotations);
- Summaries of findings;
- Photographic evidence from each site visited (including branding evidence);
- GPS coordinates (longitude and latitude) collected at each site visit location;
- Copies of key verification documentation (such as participant sign-in sheets); and
- Special data collection or monitoring requirements related to the specific site or activity.

After each site visit, the completed Activity Site Visit Report, as well as supporting documentation, should be uploaded and stored in the official activity/IM management files and attached to each activity record. The site visit team should identify if any follow-up actions are required, by whom, and by when. Follow-up actions should be documented and stored in a central location accessible to the Program Office. This will help maintain a key audit trail for the Mission.

# Annex 23: Activity Logbook

**Part 3 Module 3**

*Record Notable Issues, Unanticipated Results, Corrective Actions and Major Lessons Learned*

Date:         _____
Mission:      _____
DO:           _____
Project:       _____
Activity:      _____
Act. Manager: _____
IP:            _____

| Notable Items<br><br>(Identified challenges and unanticipated results) | Corrective Actions | Major Lessons Learned<br><br>(Indicate relevance to project and/or wider Mission) |
|---|---|---|
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

## PPR Report FY 20XX- Task List

| | Deadline | Person Responsible |
|---|---|---|
| **Mission Tasks** | | |
| Distribute PIRS to relevant POCs to update | | |
| Send PPR Report Template to Teams | | |
| Appoint point person for Key Issues Narrative Drafting | | |
| Review location of indicator data (baselines, actuals, targets, disaggregations, etc.) | | |
| Draft program performance element and area narratives (start with last year- ask team leaders for previous year) | | |
| Complete Data Summary Results Matrix for Portfolio | | |
| Begin to Compile PPR Report FY20XX (inclusive of PMP data) | | |
| Submit PPR PIRs data report (not the indicator data reference sheets for indicators) updated from the portfolio review | | |
| Compile/Update Performance Summary | | |
| Compile/Update Program Element Narrative (who does this may vary from mission to mission) | | |
| Compile Key Issues Narrative | | |
| Make sure all DQAs have been completed for indicators reported to Washington | | |
| Compile completed DQAs | | |
| Ensure PPR Master Summary Matrix (for PPR inclusive of all partner data) includes date of last DQA | | |
| Compile/Update Indicator Narrative (only for actuals that are 10 percent different than targets) | | |
| Submit all above narratives for final approval | | |
| Compile PPR Report FY 20XX report (Incorporate any outstanding partner data) | | |
| Submit all final PPR Reports to Program Office for review | | |
| Check report, finalize, and submit to Program Office | | |
| Mid-term progress reports and assessments conducted are completed and submitted to Program Office | | |
| Submit final PPR | | |
| **Activity/IM level Tasks** | | |
| Send email reminders to partners clearly listing reporting requirements for FY 20XX report | | |
| Make sure all activity/IM M&E plans have been completed and submitted | | |
| Make sure partner FY20XX performance reports have been submitted | | |
| Review each partner report to ensure that no data is missing (e.g., Required for FY 20XX includes results for that year and targets for following two years, data has been properly disaggregated, there are no blank targets or actuals, where actuals are 10 percent off from target there is a | | |

| | | |
|---|---|---|
| corresponding narrative in report or a comment section in the summary matrix explaining why, disaggregated data sums to totals) | | |
| Compile and send email with notes/points to each partner regarding any additional concerns/outstanding information (include a due date) | | |
| Send complete relevant information from each partner to Program Officer responsible for compiling PPR | | |
| Review indicator databases and/or indicator tracking tables where partners enter their data | | |
| Missing data have been identified, and responsible person has been asked to upload/provide their missing data | | |
| Make sure all indicator data are complete | | |
| Results summary matrix of each partner has been completed for portfolio review | | |
| Partner targets for FY 20XX are consistent with the Activity M&E plan and the PMP | | |
| Partner targets for current FY and next two FYs are set | | |
| All activity/IM DQAs have been completed for reported data | | |
| All narrative reports required have been completed | | |

Notes:
Holidays:

# Performance Management Plan (PMP) Toolkit Glossary

**Accountability for results (or results accountability):** The establishment of clear responsibility and expectations related to achieving formally approved results. Expectations concerning accountability vary with the degree of control that an individual or Operating Unit has over the results they are managing. (ADS 200.6)

**Activity:** An activity is any mechanism or other interventions using program or OE funds below the Project. (ADS 200.6)

**Activity Manager:** Definition no longer used, See Project Manager

**Actuals:** Indicator data that is actually collected, verified, reported, and achieved (as opposed to data that is planned or projected, such as a target)

**Agreement Officer's Representative (AOR):** Replaces AOTR.  The individual who performs functions designated by the Agreement Officer, or is specifically designated by policy or regulation as part of assistance administration. (See Activity Manager and ADS 200.6)

**Analysis:** Detailed examination of the elements or structure of something, typically as a basis for discussion or interpretation. (ADS 201.3.9)

**Baseline**: Measurements taken prior to or at the onset of an intervention. (ADS 200.6 and 203.3.9).  Also referred to as a "performance baseline."

