Survey Implementation

Document

Survey Protocol

[COUNTRY] [YEAR]

*Feed the Future Phase Three Zone of Influence Round 1 Indicator Assessment*

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# Instructions

This document is designed as a template that can be modified for each Phase Three Zone of Influence Round 1 Indicator Assessment. The content and the text have been pre-approved by the Bureau for Resilience, Environment, and Food Security and should be modified where noted. The following conventions are used in this template to indicate where modifications should or may be made:

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* Where a choice needs to be made between two or more text options, the options are highlighted in green. Retain only the option that applies to your country, and remove the green highlighting.
* 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. Address the instructions by customizing or deleting the text.

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# Abbreviations

AAS Annual Agricultural Survey

BMI body mass index

CAPI computer-assisted personal interviewing

COR Contracting Officer’s Representative

CSPro Census and Survey Processing System

DHS Demographic and Health Survey

EA enumeration area

FIES Food Insecurity Experience Scale

GPS Global Positioning System

HAZ height-for-age z-score

ICDM In-Country Data Manager

IRB Institutional Review Board

LSMS Living Standards Measurement Study

MDD-W minimum dietary diversity for women

P2 phase two

P3 phase three

PBS population-based survey

PPP purchasing power parity

PPS probability proportional to size

QCS quality control and support

REFS Bureau for Resilience, Environment, and Food Security

SAM severe acute malnutrition

SIO Survey Implementing Organization

TOT training of trainers

USAID United States Agency for International Development

WHZ weight-for-height z-score

ZOI Zone of Influence

# Introduction

Feed the Future seeks to reduce poverty, hunger, and malnutrition among women and children, and to increase income, resilience, women’s empowerment, dietary diversity, and appropriate feeding practices, and improve hygienic environments. Program efforts are designed to impact the populations in the Zone of Influence (ZOI) in Feed the Future target countries, including [Country]. One of the main tools to track progress in achieving Feed the Future’s high-level objectives is a set of population-based survey (PBS) indicators computed using data collected through household surveys every four years.

The purpose of the [Year(s)] Feed the Future [Country] Phase Three Zone of Influence (P3-ZOI) Round 1 Indicator Assessment, hereafter referred to as the Round 1 Indicator Assessment, is to quantify key indicators related to poverty, hunger, malnutrition, and related household characteristics in the selected P3-ZOI in [Country] and to provide a basis against which to measure progress toward a 2030 performance target for increasing the proportion of women in the Feed the Future ZOI who consume a nutritious diet. The primary audiences for this information are U.S. Government interagency partners, the United States Agency for International Development (USAID) Bureau for Resilience, Environment, and Food Security (REFS), USAID [Country], the [Country] government, and development partners.

Primary data for the Round 1 Indicator Assessment are derived from the [Year(s)] [Country] P3-ZOI Round 1 Survey (hereafter, the Round 1 Survey), and secondary data are derived from the [Year] [Country] Demographic and Health Survey (DHS) and the [Year] [Country] Annual Agricultural Survey (AAS)/Living Standards Measurement Study (LSMS). [Contractor] will lead the implementation of the Round 1 Indicator Assessment with in-country survey support from the [in-country Survey Implementing Organization].

This protocol describes the standards and procedures to implement the Round 1 Indicator Assessment, including the scope of the assessment, methods and procedures for collecting primary data in the Round 1 Survey, post-survey assessment activities, limitations, and [Contractor] organization and key staff. A list of [regions/districts/communes/counties] that comprise the P3-ZOI, the Round 1 Indicator Assessment Gantt chart, and a detailed staffing plan for the assessment are included in appendices. A safety and security plan is also included as an annex.

# Scope of the assessment

## 2.1 Geographic focus

The geographic focus of the Round 1 Indicator Assessment is the P3-ZOI, where Feed the Future programs in [Country] are expected to have the most impact on poverty, hunger, and malnutrition. The P3-ZOI in [Country] covers [regions/districts/communes/counties]. **Figure 1** is a map of the P3-ZOI.

The list of [regions/districts/communes/counties] provided in **Appendix A** is used to determine the sample frame for the Round 1 Survey. Details on the sampling design for the Round 1 Survey are presented in Section 3.3.2 of this protocol.

