Feed the Future

Survey Implementation

Document

Study Protocol - Baseline

Zone of Influence Survey

[COUNTRY] [YEAR]

February 14, 2018

This publication was prepared for review by the United States Agency for International Development. It was prepared by ICF for the United States Agency for International Development, USAID Contract Number GS-23F-8144H/AID-OAA-M-12-00006, Feed the Future Program Evaluation for Effectiveness and Learning.

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**INSTRUCTIONS TO COUNTRY MANAGER:**

This document has been developed as a template to be modified for each Feed the Future ZOI Survey. The content and the text have been pre-approved by the Bureau for Food Security (BFS) and should be modified where noted. We use the following conventions in this template to indicate where modifications should or may be made:

* Where country-specific words or phrases need to be inserted, the word or concept is highlighted in yellow in the text. Substitute the appropriate word or phrase.
* Where a choice needs to be made between several text options, those options are highlighted in green. Delete the option that does not apply to your country.
* Where a section, phrase, sentence, or paragraph may need to be customized or be deleted due to irrelevance to your country or survey, instructions are provided in a comment box in the margin. Address the instructions by adding, revising, or deleting text or a table. Highlight the addition or revision or strikethrough the deletion to facilitate USAID/[COUNTRY]’s and BFS’s review. Add a note after the instruction in the comment box that explains what you did (e.g., revised, deleted).

While, in principle, you should only modify the designated parts of the protocol template, read the entire document carefully to ensure that all sections and text apply to your country. If you need to change anything other than the parts designated for modification, please use track changes to facilitate USAID/[COUNTRY]’s and BFS’s review of your changes.

# Abbreviations

A-WEAI Abbreviated Women’s Empowerment in Agriculture Index

BFS Bureau for Food Security

CSPro Census and Survey Processing System

EA enumeration area

FIES Food Insecurity Experience Scale

FTFMS Feed the Future Monitoring System

GPS Global Positioning System

IRB Institutional Review Board

QCS Quality Control and Support

USAID United States Agency for International Development

USD United States dollars

VCC value chain commodities

ZOI Zone of Influence

# 1. Introduction

Feed the Future seeks to reduce poverty, hunger, and undernutrition among women and children, and to increase income, resilience, women’s empowerment, dietary diversity and appropriate feeding practices, and hygienic environments. Program efforts are designed to impact the population in zones of influence (ZOI) in Feed the Future target countries. Progress in achieving Feed the Future’s objectives is tracked using population-based performance indicators collected at baseline then periodically thereafter.

## 1.1 Purpose of the survey

The purpose of the Feed the Future ZOI Survey (2018-2019) is to provide the U.S. Government interagency partners, United States Agency for International Development (USAID) Bureau for Food Security (BFS), USAID Missions, host country governments, and development partners with information on the current status of the Feed the Future ZOI-level population-based survey (PBS) indicators. The survey is designed to establish current status of Feed the Future indicators in the ZOI to serve as a baseline for the next phase of Feed the Future in [COUNTRY].

This document is the study protocol for the Feed the Future ZOI Survey (2018-2019) for [COUNTRY]. It includes sections on the rationale for the survey; intended use of findings; the study populations and catchment area; the sampling methodology, including sample size and statistical power; key variables; training for study personnel; data analysis plan, including statistical methodology and planned tables and figures; data collection, information management, and analysis software; data entry, editing and management; quality control and assurance; bias in data collection and analysis; limitations of the study; ethical considerations; overarching management; and results dissemination plans.

# 2. Content of Feed the Future ZOI Survey (2018-2019)

## 2.1 Feed the Future population-based indicators

Data to inform the following Feed the Future indicators on poverty, nutrition, agriculture, women’s empowerment, and resilience will be collected in the Feed the Future ZOI Survey (2018-2019):

* Prevalence of poverty: Percent of people living on less than $1.90/day 2011 PPP
* Depth of poverty of the poor: Mean percent shortfall of the poor relative to the $1.90/day 2011 PPP poverty line
* Prevalence of stunted (HAZ < -2) children under five (0-59 months)
* Prevalence of wasted (WHZ < -2) children under five (0-59 months)
* Prevalence of underweight (BMI < 18.5) women of reproductive age
* Prevalence of healthy weight (WHZ ≤ 2 and ≥-2) among children under five (0-59 months)
* Prevalence of children 6-23 months receiving a minimum acceptable diet
* Prevalence of exclusive breastfeeding of children under six months of age
* Prevalence of women of reproductive age consuming a diet of minimum diversity
* Percentage of households below the comparative threshold for the poorest quintile of the Asset-Based Comparative Wealth Index
* Prevalence of moderate and severe food insecurity in the population, based on the Food Insecurity Experience Scale (FIES)
* Ability to recover from shocks and stresses index
* Index of social capital at the household level
* Proportion of households that believe local government will respond effectively to future shocks and stresses
* Proportion of households participating in group-based savings, micro-finance or lending programs
* Percentage of households with access to a basic sanitation service
* Percentage of households with soap and water at a hand-washing station commonly used by family members
* (Abbreviated) Women’s Empowerment in Agriculture Index (A-WEAI)
* Yield of targeted agricultural commodities within target areas
* Proportion of producers who have applied targeted improved management practices or technologies
* Average percentage of women achieving adequacy across the six indicators of the Abbreviated WEAI (A-WEAI) [Context Indicator]
* Prevalence of people who are ‘Near-Poor’, living on 100 percent to less than 125 percent of the $1.90 2011 PPP poverty line [Context Indicator]

The Feed the Future Indicator Handbook Definition Sheets provide information needed to collect data and report on the indicators.

## 2.2 Mission-specific indicators

[xx]

# 3. Procedures and Methods

## 3.1 Timing of data collection

Data for the Feed the Future ZOI Survey (2018-2019) will be collected with the following considerations for timing:

* Post-harvest for the main crops from among the three priority value chain commodities (VCC) selected for measurement. If the harvest period for the three main crops differs, the collection will be after the harvest for the major staple food crop among the three VCC in terms of number of producers in the ZOI;
* Seasonal issues, such as major holidays or weather that impedes fieldwork; and
* Political and security issues, such as elections or other events, that could preclude fieldwork.

These issues were carefully weighed with the USAID Mission and BFS, and it was determined that data collection for the Feed the Future ZOI Survey (2018-2019) in [COUNTRY] will take place in [MONTHS/YEAR(S)] based on [PROVIDE RATIONALE].

## 3.2 Projected timeframe

The workplan for preparing and implementing the ZOI survey, cleaning and analyzing data, and reporting findings is shown in Table 1. See Appendix B for the detailed Gantt chart for survey implementation.

Table 1: Milestones in the Feed the Future ZOI Survey (2018-2019)

| **Milestone** | **Timing (Month)** |
| --- | --- |
| Conduct planning meetings and reach agreement on ZOI survey, including survey modules and questions | Month 1 |
| Submit high-level survey implementation plan | Month 2 |
| Customize survey instrument | Months 2–3 |
| Develop study protocol and detailed implementation plan | Months 2–3 |
| Solicit proposals for in-country subcontracts, such as for translation, data collection, and expenditures analysis; negotiate subcontracts | Months 2–4 |
| Draw first stage of sample | Month 2–3 |
| Obtain official letter of introduction for community sensitization, listing, and field teams | Month 4 |
| Modify work assignment | Month 4 |
| Order equipment and supplies, such as tablet computers, seca scales, and Shorr boards | Months 4–5 |
| Obtain in-country ethical review and approval | Months 3–4 |
| Translate and pretest survey instrument | Months 3–5 |
| List and select households | Month 6–7 |
| Ship tablet computers at least 5 weeks before the start of training | Month 5 |
| Program and test data entry program and quality control reports\* | Months 4–6 |
| Customize interviewer’s and supervisor’s manuals | Months 4–6 |
| Finalize training materials | Month 4–7 |
| Conduct electronic pretest, training, and pilot testing | Months 7–8 |
| Finalize survey instrument, manuals, and data entry program | Month 8 |
| Conduct and monitor fieldwork | Months 9–13 |
| Clean data | Months 14–15 |
| Analyze data | Months 16–18 |
| Enter values in FTFMS | Month 18–19 |
| Deliver data to BFS | Month 18–19 |
| Draft report, assuming three rounds of revisions | Months 17–18 |
| Deliver public use data set, contingent on report approval | Months 18–19 |

\* This includes a standalone global positioning system (GPS) program that is based on inputs from GPS track application for plot area and land size.