**Bias:** The extent to which a measurement, sampling, or analytic method systematically underestimates or overestimates the true value of a variable or attribute. (USAID Evaluation Policy, page 6)

**Collaborating, Learning and Adapting (CLA):** A detailed learning plan (see learning plan) that will also include processes for ensuring effective coordinating and collaborating internally, externally and among implementing partners; and adapting programs as new learning emerges and/or the development context changes.  See Learning Plan. (ADS 200.6)

**Context Indicators:** Context indicators measure conditions relevant to the performance of projects and programs, such as macro-economic, social, or political conditions, critical assumptions of a R/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. (ADS 200.6)

**Context Indicator Reference Sheets:** A modified version of the Performance Indicator Reference Sheets (PIRS) specific to context indicators.  Since context indicators measure conditions outside of the manageable interest of the USG, the PIRS has been modified to remove reference data not relevant to context indicators (e.g., target identification methodology). Context Indicator Reference Sheets are optional and not required.

**Contracting Officer's Representative (COR):** Replaces COTR.   The individual who performs functions designated by the Contracting Officer, or are specifically designated by policy or regulation as part of contract administration. (See Activity Manager and ADS 200.6)

**Country Development Coordination Strategy (R/CDCS):**  A five-year strategy (although it may be shorter for countries in transition) that focuses on USAID-implemented resources, including non-emergency humanitarian and transition assistance. The R/CDCS process implements the Quadrennial Diplomacy and Development Review (QDDR) and the Presidential Policy Directive on Global Development (PPD-6). The R/CDCS informs annual planning and reporting processes by defining development objectives and maximizing the impact of development cooperation. (ADS 200.3.5.2)

**Critical Assumption:** A general condition under which the Development Hypothesis, or strategy for achieving a R/CDCS Development Objective, will hold true. Critical assumptions reflect conditions that are likely to affect the implementation the R/CDCS strategy or project logical framework (e.g. political stability, commodity prices, macroeconomic conditions) but are outside of the control or influence of USAID and its partners (ADS 200.6).

**Custom Indicators:** Any indicators reported in the annual Performance Plan and Report that are not pre-defined by the Office of the Director of Foreign Assistance (F) (i.e., are not F standard indicators).

**Data Quality Assessment:** An analytical review in which Operating Units assess their performance monitoring data against a prescribed set of data quality criteria. Data quality assessments help t OUs to understand the strengths and weaknesses of their data and to better ensure that the quality of data is sufficient for decision-making. (ADS 203.3.11.1-3)

**Development Hypothesis:** A Development Hypothesis describes the theory of change, logic, and causal relationships between the building blocks needed to achieve a long-term result. The Development Hypothesis is based on development theory, practice, literature, and experience, is country-specific, and explains why and how the proposed investments from USAID and others collectively lead to achieving the Development Objectives (DOs) and ultimately the R/CDCS Goal. It is a short narrative that explains the relationships between each layer of results (in the Results Framework – see section 3 below), upwards from the sub-Intermediate Results (sub-IRs), to the IRs, the DOs, and the R/CDCS Goal, often through if-then statements that reference the evidence that supports the causal linkages. (Chapters 200-203)

**Development Objective:** The most ambitious result that a USAID Mission or Bureau/Independent Office (B/IO), along with its partners, can materially affect, and for which it is willing to be held accountable.

**Development Objective Teams (DO Teams):** USAID staff with complementary skills who are empowered to achieve a Development Objective for which they are willing to be held accountable. The primary responsibility of a development objective team is to make decisions in designing and implementing projects related to accomplishing the result. (ADS 200.6)

**Evaluation:** 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 recommendations toward adjustments based on new evidence. (ADS 203.1)

**Evidence:** Factual basis for programmatic and strategic decision-making in the program cycle. Evidence can be derived from assessments, analyses, performance monitoring and evaluations. It can be sourced from within USAID or externally and should result from systematic and analytic methodologies or from observations that are shared and analyzed. (ADS 200.6)

**Foreign Assistance Framework Standardized Program Structure and Definitions:** A listing of program categories that provides common definitions for the use of foreign assistance funds. The definitions identify very specifically and directly what USAID is doing, not why it is doing it. See also, program area, program element, program sub-element. (ADS 200.6)

**Game Changer:** A broad condition that is beyond the Mission's control but could evolve to impede or facilitate strategy implementation.