Figure 1. Map of P3-ZOI in [Country]

[Insert P3-ZOI map]

## 2.2 Indicators

[Contractor] will generate ZOI-level estimates for [X] indicators. [X (spell out number)] indicators will be computed directly from the Round 1 Survey data, and the remaining [X] indicators will be computed using secondary data from the [Year(s)] [Country] DHS and from the [Year(s)] [Country] AAS/LSMS. See **Table 1** for the list of indicators to be reported for the Round 1 Indicator Assessment.

Table 1. List of Indicators to be Reported for the P3-ZOI Round 1 Indicator Assessment

|  |  |
| --- | --- |
| **Indicators computed using P3-ZOI Round 1 Survey data** | |
| Economic status | * EG-j: Prevalence of poverty: Percent of people living on less than $2.15/day 2017 PPP |
| * EG-k: Depth of poverty of the poor: Mean percent shortfall of the poor relative to the $2.15/day 2017 PPP poverty line |
| * EG-i: Prevalence of near-poor: Percent of people who are ‘near-poor’, living on 100 percent to less than 125 percent of the $2.15 2017 PPP poverty line |
| * EG-g: Percent of households below the comparative threshold for the poorest quintile of the asset-based Comparative Wealth Index |
| Food insecurity | * EG-e: Prevalence of moderate and severe food insecurity in the population, based on the Food Insecurity Experience Scale |
| Resilience | * RESIL-a: Ability to recover from shocks and stresses index |
| Women’s empowerment | * EG3-i: Five Domains of Empowerment score for women |
| Women’s dietary intake | * HL.9.1-d: Percent of women of reproductive age consuming a diet of minimum diversity (MDD-W) |
| Children’s nutritional status (anthropometry) | * HL.9-a: Prevalence of stunted (HAZ < -2) children under 5 (0–59 months) * HL.9-b: Prevalence of wasted (WHZ < -2) children under 5 (0–59 months) * HL.9-i: Prevalence of healthy weight (WHZ ≤ 2 and ≥-2) among children under 5 (0–59 months) |
| Water, sanitation, and hygiene | * HL.8.2-a: Percent of households with access to a basic sanitation service |
| * Percent of households that are water insecure, based on the Brief Water Insecurity Experiences Scale |
| **Indicators** **computed using DHS data** | |
| Water, sanitation, and hygiene | * HL.8.2-b: Percent of households with soap and water at a handwashing station on premises |
| Children’s dietary intake | * HL.9.1-a: Percent of children 6-23 months receiving a minimum acceptable diet |
| * HL.9.1-b: Prevalence of exclusive breastfeeding of children under 6 months of age |
| Women’s and children’s nutritional status (anthropometry) | * HL.9-a: Prevalence of stunted (HAZ < -2) children under 5 (0–59 months) |
| * HL.9-b: Prevalence of wasted (WHZ < -2) children under 5 (0–59 months) |
| * HL.9-i: Prevalence of healthy weight (WHZ ≤ 2 and ≥-2) among children under 5 (0–59 months) |
| * HL.9-d: Prevalence of underweight (BMI < 18.5) women of reproductive age |
| **Indicators computed using [AAS/LSMS] data** | |
| Agriculture | * EG.3.2-a: Percent of producers who have applied targeted improved management practices or technologies |
| * EG3-h: Yield of targeted agricultural commodities within target areas |

AAS=Annual Agriculture Survey, BMI=body mass index, HAZ=height-for-age z-score, LSMS=Living Standards Measurement Study, PPP=purchasing power parity, WHZ=weight-for-height z-score

In addition to the indicators identified in **Table 1,** USAID [Country] has opted to collect descriptive information on climate adaptation in the Round 1 Survey using a module developed by REFS.