## 3.3 Preparatory activities and stakeholder participation

Feed the Future [CONTRACTOR] staff have met with BFS, the USAID Mission, the Ministry of Agriculture, the Ministry of Health, and the central statistical office to discuss the requirements and plans for the Feed the Future ZOI Survey (2018-2019). Based on these meetings, decisions were made about the content, sample size, timing, and location of the ZOI survey.

Other key preparatory tasks will include identifying an in-country subcontractor to conduct data collection activities and executing the subcontract, with this provision:

Feed the Future [CONTRACTOR] will subcontract [XXX] to conduct a sole source field data collection because a market analysis demonstrates that [XXX] is the only organization that meets the criteria for the award.

or

Feed the Future [CONTRACTOR] will manage a free and open competition to identify a subcontractor to conduct data collection. INDICATE WHEN THE RFP WILL BE RELEASED AND PLANNED AWARD DATE.

Following is a list of criteria needed to assess local organizations’ ability to implement a survey of the size and complexity of the ZOI survey:

* The documented past performance of the organization in implementing several large-scale surveys with sample sizes of 3,000 or more households resulting in good-quality data;
* The capacity of the local organization to carry out the entire survey process, including listing, training, collecting social and agricultural data, and providing supervision;
* The organization’s experience in using tablet computers for data collection;
* Calendar record of usual timelines for survey implementation, and the organization’s ability to complete surveys on time;
* Ability of the organization to staff the project, as described in section 6.4 of this protocol;
* The experience of the organization’s staff in the requisite roles defined for the ZOI survey fieldwork, including an agricultural specialist, as described in section 3.13 of this protocol; and
* Availability of the organization to conduct training and fieldwork in the required time period.

## 3.4 Geographic focus

The geographic focus of the Feed the Future ZOI Survey (2018-2019) data collection is the ZOI. The ZOI is the geographic area where Feed the Future programs are expected to have an impact on hunger, poverty and nutrition.

[Paragraph on geographic coverage of the ZOI]

[Table that provides a comprehensive list of the lowest relevant level of administrative units in the ZOI (e.g., districts)]

[Map of ZOI in [COUNTRY]]

(insert maps)

## 3.5 Study population

The Feed the Future ZOI Survey (2018-2019) will focus on collecting data that reflect the characteristics of several study populations. Descriptions of the specific study populations follow.

**Households:** Data on food, non-food, housing, and durable goods expenditures will be collected at the household level to inform indicators on the prevalence and depth of poverty. Data on food insecurity experience in the household over the past 12 months will also be collected at the household level to inform the indicator on prevalence of households with moderate or severe food insecurity. The estimated number of households in the sample will be [xx].

**Children ages 0-35 months:** Data about the dietary intake of infants and young children will be collected from mothers and caregivers of children under age 3. These data will inform two indicators, (1) the prevalence of exclusive breastfeeding among children 0-5 months, and (2) the prevalence of children 6-23 months receiving a minimum acceptable diet. They will also allow for robust further analysis of the determinants of the nutritional status of children under age 3. The estimated number of children 0-35 months in the sample will be [xx].

**Children ages 0-5 years:** Children ages 0-5 years will be weighed and measured, and their ages ascertained to obtain anthropometric data; however, the analysis is limited to children 0-59 months to calculate three key indicators of child nutrition: (1) prevalence of underweight children, (2) prevalence of stunted children, and (3) prevalence of wasted children. The estimated number of children ages 0-5 years in the sample will be [xx].

**Women ages 15-49 years:** Women 15-49 years will be weighed and measured to obtain the data required to calculate the prevalence of underweight women. Data on the dietary intake of women in this age group also will be collected to inform the indicator on women’s dietary diversity. The estimated number of women 15-49 years in the sample will be [xx].

**Women ages 18 years and older who are the primary female decisionmaker in the household:** Women 18 years and older who are identified as the primary female decisionmaker in the household will be administered survey module 6W of the questionnaire to collect data to inform the A-WEAI calculation. The estimated number of households with a woman age 18 years old or older in the sample will be [xx].

**Men ages 18 years and older who are the primary male decisionmaker in the household:** Men 18 years and older who are identified as the primary male decisionmaker in the household will be administered survey module 6M of the questionnaire to collect data to inform the calculation of the A-WEAI. The estimated number of households with a man age 18 years old or older in the sample will be [xx].

**Farmers ages 18 years and older that cultivated any of three selected VCC:** Men and women 18 years and older who cultivated one or more of the three VCC in the past 12 months will be administered the Agricultural Technologies and Agricultural Productivity questionnaire modules. The estimated number of farmers 18 years and older in the sample will be [xx].

## 3.6 Sampling design

The Feed the Future ZOI Survey (2018-2019) will be conducted among a representative, random sample of the entire population living in the Feed the Future ZOI. The ZOI survey will use a cross-sectional multi-stage cluster sampling design. In the first stage, enumeration areas (EAs) will be selected using probability proportional to size (PPS); in the second stage, segments will be selected with PPS (if EA size requires it); in the third stage, households will be selected in each EA/segment using fractional interval systematic sampling, and in the fourth stage, eligible individuals are selected within the households using a “take all” approach, i.e., all eligible individuals are selected into the sample.

The ZOI Survey sample frame will be stratified by [list country-specific strata] to create a total of [XX] strata. The number of EAs in each stratum will be proportional to the population in the strata, with a minimum of at least one EA in a stratum; a total of [XX] EAs will be selected based on [XX] households to be interviewed per EA. Before fieldwork begins, a complete household listing will be conducted in each EA, from which [XX] households will be selected randomly for interviews in each EA. During fieldwork, if more than one household is discovered in a single dwelling unit, all resident households will be interviewed for the survey.

## 3.7 Sample size

The aim of the Feed the Future Surveys is to produce sample-weighted estimates of indicators, including their standard errors and confidence intervals, and to enable a statistical test of differences to detect changes in indicators over time.

This protocol describes the sample size calculations required to ensure adequate power for estimates of indicators of proportions or means for the ZOI baseline survey. Further information on sample size calculations is available in the Sampling Guide.[[1]](#footnote-1)

### Method for calculating sample size

The sample size for the three goal-level indicators will be calculated. The largest sample size will be chosen as the overall sample size for the survey. For the Feed the Future ZOI Survey, the goal-level indicators that will be used as a basis for calculating the sample size are—

* Prevalence of stunting among children under five years of age
* Prevalence of moderate and severe food insecurity
* Prevalence of poverty at $1.90 2011 PPP per capita per day

Because these three high-level indicators are likely to have the smallest amount of targeted change among all Feed the Future ZOI PBS indicators, the required sample size should be large enough to capture statistically significant changes in lower-level Feed the Future ZOI PBS indicators, where the amount of change achieved should be greater and thus the sample size required to capture it, smaller. In other words, most other indicators likely will have a larger sample size than is required, and a statistical test of differences that is calculated over time for these indicators likely will have more power than necessary.

### Computing the initial sample size of the survey

Table 2 presents the calculation of the initial sample size for the three key Feed the Future ZOI PBS indicators, using the input parameters given in the table and the formula below

Table 2: Calculation of Initial Sample Size for Three Key Feed the Future ZOI PBS Indicators

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Indicator** | **P1, est** | **δ** | **P2, est** |  | **z1-α** | **z1-β** | **Dest** | **ninitial** |
| Prevalence of stunted children |  |  |  |  |  |  |  |  |
| Prevalence of food insecurity |  |  |  |  |  |  |  |  |
| Prevalence of poverty |  |  |  |  |  |  |  |  |

[insert sampling formula and explanation of data sources and assumptions]

The computation produced initial sample sizes of , , and for “prevalence of stunted children,” “prevalence of moderate and severe food insecurity,” and “prevalence of poverty,” respectively.

### Computing the final survey sample size

However, before the survey sample size was finalized, two adjustments to these computations were made: (1) inflation for the number of households to contact and (2) inflation for anticipated household non-response.[[2]](#footnote-2)

The final sample size, denoted by , which is a product of the initial sample size and both adjustments, then becomes:

Table 3 illustrates the computation of the final sample size for three key Feed the Future ZOI PBS indicators.