**High Threat Environment:** A country, city, area, sub-region or region in which USAID is hindered in accomplishing its mission due to security risks, such as: 1) specific targeting of U.S. interests, 2) a favorable operating environment for terrorist groups, 3) intelligence indicating that a threat is imminent,  or 4) other significant risk as identified by the Office of Security (USAID/SEC)), the Regional Security Officer (RSO), or other appropriate U.S. Government (USG) official, in consultation with the RSO. (ADS 200.6)

**Impact Evaluation:** Evaluations based on models of cause and effect and which require a credible and rigorously defined counterfactual to control for factors other than the intervention that might account for the observed change. Impact evaluations measure the change in a development outcome that is attributable to a defined intervention. (ADS 200.6)

**Implementing Mechanism:** A means of implementing a program or project to achieve identified results, generally through the use of a legally binding relationship established between an executing agency (generally a USG agency like USAID or a host government agency) and an implementing entity (contractor, grantee, host government entity, international organization) to carry out programs with USG funding. Examples of implementing mechanisms include contracts, cooperative agreements, grants, inter-agency agreements, bilateral project agreements, fixed amount reimbursement and performance agreements and cash transfers to host country governments, public private partnerships, Development Credit Authority (DCA) agreements, Development Innovation Venture (DIV) awards, and policy dialogue carried out by USG officials. (ADS 200.6)

**Indirect Indicators**: See *Proxy Indicators*

**Learning:** A continuous process of analyzing a wide variety of information sources and knowledge (including evaluation findings, monitoring data, innovations and new learning that brings to light new, promising practices or calls into question received wisdom, and collected observations and tacit knowledge from those who have particularly deep or unique insight in a given area).(ADS 200.6)

**Learning Plan:** A learning plan includes an analytic agenda aimed at conducting or synthesizing research or evaluations in order to fill gaps in the evidence base on which programs are grounded; as well as processes for feeding applicable learning back into programming. A Learning Plan can be a comprehensive/systematic Collaborating, Learning and Adapting (CLA) plan, or it can be something more modest or targeted. A learning Plan can be at the R/CDCS, DO or Project level. (ADS 200.6)

**Logical Framework (LogFrame):** A rigorous methodology used for project design that focuses on the causal linkages between project inputs, outputs, and desired outcome (or purpose). When completed, LogFrame components will be detailed enough to provide specific and clear information for preparing project authorization documentation. (ADS 200.6)

**Manageable Interest:** When USAID has reason to believe that its ability to influence, organize, and support others around commonly shared goals can lead to the achievement of desired results, and that the probability of success is high enough to warrant expending program and staff resources. The concept of manageable interest recognizes that achievement of results requires joint action on the part of many other actors such as host country governments, institutions, other donors, civil society, and the private sector. (Chapters 200-203)

**Managing for Results:** The systematic process of monitoring the achievements of program activities; collecting and analyzing performance information to track progress towards planned results; using performance information and evaluations to influence decision-making and resource allocation; and communicating results to advance organizational learning and communicate results to stakeholders. (USAID Evaluation Policy, page 8 Box1: Concepts and Consistent Terminology)

**Milestone Indicator:** An 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 that identifies whether a particular discrete result has or has not been achieved. (ADS 203.3.7)

**Mission Portfolio Review:** A key point during the Program Cycle for Missions to use their evidentiary base to take stock of progress toward their Development Objectives (DOs) and R/CDCS Goal. 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 into implementation and planning processes. Missions must conduct at least one portfolio review per year geared toward strategic review focused on the higher levels of the Results Framework. (ADS 203.3.12)

**Organizational Capacity Assessment (OCA):** Facilitated self-assessment by partners that may involve different raters on repeat applications.  Purpose is primarily the identification of partner capacity development priorities, rather than to serve as an objective, reliable monitoring tool.

**Performance Evaluation:** Performance evaluations represent a broad range of evaluation methods. They often incorporate before-after comparisons, but generally lack a rigorously defined counterfactual. Performance evaluations focus on what a particular project or program has achieved (either at an intermediate point in execution or at the conclusion of an implementation period); how was implemented; how it was perceived and valued; whether expected results occurred; and other questions that are pertinent to project design, management and operational decision-making. (Chapters 200-203)

**Performance Indicator:** Performance indicators measure a particular characteristic or dimension of strategy, program, project, or activity level results based on a Mission's R/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. (ADS 203.3.2)

**Performance Management**: Performance management is the systematic process of planning, collecting, analyzing and using performance monitoring data and evaluations to track progress, influence decision-making, and improve results. Performance management activities are described at the Mission level in the Mission's performance management plan. Performance management is one aspect of the larger process of continuous learning and adaptive management. (ADS 200.6)