## 2.3 Value chain commodities for secondary analysis

USAID [Country] has selected [list of targeted value chain commodities] as the targeted value chain commodities for computing agriculture indicators from AAS/LSMS data. For indicator EG3.2-a, “percent of producers who have applied targeted improved management practices or technologies,” USAID [Country] will identify the targeted improved management practices and technologies for each value chain commodity and the category under which the targeted improved management practices and technologies are promoted (e.g., crop genetics, livestock management, irrigation, climate mitigation, or value-added processing).[[1]](#footnote-2)

## 2.4 Capacity strengthening

Capacity strengthening activities will be integrated throughout all stages of the survey and will be tailored to the strengths and needs of stakeholders, with an explicit focus on strengthening the capacity of a local Survey Implementing Organization (SIO) that has been selected to conduct in-country fieldwork tasks for the Round 1 Survey. [Contractor] will conduct an initial capacity assessment of the SIO and develop a capacity strengthening plan to be submitted for USAID approval. At the end of the indicator assessment, [Contractor] will submit to USAID a final capacity strengthening report that includes a summary of the capacity strengthening activities implemented with key outcomes and results.

## 2.5 Task list, deliverables, and proposed schedule

The Round 1 Indicator Assessment tasks, associated deliverables, and proposed schedule for preparing for and implementing the Round 1 Survey, cleaning and analyzing data, and reporting findings are shown in **Table 2**.

The table includes a list of deliverables associated with each task and whether the deliverable requires USAID approval[[2]](#footnote-3) (in bold and with one asterisk), must be submitted to USAID but does not require approval (in bold with no asterisk), or does not need to be submitted to USAID but will be developed and kept with [Contractor] for documentation purposes (no bolding, no asterisks).

All deliverables will be developed and submitted (as required) according to the requirements and timeline specified. [Contractor] will work with USAID [Country] to review, revise, and ensure that documents meet survey technical standards before proceeding with work. A detailed Gantt chart for the Round 1 Indicator Assessment is also provided in **Appendix B.**

Table 2. List of Tasks, Associated Deliverables, and Proposed Schedule for the Round 1 Indicator Assessment