Table 3: Calculation of Final Sample Size for Three Key Feed the Future ZOI PBS Indicators

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Indicator** | **ninitial** | **λ** | **adj1** | **nadj\_1** | **adj2** | **nfinal** |
| Prevalence of stunted children |  |  |  |  |  |  |
| Prevalence of food insecurity |  |  |  |  |  |  |
| Prevalence of poverty |  |  |  |  |  |  |

The XXX indicator has the greatest final sample size requirement. Therefore, the overall sample size for the survey will be households. Because the largest sample size is chosen as the overall sample size for the survey, it meets and exceeds the needs of the other two indicators, prevalence of stunted children and prevalence of poverty.

## 3.8 Consent process

Feed the Future [CONTRACTOR] follows a number of procedures to ensure that survey work undertaken on the contract, including the Feed the Future ZOI Survey (2018-2019), adheres to ethical research standards, which will include the following provisions.

**IRB approval**. A generic protocol and survey instrument for the Feed the Future ZOI Survey (2018-2019) has been submitted to the [CONTRACTOR] Institutional Review Board (IRB) and provisionally approved by that board. Final approval by the [CONTRACTOR] IRB for the survey will be contingent on receiving documentation signifying approval by an ethics committee in [COUNTRY].

Any deviations from the protocol as approved by the [CONTRACTOR’S] IRB must be reported to the Feed the Future [CONTRACTOR’S] survey coordinator and the [CONTRACTOR’S] IRB.

**Staff training in protection of human subjects**. As described in section 3.15, Training, all field supervisors and interviewers will receive training in protection of human subjects.

**Informed consent and vulnerable populations (children)**. Attachment A includes the *[COUNTRY] Feed the Future Zone of Influence Survey Instrument (2018-2019)* with an informed consent statement. The statement addresses all of the major elements of informed consent. Interviewers will be trained to understand the purpose and content of informed consent, to read the informed consent statement to respondents, and to answer respondents’ questions about the survey or informed consent. Only household members who have provided informed consent will be asked questions or measured. These household members will indicate consent orally, which will be documented by the interviewer. A copy of the informed consent statement, translated as appropriate, will be left with the household.

Children are considered a vulnerable population, requiring special consideration in any study protocol. By regulatory definition, children are persons who have not attained the legal age for consent to treatments or procedures involved in the research, under applicable law of the jurisdiction in which the research will be conducted. International law considers any person under 18 years old to be a child. For this study, children age 15-17 may be eligible for interview, and children under age 6 are eligible for anthropometric measurement. Any household members age 15-17 who are eligible for interview (either as the oldest responsible member of the household, as a respondent to the women’s questionnaire, or as a respondent to the agricultural components of the survey) will have the opportunity to provide informed assent; a parent will also be asked to provide informed consent for these household members. Children under age 6 are eligible for collection of anthropometry data (height and weight measurement); a parent will be asked to provide informed consent for children under 6 years.

**Confidentiality protections**. Respect for the confidentiality of respondent information will be maintained throughout the survey process. Interviewers will not be allowed to interview anyone they know or to discuss any identified respondent’s information with anyone other than the field team member or field supervisor. All data transmitted to the Feed the Future [CONTRACTOR] servers will be encrypted. Datasets for internal USAID use will retain only personally identifiable information (PII) that are essential to analysis (household GPS coordinates and plot perimeter polygons); these data will not be shared publicly. All PII and other information that would allow deduction of respondent identities will be stripped from data sets before they are made public. All staff working with survey data both in country and at Feed the Future [CONTRACTOR] offices will sign confidentiality statements before working with the survey.

## 3.9 Other ethical concerns or issues

## 3.10 Study variables

The section lists common variables required for the study, in addition to those used to calculate Feed the Future indicators listed in Section 2 of this protocol:

* Household member age in years
* Child age in months
* Adult household member current marital status
* Gendered household type (sex composition of the household)
* Household size
* Residence (urban or rural; region)
* Number of household members per sleeping room
* Literacy
* Educational attainment
* Current school attendance
* Dwelling materials
* Type of cooking fuel
* Type of water source
* Water treatment practice or technology
* Type of sanitation facility
* Women’s body mass index
* Adult economic activity

## 3.11 Logistics and supplies

The [SUBCONTRACTOR] Field Manager, assisted by the Quality Control and Support (QCS) teams, will be responsible for making logistical arrangements for the field teams, including ensuring the availability of working vehicles to transport the field teams within and between clusters, arranging for food and lodging for field teams, providing advances to field supervisors to cover cash outlays, providing alternative sources of electrical supply to charge tablets, addressing any medical or emergency needs that arise during fieldwork, and ensuring the security of field teams. The [SURVEY SUBCONTRACTOR] will follow its standard procedures for providing this logistical support. All field teams will be supplied with the following materials:

**Fieldwork documents**

* Supervisor’s Manual
* Interviewer’s Manual
* Anthropometry Manual
* Maps and lists of selected households for all clusters in the assigned area
* Letters of introduction
* Supply of paper questionnaires (all translations) for use in emergency
* Supervisor’s Control Sheets
* Interviewer’s Assignment Sheets
* Informed consent forms
* Household roster forms
* Plot sketch map forms
* Vehicle mileage and expenditure log forms

**Supplies**

* Clipboards, briefcases, backpacks
* Identification for the interviewers
* Paperclips, scissors, string, staplers and staples, tape, pens, and pencils
* Weighing and measuring seca® scales and ShorrBoards®
* Tablet computers configured with assignment of tablets to interviewers and GPS track application
* Equipment for simultaneously charging multiple tablets, including adapters if needed
* Additional batteries for tablet computers
* Waterproof containers and envelopes to store paperwork and, if appropriate, completed questionnaires
* First aid kit
* Cell phones with SIM cards and chargers
* Internet transmission devices, such as hot spots

The field teams will be provided with ample supplies of these materials when they deploy to the field. The QCS teams will deliver additional supplies and replacements during travel between field teams.

## 3.12 Survey documentation

[CONTRACTOR] will develop three major documents associated with the survey: (1) the survey instrument, (2) the Interviewer’s Manual, and (3) the Supervisor’s Manual. Each of these will be adapted from guidance template documents developed by Feed the Future.

The *[COUNTRY] Feed the Future Zone of Influence Survey Instrument (2018-2019),* includes the following survey modules:

* Module 1: Household roster and demographics
* Module 2: Dwelling characteristics
* Module 3: Food security and resilience
* Module 4: Women’s nutrition and anthropometry
* Module 5: Children’s nutrition and anthropometry
* Module 6: Abbreviated Women’s Empowerment in Agriculture Index (A-WEAI) for primary female and male decisionmakers
* Module 7: Agricultural technologies and agricultural productivity
* Module 8: Household consumption expenditures
* Module [X] to collect data required by the USAID Mission

The draft survey instrument is provided in Attachment A.

An interviewer’s manual and a supervisor’s manual will be developed, based on the Feed the Future survey guidance manuals. Contents of these manuals are described in Section 3.17, Training, pretest, and pilot testing. Customization of the Interviewer’s Manual will entail providing detailed instructions on how to administer each module of the country-specific survey instrument. Customization of the Supervisor’s Manual will address any country-specific procedures to be followed by the supervisors, including guidance on the following topics:

* Deployment of field teams to clusters
* Logistical support to field teams, such as transportation, accommodations, electricity supply, and Internet access
* Communications and reporting
* Oversight of field teams and survey monitoring
* Community sensitization
* Household assignment
* Quality assurance of interviews
* Quality review of household data in the cluster
* Data backup
* Data transmission
* Responding to queries from central data management

The Interviewer’s and Supervisor’s Manuals will be customized by the Feed the Future [CONTRACTOR] in close collaboration with the survey subcontractor to ensure that the survey subcontractor’s procedures are fully aligned with procedural requirements for the survey.

**Translation.** All survey documentation, including the questionnaire, informed consent form, manuals, and training materials, will be translated into [NATIONAL LANGUAGE] by professional translators on the [SURVEY SUBCONTRACTOR] team or by professional translators in country. The documents will be translated and back-translated, in accordance with Feed the Future’s standard translation protocol.