**Performance Management Plan:** 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 an R/CDCS and project LogFrame in order to inform decision-making, resource allocation, learning, and adapting projects and programs. PMPs are mission-wide documents and are distinct from project M&E plans and Activity M&E plans. (ADS 200.6)

**Performance Plan and Report (PPR):** The Performance Plan and Report (PPR) documents USG foreign assistance results achieved over the past fiscal year and sets targets on designated performance indicators for the next two fiscal years. (Chapters 200-203)

**Performance Target:** Specific, planned level of result to be achieved within an explicit timeframe with a defined level of resources. Good targets contain, at a minimum, quantity, quality, and time and, in many cases, also location and target beneficiaries. (ADS 200.6)

**Portfolio Alignment:** Process that the Mission undertakes following the approval of a R/CDCS to assess its existing portfolio against the portfolio requirements needed to achieve the results detailed in the R/CDCS Results Framework. Through the Portfolio Alignment process, the Mission identifies activities/IMs that should be ended or phased out, as well as any gaps in its existing portfolio.

**Portfolio Review:** A periodic review 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). (ADS 200.6)

**Program Area:** One of the several categories in the Foreign Assistance Standardized Program Structure that identify broad programmatic interventions (such as Counter Narcotics, Health, or Private Sector Competitiveness). This is primarily used for budget planning and tracking. Program Areas can be funded by more than one appropriation account. (ADS 200.6)

**Program Cycle:** Refers to the various stages of USAID's approach to delivering development assistance, including strategic planning, project design and implementation, evaluation and monitoring, and learning and adapting. These components are influenced by Agency policies and strategies as well as evidence gained during each stage of the cycle. (ADS 200.6)

**Program Element:** Program Elements are categories in the Foreign Assistance Standardized Program Structure that reflect the different components of a Program Area. Examples include Alternative Development and Alternative Livelihoods within Counter Narcotics, HIV/AIDS within Health, and Business Enabling Environment within Private Sector Competitiveness. This is primarily used for budget planning and tracking. (ADS 200.6)

**Project Manager:** Member of a Development Objective Team or Mission Technical Office who is responsible for the overall management of a discrete project. (ADS 200-203)

**Project:** A project is a set of executed interventions, over an established timeline and budget intended to achieve a discrete development result (i.e. the project purpose) through resolving an associated problem. It is explicitly linked to the R/CDCS Results Framework. (Chapters 200-203)

**Proxy Indicators (or "Indirect Indicators"):** Indicators that are used when direct measures are not feasible, such as if data are difficult to monitor, collect, or report (e.g. household expenditures as a proxy for household income; percentage of births attended by trained health providers as a proxy for mortality rates).

**Primary Data:** Information collected or obtained via direct first-hand experience. May be collected by USAID or through entities contracted for this purpose. (ADS 203.3.4.3)

**Qualitative Data:** Information that describes attributes, properties, or qualities and are often expressed in words rather than numerically. (ADS 203.3.7)

**Quantitative Data**: Information that can be measured or expressed numerically, typically describing amounts, range, or quantities. (ADS 203.3.7)

**Rating Scale Indicator:** A measurement device that quantifies a range of subjective responses on a single issue or single dimension of an issue. (ADS 203.3.7)

**Results Framework:** The Results Framework (RF) is a graphical representation of the Development Hypothesis and includes the R/CDCS Goal, DOs, IRs, sub-IRs, and performance indicators. The RF should be supported by accompanying narrative that addresses how USAID, working closely with host country government and citizens, civil society, the private sector, multi-lateral organizations, the State Department,

and other USG agencies can best address the specific development challenges and opportunities identified by the Mission, based on evidence, to achieve its DOs and R/CDCS Goal. It includes any critical assumptions that must hold for the Development Hypothesis to lead to the relevant outcome. Typically, it is laid out in graphic form supplemented by narrative. (Chapters 200-203)

**Risk Factor**: A condition that could negatively influence program outcomes.

**Secondary Data:** Information gleaned from third-party sources. (ADS 203.3.6)

**Sex-Disaggregated Data:** For monitoring and reporting purposes, USAID disaggregates data by sex, not by gender. Gender and sex are not synonyms. See gender. (ADS 203.3.1.4)

**Standard Foreign Assistance Indicators:** A set of indicators aligned to the Standardized Program Structure and Definitions that measure key foreign assistance performance objectives. Standard indicators are reported in the annual Performance Plan and Report and are used primarily to aggregate results from different Missions to communicate Agency performance to Congress, the public and other key stakeholders. Standard indicators can be output or outcome indicators.