The survey instrument will also be translated into any local language that is the native language of 10 percent or more of the population in the ZOI, using translation and back translation. In [COUNTRY], translation into [LOCAL LANGUAGE] will be required. All translated versions of the questionnaire will be provided to the field teams in hardcopy and loaded on the tablets.

**Paper questionnaire pretest.** A questionnaire pretest using the paper versions of the questionnaire will be implemented in-country to ensure that the questionnaire and each translation can be clearly understood. This pretest will include some cognitive assessment-type questions about selected questionnaire items; the selected items will be identified through discussions between BFS, Feed the Future [CONTRACTOR], and the [SURVEY SUBCONTRACTOR]. The questionnaire pretest will identify questions that may need to be reworded to improve understanding, changed for different response options, altered to fix problems with question flow and skip patterns, and corrected for issues with translations. This will help ensure optimal data quality for the survey being implemented. In addition, the questionnaire pretest will flag any questions in the core questionnaire that demonstrate an inability to elicit from respondents the information the questions were intended to capture. This will contribute to future improvements in the core ZOI questionnaire design and its administration

**Tablet-based pretest and pilot.** The questionnaire and data entry program will be tested at [CONTRACTOR’s] office to ensure that the data entry program is error-free and fully functional. Subsequently, during the training of trainers, the questionnaire, the data entry program, and the transmission procedures will all be tested. At the end of training, a pilot testing will serve as an end-to-end rehearsal of all content and survey procedures.

## 3.13 Survey staffing

The staff roles and responsibilities listed in Tables 4a and 4b will be followed to ensure a standardized, quality-focused approach to the survey implementation. Any deviation from the survey staffing plan outlined in Tables 4a (contractor) and 4b (subcontractor) will require review and approval by the USAID/BFS Monitoring and Evaluation Advisor and a formal modification to the study protocol.

Table 4a: The Feed the Future ZOI Survey (2018-2019) Staffing Plan: Central Office Staff and Responsibilities

| **Central office**  **staff position** | **Central office staff responsibilities** |
| --- | --- |
| Project director | The project director will serve as chief of party and will have overall responsibility for the survey quality and timeliness, including design, such as the protocol and questionnaire finalization; preparation, including various procedural, managerial, and training elements; direction; and oversight of the survey implementation, analysis, and report writing. The project director will serve as the primary point of contact with the USAID Mission, host country government, and the subcontractor, as applicable. The project director also will be the main point of contact on survey progress, quality, and adherence to budget, and will be the point of contact for the field manager on case completion issues. The project director will provide training to the survey subcontractor, if applicable, on translation, questionnaire pretesting, and listing procedures. The project director also will be responsible for the Country Report, including writing many sections of the report. The project director will work with the survey director to track survey progress and resource requirements. The project director will communicate needs for information technology, programming, and data management to the data processing manager. The project director will communicate directly with the survey director, sampling statistician, and data analysts for support in their functional areas. |
| Senior researcher | The senior researcher will provide high-level technical support for a broad range of survey activities, including supporting the development and customization of survey documentation that includes the questionnaire and technical manuals; managing version control of the survey documentation; managing translation activities; and coordinating logistical support. The senior researcher will provide quality control for all survey deliverables, oversee the work of the data analysts, and help coordinate the development of the Country Report, including maintaining the outline and schedule. The senior researcher will report to the project director. |
| Data processing manager | The data processing manager will develop and manage the customization of data processing documentation and systems for the survey, and oversee the programmers. The data processing manager will determine the requirements for the data entry programs, field check tables and data quality reports, and will be responsible for the creation of public use data sets that protect respondent confidentiality. The data processing manager will train the in-country data managers and serve as a resource for them and the data analysts who monitor data quality. The data processing manager will report to the project director. |
| Research assistant | The research assistant will support the project director, senior researcher, and data processing manager with their respective tasks potentially including conducting some in‑country tablet trainings, coordinating equipment procurement, monitoring survey progress on a day-to-day basis, and ensuring version control of survey documents. The research assistant will report to the senior researcher. |
| Sampling statistician | The sampling statistician will calculate the survey sample size, design the sample, select the first stage of the sample, compute design weights, oversee application of the household selection process to select the second stage, calculate response rates, and compute the final adjusted weights. The sampling statistician will report to the senior researcher. |
| CSPro programmer | The CSPro programmer will program the data entry screens and the field check tables, train the data entry staff, and assist in training interviewers and supervisors. The CSPro programmer will report to the data processing manager. |
| Data analyst | The data analyst will conduct analysis of survey data, including development of the analysis plan, calculation of indicator values from primary and secondary data, calculation of population estimates, development and quality control of tables in the country report, and quality control of all analysis. The data analyst will conduct other analyses requested by the USAID Mission. The data analyst will provide text for indicator analyses for the Country Report. The data analyst will report to the senior researcher. |

Table 4b: Feed the Future ZOI Survey (2018-2019) [SUBCONTRACTOR] ZOI PBS Staffing Plan: Field-based staff

| **Field-based**  **staff position** | **Field-based staff responsibilities** |
| --- | --- |
| Survey director | The survey director will be responsible for ensuring that all aspects of survey operations are implemented according to protocol. |
| Data manager | The data manager will respond to data quality reports generated in the field and communicates any problems that are discovered to field supervisors and survey management. The data manager will report the nature and scope of these problems and suggest solutions. |
| Information technology specialist | The information technology specialist will liaise with the technical teams and local non‑technical staff to ensure that the technology being used to implement the survey is available, functional, and well-understood. Duties will include survey hardware oversight (customs procedures as appropriate, maintenance, tracking); management of questionnaire updates; leveraging local networks for optimal data delivery; technical re-training for field staff as needed; and task-appropriate configuration, security, and training for non-survey hardware. |
| Social survey field manager | The social survey field manager will be responsible for leading the coordination and management of field operations, including the hardcopy questionnaire pretest, listing, pilot, and main fieldwork. |
| Agriculture survey field manager | The agriculture survey field manager will be responsible for leading the coordination and management of data collection related to the agriculture component of the study, including the hard copy questionnaire pretest, listing, pilot, and main fieldwork. |
| QCS Teams | Rotating regional QCS teams will visit the field teams once each week. The QCS teams will include an agriculture specialist, who will visit the field teams to observe data collection for the agriculture survey module, including GPS-based plot area measurement. The objective of the QCS teams will be to provide quality assurance and also to provide any material or moral support that the field teams need. The number of QCS teams required to provide appropriate coverage will be determined by the size and geographical distribution of the fieldwork. |
| Field supervisors | Each field team will have one field supervisor. The field supervisor will be responsible for the team and the day-to-day organization and supervision of the team’s work. The field supervisor will also meet with community leaders, manage the vehicle and driver, and coordinate room and board for the team. |
| Interviewers | Each field team will comprise five interviewers: two teams of two social survey interviewers each, plus an agricultural survey specialist. Each team of social survey interviewers will comprise one female and one male interviewer, with the dedicated agricultural specialist (male or female) working in coordination with the two-interviewer teams. The agricultural specialist will be responsible, in tandem with one of the other two interviewers, or alternatively the team supervisor, for conducting the agriculture interview (questionnaire Module 7) and measuring the fields for all eligible households. Interviewers will be responsible for successful and accurate completion of all assigned interviews. |
| Drivers | Each field team will be accompanied by one driver who will ensure that the field teams safely arrive at and return from the selected survey clusters. |

## 3.14 Pre-fieldwork activities

The interview teams will complete three major activities in each cluster before fieldwork: (1) community sensitization, (2) household listing, and (3) household selection. The [SURVEY SUBCONTRACTOR] will send a listing team to each cluster to complete the community sensitization and household listing. The listing team will comprise an experienced field supervisor, a lister, and a cartographer.

**Community sensitization.** The listing team will meet with a community leader to explain the purpose of the survey and to request community cooperation. The listing team will provide the community leader with a letter from [XXX] describing the survey and the benefits that will accrue to the country and community from survey findings. They will also share promotional materials like posters or brochures with community leaders and in central gathering places in the community.

While in the community and surrounding area, the listing team will gauge, as best as possible, the distance of farms from the listed households; identify options for food and lodging; ascertain availability of electricity and Internet access, and identify the languages or dialects spoken in the community.

**Household listing.** The household listing exercise will be completed approximately 6 weeks before the start of the pilot. The advance team will visit each selected EA to map, number, and list all structures, dwelling units, and households within the designated boundaries of the EA. The name of a responsible adult household member for each household will also be recorded. After the complete listing information for a selected EA is received in the central office, the staff will enter the information into an Excel spreadsheet and clean the listing data. The spreadsheet will then be encrypted and sent through a secure file transport protocol to a dedicated [CONTRACTOR] staff member.

**Household selection.** After all EA listing information has been received by [CONTRACTOR], the Feed the Future [CONTRACTOR] statistician will implement the household selection procedure. The final lists of randomly selected households, along with cluster and household identification numbers, will be sent to the Field Manager, who will assign clusters and provide the lists of selected households in those clusters to the Field Supervisors. The lists of selected households will be used in field management tasks, and will be programmed into the CSPro data capture system and loaded onto each tablet computer.

Community sensitization and listing procedures are described in detail in the Feed the Future Zone of Influence Survey Listing Manual. Household selection procedures are described in detail in the Sampling Manual. These materials are available on Agrilinks at the following URL: <https://agrilinks.org/post/feed-future-zoi-survey-methods>.

## 3.15 Training, tablet pretest, and pilot testing

Training, pretest, and pilot testing activities will occur over a 5-week period before fieldwork starts, according to the following schedule:

* Weeks 1–2: Training of trainers for Agriculture Specialists and Field Supervisors, including pretesting the data entry program, data transmission and receipt, and quality control procedures
* Weeks 3–4: Training of interviewers
* Week 5: Pilot testing

**Training of trainers**. In weeks 1 and 2, the Feed the Future [CONTRACTOR] Country Manager will work with Field Managers from the [SURVEY SUBCONTRACTOR] to train the staff selected as trainers for the main field staff training; these staff will also serve as rotating Quality Control and Support team members. Field Supervisors will also be trained with the trainers, where feasible.[[3]](#footnote-3) Training will be based on the following topics drawn primarily from the Interviewer’s and Supervisor’s Manual:

* **Introduction to the survey:** survey objectives, sample, survey modules, survey implementation, confidentiality, and field supervisor role
* **Preparing for fieldwork:** collecting materials, obtaining monetary advances for field expenses, arranging transportation and accommodations, and contacting local authorities
* **Questionnaire content:** household roster; informed consent; dwelling characteristics; household consumption expenditures; food security and resilience; Abbreviated Women’s Empowerment in Agriculture Index; women’s and children’s anthropometry; women’s dietary diversity, and infant and young child feeding; improved agriculture technologies, including sketching plot maps, measuring land size using GPS applications, and collecting data on crop productivity; and household consumption expenditures
* **Organizing and supervising fieldwork:** assigning households to field teams and tracking completion, handling pending interviews, observing interviews, monitoring and evaluating interviewer performance, conducting systematic spot checks of household composition, reducing non-response, maintaining motivation and morale, and completing work in a cluster
* **Data management:** distributing work, checking questionnaires for completeness, archiving data, backing up files including shape files, and transmitting data
* **Reporting and communications:** maintaining schedule and procedures for reporting to the field manager, and handling issues that require immediate communication

Hands-on training and practice sessions will cover the use of all technical equipment required for survey implementation, including tablet computers with apps for data entry and land area measurement using GPS, seca® scales and ShorrBoards.®

**Tablet pretest**. Near the end of the first week of training of trainers, the programmed survey instrument will be pretested. The pretest, to be conducted in rural areas near the training site, will to the extent possible include individuals who are similar to the planned survey respondents, including those who speak each of the local languages. The pretest will focus on the survey instrument—whether the flow between survey modules works well, whether all questions are comprehended, and whether the full range of appropriate responses is available. Simultaneously, the pretest will identify any problems with using the tablet, such as skip patterns and navigation between survey modules.

Any issues with the survey instrument and program will be communicated to the [CONTRACTOR] Data Processing Manager, who will see that corrections are made, documented, and tested during the second half of the supervisor’s training.

As soon as the survey instrument has been corrected, the revised version will be translated. When the program revisions have passed testing, the revised program will be downloaded from a Dropbox created by the [CONTRACTOR], and loaded on all tablets by the [SURVEY SUBCONTRACTOR] supervisory staff, at the express instruction of the Survey Director.

The pretest also will entail testing data transmission, extraction, and generation of field check table reports at the [CONTRACTOR] office. The [CONTRACTOR’S] Data Processing Manager will closely monitor the effectiveness of these systems, procedures, and activities and have any issues resolved.

The Country Manager will review procedures for addressing issues identified in the field check table reports with the [SURVEY SUBCONTRACTOR] Data Manager.

**Training of Interviewers**.**[[4]](#footnote-4)** In weeks 3 and 4, the Feed the Future [CONTRACTOR] Country Manager will work with the [SURVEY SUBCONTRACTOR] training team to train the interviewers. The training, based on the Interviewer’s Manual, will cover the following material:

* **Introduction to the survey:** survey objectives, sample, survey modules, survey implementation, confidentiality, interviewer’s role, assignment to supervisors, payment for services
* **Conducting the interview:** giving general guidance, approaching the household, building rapport, converting refusals, obtaining informed consent, ensuring privacy, using translations, asking questions, probing, following interview instructions on the questionnaire and tablet, noting differences between the printed questionnaire and tablet screens, and flagging issues to be discussed with the Field Supervisor
* **Questionnaire content:** household roster; informed consent; dwelling characteristics; household consumption expenditures; food security and resilience; A-WEAI; women’s and children’s anthropometry; women’s dietary diversity and infant and young child feeding; improved agriculture technologies and productivity, including sketching plot maps and land size measurement using GPS applications; and household consumption expenditures
* **Fieldwork procedures:** following field team members’ roles and responsibilities, using control sheet, managing the household interview, reporting to the field supervisor, following up missed interviews, ensuring high-data quality, and monitoring and review of interviewers’ performance
* **Entering and managing data on the tablet:** understanding the tablet and screen components, starting a questionnaire on the tablet, navigating the questionnaire, advancing through survey modules and groups, entering responses, dealing with refusals, troubleshooting, transmitting data
* **Completing survey modules:** knowledge of general instructions, administering each survey module, asking questions, and entering responses question by question
* **Anthropometry:** women’s and children’s measurement and quality control
* **Improved agriculture technologies:** understanding instructions on three main VCC in [COUNTRY], understanding improved agriculture technologies and storage, sketching plots, measuring crop productivity, and measuring land area size using GPS applications

Hands-on training and practice sessions will cover the use of all technical equipment required for survey implementation, including tablet computers with apps for data entry and land area measurement, seca® scales and ShorrBoards.®

**Training in human subjects protections**. All trainees—QCS team members, Field Supervisors, Interviewers, Field Managers, the Data Manager, and anyone who might see the survey data—will be trained in human subjects protections, including a brief history of human subjects protections, the elements of informed consent, and confidentiality. Significant attention will be dedicated to the elements of informed consent, particularly the need to explain the following information:

* Purpose of the research
* Duration of the respondent’s participation
* General content of questions to be asked
* Any foreseeable risks to the respondent
* Any benefits to the respondent or others from the research
* Maintenance of confidentiality in records that identify participants
* Points of contact for questions about the survey or about respondent rights
* Statement that participation is voluntary, refusal to participate will involve no penalty or loss of benefits to which the respondent is otherwise entitled, and the respondent may discontinue participation at any time without penalty or loss of benefits.

At the conclusion of the human subjects protection training, each trainee will sign a statement of confidentiality. Signed statements of confidentiality will be retained in the Feed the Future [CONTRACTOR] office in [CITY, COUNTRY] for 3 years.

**Pilot test**. At the conclusion of the interviewers’ training, the entire field team will conduct a pilot test of all survey procedures, logistics, systems, the revised instrument, and the translations. The pilot test will be conducted in rural communities that are in the ZOI but that are not part of the sample. The pilot test will last one week. At the end of each day, everyone participating in the pilot test will meet to discuss issues and challenges and to identify solutions. Proposed solutions will be tested on subsequent days.

At the conclusion of the pilot, all proposed changes to the survey instrument, translations, procedures, logistics, and systems will be documented and prioritized. The Country Manager, the Research Associate, and the Assistant Country Manager will work with the [SURVEY SUBCONTRACTOR] Survey Director, Data Manager, and QCS specialists to revise the manuals for supervisors and interviewers, and plan any needed retraining.

Proposed revisions to the survey instrument and data entry program will be communicated to the Data Processing Manager, who will coordinate implementation, documentation, and testing of the final changes. The Country Manager will ensure the alignment of the survey instrument, translations, and translated data entry program. Revisions to the instrument and data entry program and other preparations for fieldwork may take several days, so there will be a brief hiatus between the pilot and the initiation of fieldwork. After the program has passed testing, the revised program will be downloaded from [CONTRACTOR’S] Dropbox and loaded onto all of the tablets by the supervisory staff of the in-country survey organization, at the instruction of the Survey Director.

## 3.16 Fieldwork

This section describes how the team structure and field support will be implemented for fieldwork.

### Team structure: Each field team deployed will comprise one Field Supervisor, two teams of two interviewers each for the social survey component, and one interviewer for the agricultural survey component. Because of the gender-sensitive nature of some aspects of the social survey questionnaire, female interviewers will be needed to interview female respondents, which means that each interviewer team will have at least one female interviewer. The supervisor will need to organize logistics such that the agriculture interviewer is not working alone to implement the agriculture modules of the questionnaire. Each field team will have its own vehicle.

### Field support: Each field team will be visited regularly by a QCS team to ensure that field teams have the supplies needed and that any problems that require central administration support receive prompt attention. The QCS teams also will provide moral support for the interviewer teams and provide an additional layer of field supervision and quality assurance.

# 4. Data Handling and Analysis

## 4.1 Data entry programming and testing

Feed the Future [CONTRACTOR] will capture data on Android tablets and use the Census and Survey Processing System (CSPro) software for data entry.

Data entry programming and testing is a multistage process that starts approximately 5 months before fieldwork. Programming will start when the basic survey instrument is frozen, meaning that all survey modules and questions have been identified and the flow of the questions, including skip patterns, have been determined. At this point, the data management team will identify the programming specifications and testing scenarios that differ from the standard data capture system. Because Feed the Future has developed a standard CSPro set of programs, programmers then will adjust the instrument and develop the variable dictionaries. Note that the specifications, program, and dictionary may be modified to address problems identified during the questionnaire pretest. The programmed instrument will be tested, and, if changes are required, the specifications, program, and dictionary will be modified until the programmed instrument passes testing. The programmed source-language instrument will be frozen at this point for training.

Before the training of trainers and the tablet pre-test, the tablets will be configured and the data entry program in all translated languages will be loaded onto the tablets in [COUNTRY]. The [CONTRACTOR] should allow at least 5 weeks for shipping and customs clearance; tablets should arrive at least 2 weeks before the tablet pre-test to allow time for configuration. Tablets will be consigned to the USAID Mission, a Feed the Future implementing party with duty free status, or the in-country [SURVEY SUBCONTRACTOR] for customs clearance.

The tablets will be used during the training of trainers, which is the first part of the main training. During the training of trainers, the survey instrument and data entry program will be pretested. Also during the pretest, data transmission to [CONTRACTOR] servers will be tested, along with generation of the data quality reports. Although it will not be possible to modify the instrument substantially at this point because the logic in the data entry program will have been rigorously tested and finalized, provisions have been made for possible minor issues identified during training that might require modification during the pretest. These might include incorrect translations, missing response options, or issues with skip patterns or navigation through the data entry program. To address any errors found during the pretest, the programming, translations, and dictionary will be revised and retested until the program passes the testing procedures. The revised program will be shared with the in-country Data Manager through a Dropbox and loaded on all tablets by the supervisory staff of the in-country survey organization, at the instruction of the [SURVEY SUBCONTRACTOR] Survey Director.

The tablets also will be used for data entry during the interviewer training and pilot. If any issues are identified during the interviewer training and pilot, the data entry programming will be revised and re-tested, as described earlier. No further additions or revisions will be made to the questionnaire or data entry program after these final modifications are made.

## 4.2 Field quality assurance systems

**Remote supervision and monitoring of progress.** Feed the Future [CONTRACTOR] will use two quality assurance systems to ensure documentation of sample completion and the quality of data entry. These systems are a data management system and field check table reports.

The data management system is traditionally used in surveys to assign and track completion of selected households or “cases” in each cluster. The Field Manager will provide the field supervisor with lists of selected households, including all of the households in the cluster selected for interviewing. The Field Supervisor will assign cases to interviewing teams from among these selected households. At the end of each workday, the Field Supervisor will record the status of each interviewer’s work in the data management system.

The data management system also will be used to verify that the data are complete and internally consistent. The Field Supervisor will review household records and data collection reports to verify that all appropriate survey modules have been completed and that eligibility for survey modules is correct. The Field Supervisor will send field teams back to households to complete or correct interviews as necessary, and may conduct some of these follow up interviews.

When questionnaires have passed quality review, the Field Supervisor will transmit the record to Feed the Future [CONTRACTOR].

**Field check tables** will be generated by Feed the Future [CONTRACTOR] using aggregated data. Field check tables provide a wider view of the data than the data management system, and will be used to identify data collection problems at the interviewer, team, and cluster levels. The field check table reports will allow the Field Supervisor to evaluate the team’s performance for response rates, missing data, outliers, age displacement, and value heaping.

Feed the Future [CONTRACTOR] will track performance, implementation, data uploading, and data quality. The Feed the Future [CONTRACTOR’S] Data Manager will send reports weekly to the Country Manager and the [SURVEY SUBCONTRACTOR] Data Manager throughout fieldwork. The [SURVEY SUBCONTRACTOR] Data Manager will work with the Field Manager to see that any observed problems are addressed promptly through retraining, as necessary, and to provide positive feedback for teams that are performing well.

**Field supervision.** Rigorous field supervision will be provided throughout the course of fieldwork by several layers of supervisory staff to ensure the quality of the data. Front line data quality assurance in the field will be provided by the Field Supervisors. Field Supervisors will review each questionnaire summary closely before data are transmitted. The Field Supervisors will also observe all interviewers as they conduct some interviews, spot check a random sample of interviewed households, and provide additional instruction to interviewers as needed. Field QCS teams will visit the field teams during fieldwork to provide supervision and additional quality assurance.

## 4.3 Data transmission

After a final review of questionnaires, Field Supervisors will send data from their tablet to a server at [CONTRACTOR’s] office, where all survey data will be stored. Data files will be encrypted for transmission over secure channels to a secure server.

Before the initial transmission of the data from the field, the data transmission system will be prepared and tested for receipt of data from the field. This system will undergo testing at the outset of the supervisor training and again during the pilot testing. Field Supervisors will gain experience in transmitting data from their tablets to the server during training.

The data will be transmitted to the [CONTRACTOR] server as soon as possible, depending on Internet availability. Field teams will use hotspots so that they can transmit data from areas with no Internet service.

Problems can occur during the process of transmitting data from the field that can prevent successful transmission, such as low Internet bandwidth or problems with the tablets, including damaged hard drives and screens. Procedures will be in place to address these problems. The Feed the Future [CONTRACTOR] will work closely with the [SURVEY SUBCONTRACTOR] on Internet access to identify the most reliable approaches to access the Internet, plus several back-up methods to ensure frequent, regular data transmissions from the field. Damaged tablets will be returned to [CONTRACTOR] office for data extraction.

## 4.4 Data management

**Receipt of data.** Data will be received daily from the field by a secure server at [CONTRACTOR]. A report on the data received will be generated for comparison with a field report of data sent. Daily the Data Processing Manager or a designee will review the report from the field against the report generated with data on the [CONTRACTOR] server. Discrepancies in these reports will be noted and sent to the Country Manager and other team members as appropriate for review. The Data Processing Manager will work with the [SURVEY SUBCONTRACTOR] Data Manager to review and, where possible, address the discrepancies in household records received.

**Quality control.** Computerized quality control reports will be generated on data received by Feed the Future [CONTRACTOR]. These reports include both field check tables of larger trends and secondary editing reports on consistencies in each questionnaire. Field check tables will monitor age heaping and displacement, calculate response rates, and check anthropometry data. Secondary editing reports will check value ranges, skip patterns, and consistency across variables; and identify missing data, outliers, and other consistency issues. Daily the [SURVEY SUBCONTRACTOR] Data Manager will review quality control reports generated on data received. The Data Processing Manager will review quality control reports at least weekly. Key issues will be identified and noted on the reports, which will be sent to the Country Manager and other survey staff.

The [SURVEY SUBCONTRACTOR] will address the following issues:

**If an error is caught and the team has not left the cluster**, the interviewing team can return to the household and correct the observed error. The error discovered will be a topic for discussion during the team’s evening debrief, where the error will be brought to the attention of the field team and some retraining will be implemented to ensure that the error does not recur.

**If an error is caught after the team has left the cluster, but the implications of the error are limited**, for example, to a single household or a single respondent in a household, the response to the discovery of the error will be to bring the error to the attention of the field team and engage in some retraining to ensure that the error does not recur. However, the team will not return to the cluster in which the error was identified.

**If an error is caught after the team has left the cluster, and the implications of the error are significant and widespread** (for example, teams use bathroom scales bought in the local market to take weights, rather than seca scales), the teams involved will be required to return to the clusters to rectify the problem.

The Country Manager will work with the Survey Director and Field Supervisors to ensure interviewers receive retraining, when necessary, and to address any other issues.

## 4.5 Calculation of response rates and weights

Design weights will be calculated based on the separate sampling probabilities for each sampling stage and for each cluster, using the following factors and calculations:

1 first-stage sampling probability of the i-th cluster in stratum h.png first-stage sampling probability of the *i*-th cluster in stratum *h*

2 second-stage sampling probability within the i-th cluster - hh selection.pngsecond-stage sampling probability within the *i*-th cluster (household selection)

The first-stage probability of selecting cluster *i* in the sample is:

3 The first-stage probability of selecting cluster i in the sample is.png

The second-stage probability of selecting household in cluster *i* is:

4 The second-stage probability of selecting household in cluster i is.png

Where:

5 number of sample clusters selected in stratum h.png number of sample clusters selected in stratum *h*

6 total population in the frame for the i-th sample cluster in stratum h.png = total population in the frame for the *i*-th sample cluster in stratum *h*

7 total population in the frame in stratum h.png total population in the frame in stratum *h*

8 number of sample households selected for the i-th sample cluster in stratum h.png number of sample households selected for the *i*-th sample cluster in stratum *h*

9 number of households listed in the household listing for the i-th sample cluster in stratum h.png number of households listed in the household listing for the *i*-th sample cluster in stratum *h*

The overall selection probability of each household in cluster *i* of stratum *h* is the product of the selection probabilities of the two stages, and the design weight for each household in cluster *i* of stratum *h* is the inverse of its overall selection probability.

The sampling weight will be calculated with the design weight corrected for non-response for each of the selected clusters. Response rates will be calculated at the cluster level as ratios of the number of interviewed units over the number of eligible units, where units could be household or individual, such as woman or child. The household sampling weight will be calculated by dividing the household design weight by the household response rate. The individual sampling weight will be calculated by dividing the household sampling weight by the individual response rate. Further information on the sample weights is available in the Sampling Guide.[[5]](#footnote-5)

## 4.6 Data analysis

For the Feed the Future ZOI Survey (2018-2019) analysis, the Feed the Future [CONTRACTOR] will calculate indicators using Feed the Future standard guidance in the *Feed the Future Indicator Handbook*.[[6]](#footnote-6) The handbook provides a detailed description of the calculation of each of the Feed the Future indicators, and also directs analysts to additional standard guidance materials for specific indicators.

The *Feed the Future Indicator Handbook*, as well as the *Guide to Feed the Future Statistics*, will inform the [CONTRACTOR] Feed the Future ZOI Survey (2018-2019) Data Treatment and Analysis Plan. Analysts will refer to this Data Treatment and Analysis Plan before preparing tabulations of indicators and their disaggregates that will be reported in the Country Report and FTFMS.

Feed the Future [CONTRACTOR] will tabulate indicator values for all indicators and disaggregates, as specified in the *Feed the Future Indicator Handbook* and *Guide to Feed the Future Statistics*. For example, FIES will be shown for all households and also be disaggregated by gendered household type—male and female adult, female adult only, male adult only, and child only households. Each point estimate will include the unweighted *N*, the weighted standard deviation and confidence intervals, and the design effect. Statistical tests of differences for change over time and differences among groups will be conducted.

The total and disaggregated indicator values will be entered in the FTFMS by Feed the Future [CONTRACTOR] staff. Indicator values will not be reported for categories with fewer than 30 cases.

The majority of the indicator analysis, with the possible exception of FIES, will be done using Stata statistical analysis software. SAS, SPSS, and R software may also be used for data cleaning and management, as well as the FIES analysis. For the child anthropometry data, *z*-scores will be calculated using the World Health Organization “igrowup” programs,[[7]](#footnote-7) which were also used for the baseline ZOI survey data. The logic for the World Health Organization “igrowup” anthropometry analysis is programmed into CSPro for the Feed the Future ZOI Survey (2018-2019), which obviates the need for data analysis using other software.

The Country Report analysis will follow the *Guide to Feed the Future Statistics* and Country Report templates. These templates will serve to standardize the content of the Feed the Future ZOI Survey (2018-2019) indicator assessment country reports, especially the standard tables in the reports. The Data Treatment and Analysis Plan will include guidance on analyzing data for the [COUNTRY]-specific survey modules and tables for those indicators.

In addition to entering indicators in FTFMS and including Feed the Future ZOI Survey (2018-2019) findings in the Country Report, Feed the Future [CONTRACTOR] may also present findings in a webinar for BFS, USAID Mission, and host country government staff. Webinars usually will be conducted after the Country Report analysis and submission.

## 4.7 Preparation of data sets for public use

Under the terms of the United States President’s Executive Order, *Making Open and Machine Readable the New Default for Government Information,* and the Administration’s Open Data Policy, BFS will make data from Feed the Future [CONTRACTOR] performance monitoring surveys available as open and machine-readable public use data sets after the Country Reports are published.

An essential step in the preparation of Feed the Future [CONTRACTOR] data sets for public use is ensuring respondent privacy and confidentiality. Respondent privacy and confidentiality will be ensured and protected by removing identifying information from the data sets, including direct identifiers, such as names, addresses, GPS coordinates, or any other personally identifying number or characteristic, and indirect identifiers, such as data that do not specifically identify a person or location, but that can be used to do so, one variable at a time or in combination, because they uniquely describe a person or household.

The Data Processing Manager or designee is responsible for developing and implementing a Disclosure Analysis Plan and Record of Implementation (DAP) for each Feed the Future [CONTRACTOR] data set intended for public use, according to the following steps:

1. Collect and review USAID, Institutional Review Board (IRB), and other relevant institutional review or approval documents and informed consent forms to ensure any restrictions on release of data for public use are satisfied or renegotiated, if possible.
2. Review the data file for the presence of direct identifiers, list all direct identifiers and geographic identifiers below the district level, and delete them from the file. Ensure that cluster identification numbers are unique to the survey and cannot be linked to external data sets.
3. Manage indirect identifiers as follows:

(a) Review all questionnaires for country-specific questions that could capture externally observable information about the respondent, including textual and qualitative data.

(b) Run cross tabulations of standard and country-specific indirect identifiers by district and identify data items that occur at very low frequencies in each district.

(c) Identify viable external data sources that can be used to compare outlier status of identified low-frequency variables in each district, if possible.

(d) Document the proposed approach for handling identification-risk data items.

(e) Obtain review and approval of the proposed approach from Feed the Future [CONTRACTOR] supervisory review staff designated by the Data Manager; following internal review and approval, send the proposed approach to BFS for review and approval.

(f) Suppress or recode items that could pose an indirect risk to respondent confidentiality and anonymity.

# 5. Plan for Publication of Findings and Posting of Open Data Set

## 5.1 Dissemination, notification, and reporting events

Findings from the Feed the Future ZOI Survey (2018-2019) ZOI survey will be incorporated in the Feed the Future ZOI Survey (2018-2019) Country Report. This report will describe the purpose of the Feed the Future ZOI Survey (2018-2019) indicator assessment, the sources of data for each indicator, the sample design for the ZOI survey, the procedures to collect data, limitations, and findings for all Feed the Future indicators, plus additional survey modules requested by the USAID Mission.

At the request of the USAID Mission, Feed the Future [CONTRACTOR] will present findings to interested parties in a webinar.

The Country Report will be reviewed and approved by BFS, the USAID Mission, and the host country government. The approved, 508-compliant report will be provided to BFS for posting on the Feed the Future website, Agrilinks, and the Development Experience Clearinghouse. BFS will post the open data set on USAID.gov.

## 5.1 Handling unexpected or adverse events

This section describes responses to unexpected or adverse events that may occur during the study and ways to minimize their impact on the study outcome.

**Survey schedule:** In rare circumstances, the survey schedule may be modified; in other words, some activities listed in Table 1 may take place simultaneously or on a delayed schedule to accommodate weather, religious holidays, or any political uncertainties, such as elections.

**Inaccessible EAs:** During fieldwork, some EAs may become inaccessible to the field teams. This can happen for a number of reasons, including physical limitations, such as a rainy season that washes out the access roads to the EA, and security issues, such as political instability, that make it unsafe for interviewers. Consequently, data may not be collected in the affected EAs. To compensate for a possible shortfall in the number of households required for data collection, the [CONTRACTOR] will draw a random-generated reserve sample as part of the initial sample draw.

**Dropouts or temporary absences:** The [CONTRACTOR] should plan to train extra interviewers that will serve as back-up in case any interviewer drops off the survey. All field supervisors will be trained on all aspects of data collection and will serve as back-up for temporary absences of field interviewers due to health or family emergencies.

**Security risks:** In ZOI areas that might pose security risk to the interviewers, security guards provided by the [SUBCONTRACTOR] should accompany the teams.

# 6. Implementing Organization and Key Staff

[CONTRACTOR] will direct the ZOI survey. Founded in [YEAR], [CONTRACTOR] is a leading survey research organization that conducts research for the U.S. Government and other federal and international clients. [ORGANIZATION] is the prime contractor on the Feed the Future [CONTRACTOR] project. For the Feed the Future ZOI Survey (2018-2019), [CONTRACTOR] will lead planning and design, oversee implementation, manage and analyze the data, develop the country report, and provide the public use data sets. [CONTRACTOR] also will interact with the host country authorities and subcontract the survey subcontractor. A survey organization based in COUNTRY that has extensive experience conducting large-scale household surveys will be subcontracted to conduct the fieldwork.

Following is a list of key staff positions with [CONTRACTOR] involved in the Feed the Future ZOI Survey (2018-2019):

* + **Survey Coordinator [NAME]**,background
  + **Country Manager [NAME]**, background
  + **Sampling Statistician [NAME]**, background
  + **Data Analyst [NAME]**, background

# Appendix A: Feed the Future ZOI Survey (2018-2019) Instrument

# Appendix B: Feed the Future ZOI Survey – Standard Gantt Chart

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Feed the Future Zone of Influence Survey Tasks and Timeline** | **MONTH** | | | | | | | | | | | | | | | | | | | |
|  | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 |
| 1 | Activity planning |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 2 | Inception visit |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 3 | Develop plan for obtaining ethical review from federalwide-certified and in-country IRB |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 4 | Prepare the study design and accompanying implementation plan |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 5 | Develop and issue RFP (if required) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 6 | Prepare the sampling design |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 7 | Coordinate with national statistical office to select PSUs |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8 | Prepare the analysis plan |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 9 | Undertake country-specific customization of the core questionnaire (paper version) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 10 | Questionnaire translation (paper version) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 11 | Submit application for review to the IRB |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 12 | Establish range values for purposes of implementing range checks |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 13 | Prepare unit conversion tables |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 14 | Subcontract to local partner organization |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 15 | Implement questionnaire pretest |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 16 | Material provisioning (tablets, scales, and height boards) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 17 | Develop pretest and pilot protocols |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 18 | Questionnaire programming (either for tablets or for data entry program) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 19 | Preparation of manuals: |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | 19a - Interviewer Manual |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | 19b - Supervisor Manual |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | 19c - Fieldwork Organization Manual |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | 19d - GPS Manual |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | 19e - Quality Control and Support Team Manual (rotating supervisory team) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | 19f - Listing Manual |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 20 | Develop field check tables |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 21 | Prepare data structure and codebook |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 22 | Develop and code programming specifications (tablets only) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 23 | Prepare data cleaning plan |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 24 | Develop data monitoring plan |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Feed the Future Zone of Influence Survey Tasks and Timeline** | **MONTH** | | | | | | | | | | | | | | | | | | | |
|  | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 |
| 25 | Develop fieldwork management and monitoring plan |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 26 | Develop interviewer training plans and supporting materials |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | 26a - Training plan |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | 26b - Agenda (facilitator and trainee versions) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | 26c - Attendance sheets |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | 26d – Quizzes |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | 26e - Role play exercises |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | 26f - Demonstration of field check tables and interpretation |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | 26g - Demonstration of real-time remote fieldwork monitoring (if planned) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | 26h - Tablet training materials (if relevant) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | 26i - Agriculture-specific training materials |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | 26j - Anthropometry training materials (if relevant) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | 26k - Biomarker training materials (if relevant) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | 26l - Supervisor training materials (incl. assignment and control sheets) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | 26m - Data entry staff and supervisor training plan and materials |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | 26n - IT staff training plan and materials (if relevant) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 27 | Implement listing operation |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 28 | Implement cleaning of listing data and selection of households (on a rolling basis) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 29 | Ensure that IRB approval has been received |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 30 | Implement training of trainers |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 31 | Implement pretest (as part of training of trainers) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 32 | Implement main training |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 33 | Implement pilot (as part of main training) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 34 | Implement data entry/data management pilot as part of all-systems fieldwork pilot |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 35 | Prepare data weighting protocol |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 36 | Implement fieldwork |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 37 | Generate field check tables |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 38 | Weight the data |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 39 | Prepare protocol for rendering data suitable for public use |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 40 | Clean the data |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 41 | Prepare data quality assessment memo |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 42 | Analyze the data |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 43 | Prepare final report tables |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 44 | Draft final report text |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | **Feed the Future Zone of Influence Survey Tasks and Timeline** | **MONTH** | | | | | | | | | | | | | | | | | | | |
|  | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 |
| 45 | Prepare internal use data files (maintains some PII, e.g., GPS coordinates) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 46 | Prepare public use data files (excludes PII) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 47 | Enter values in Feed the Future Monitoring System |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Notes: RFP – request for proposal; PSU – primary sampling unit; IRB – institutional review board; PII – personally identifiable information | | | | | | | |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

\* This Gantt chart is predicated on the availability of existing core survey documentation: questionnaire, manuals, data entry program, etc. that need only be customized according to country-specific details. Addition of new questions, modules, or procedures will require considered revision and extension of the timeline represented in this chart.

1. Diana Maria Stukel. 2017. *Sampling Guide for Population-Based Surveys in Support of Feed the Future Zone of Influence Indicators.* Washington, DC: Food and Nutrition Technical Assistance Project, FHI 360. Available for download from <https://agrilinks.org/post/feed-future-zoi-survey-methods>. [↑](#footnote-ref-1)
2. Further descriptions and calculations on adjustments are available in the Sampling Guide. Diana Maria Stukel. 2017. *Sampling Guide for Population-Based Surveys in Support of Feed the Future Zone of Influence Indicators.* Washington, DC: Food and Nutrition Technical Assistance Project, FHI 360. [↑](#footnote-ref-2)
3. Some survey subcontractors may need to select and train Field Supervisors during the main training; this is an acceptable approach to implementation, and alternate planning and training procedures are available to support this approach. [↑](#footnote-ref-3)
4. If the survey subcontractor’s standard practice is to train Field Supervisors with Interviewers, the training program will be modified to accommodate this training. The Field Supervisor’s Manual will be used to train the Field Supervisors. [↑](#footnote-ref-4)
5. The Feed the Future Sampling Manual is available at the following URL: <https://agrilinks.org/post/feed-future-zoi-survey-methods> [↑](#footnote-ref-5)
6. Feed the Future Indicator Handbook: Definition Sheets. Available at: <https://feedthefuture.gov/progress>

   [↑](#footnote-ref-6)
7. The “igrowup” programs are available for download in SPSS, SAS, STATA, R, S-Plus, or WHO Anthro at <http://www.who.int/childgrowth/software/en/> [↑](#footnote-ref-7)