| **Gantt chart ref** | **Detailed task** | **Deliverable** | **Timeline** |
| --- | --- | --- | --- |
| 1 | Conduct virtual kick-off meeting | Virtual kick-off meeting notes and slide deck (as applicable) | Month 1 |
| 2 | Undertake initial planning activities | **Customized Gantt chart and list of deliverables\*** | Month 1 |
| 3 | Conduct market research and develop a Scope of Work to subcontract a local SIO; issue a request for proposals | Request for proposals with Scope of Work that details fieldwork implementation plan, including team structure, fieldwork timeline, and logistics | Month 1 |
| 4 | Develop plan for obtaining approval from federal wide-certified IRB and in‑country ethics committeea | Plan to obtain approval for the Round 1 Survey from a federal wide-certified IRB and an ethics committee in [Country] | Month 1 |
| 5 | Procure supplies and equipment | Supply ordering plan and timeline (including customs management plan if supplies are being shipped to country) | Months 1–4 |
| 6 | Coordinate with the national statistical organization to select primary sampling units | List of selected clusters (first-stage sampling) | Month 2 |
| 7 | Select local SIO and submit the subcontracting package to the USAID Contracting Officer for approval | **Subcontracting package for USAID approval\*** b | Month 2 |
| 8 | Issue subcontract to local SIO | Fully executed subcontract with local SIO | Month 2 |
| 9 | Prepare the survey protocol | **Survey protocol\*** | Months 2–3 |
| 10 | Customize survey questionnaire (in English) | **Customized survey questionnaire (in English)\*** | Months 2–3 |
| 11 | Customize table shells | **Customized table shells** | Months 2–4 |
| 12 | Conduct initial capacity assessment of the local SIO and develop a capacity strengthening plan | **Capacity strengthening plan\*** | Month 3 |
| 13 | Translate customized survey protocol and survey questionnaire | **Translated customized survey protocol (as applicable) and questionnaire** | Months 3–4 |
| 14 | Submit application to the federal wide-certified IRB and in-country ethics committee | Submission packages for review by a federal wide-certified IRB and an ethics committee in the survey country | Month 3 |
| 15 | Prepare the sample design document | **Sample design document\*** | Month 3 |
| 16 | Prepare sample weighting protocol | Sample weighting protocol | Months 3–4 |
| 17 | Customize the core CSPro CAPI data collection applications | **Customized CSPro data collection applications** | Months 4–5 |
| 18 | Prepare survey manuals: |  |  |
|  | a—*Interviewer’s Manual* | **Customized *Interviewer’s Manual*\*** | Months 4–5 |
|  | b—*Field Supervisor’s Manual* | **Customized *Field Supervisor’s Manual*** | Months 4–5 |
|  | c—*QCS Team’s Manual* | ***QCS Team’s Manual*** | Month 4 |
| d—*ICDM’s Manual* | ***ICDM’s Manual*** | Month 4 |
| e—*Anthropometry Manual*, including SAM referral protocol and form | ***Anthropometry Manual*** | Month 4 |
| 19 | Develop training materials for TOT, ICDM training, and main field staff training: | **Customized agendas, attendance sheets, training slides, quizzes, role play exercises, and fieldwork forms** | Months 4–5 |
| a—TOT |
| b—ICDM training |
| c—Interviewer training |
| d—Anthropometry training |
| e—Field Supervisor training |
| f—QCS team training |
| 20 | Design and conduct cognitive test | **Cognitive testing report\*** | Months 4–5 |
| 21 | Implement household listing operation and identify health centers appropriate for SAM referrals | **Household listing operation report\*** and household listings | Months 4–5 |
| 22 | Prepare listing data and select households | List of households selected for interview | Months 4–5 |
| 23 | Ensure that IRB and ethics committee approvals have been received | **Documentation of approval from federal wide-certified IRB and in-country ethics committee** | Months 4–5 |
| 24 | Implement TOT and survey pretest | **TOT and survey pretest report\*** | Month 5 |
| 25 | Implement main field staff training and pilot | **Main field staff training and pilot report\*** | Month 6 |
| 26 | Prepare fieldwork management plan, including the field movement plan, field check tables, and data quality control plan | Fieldwork management plan, including field movement plan, field check tables, and data quality control plan | Months 5–6 |
| 27 | Finalize survey questionnaire and manuals after completion of the pilot and before fieldwork begins | **Final customized translated survey questionnaire and survey manuals\*** | Month 6 |
| 28 | Implement fieldwork | **Summary fieldwork report at end of data collection activities** | Months 7–8 |
| 29 | Generate field check tables | **Weekly field check tables** | Months 7–8 |
| 30 | Process data in CSPro | Cleaned CSPro dataset | Month 9 |
| 31 | Calculate sample weights and add to the data | Cleaned CSPro dataset with sample weights added | Month 9 |
| 32 | Prepare the survey implementation and data review memo | **Survey implementation and data review memo\*** | Months 9–14 |
| 33 | Analyze the data and prepare indicator assessment results tables | **Final indicator assessment results tables\*** | Months 10–13 |
| 34 | Prepare key findings report, incorporating time for USAID review and revision | **Key findings report\*** | Months 11–14 |
| 35 | Prepare and conduct results dissemination presentation | **Final results dissemination presentation slides** | Months 13–15 |
| 36 | Prepare indicator assessment report, incorporating time for USAID review and revision | **Final indicator assessment report\*** | Months 13–18 |
| 37 | Develop communication products | **Communication products\*** | Months 14–18 |
| 38 | Prepare non-public, restricted public, and public access datasets, including supporting materials | **Non-public access, restricted public, and public access datasets and supporting materials** | Months 14–18 |
| 39 | Upload final, 508-compliant, COR-approved key findings report and indicator assessment report to the Development Experience Clearinghouse | **Confirmation of 508 compliance and upload to the Development Experience Clearinghouse** | Months 14–18 |
| 40 | Upload final, 508-compliant, COR-approved communications products to the Development Experience Clearinghouse | **Confirmation of 508 compliance and upload to the Development Experience Clearinghouse** | Month 14–18 |
| 41 | Conduct local SIO capacity strengthening activities | **Final capacity strengthening report\*** | Months 4–18 |

CAPI=computer-assisted personal interviewing, COR=Contracting Officer’s Representative, CSPro=Census and Survey Processing System, ICDM=In-Country Data Manager, IRB=Institutional Review Board, QCS=quality control and support, SAM=severe acute malnutrition, SIO=Survey Implementing Organization, TOT=training of trainers

\* Deliverables denoted in regular font (no asterisks or bold font) do not have to be submitted to USAID but should be produced by the Contractor. Deliverables denoted with only bold font (no asterisks) must be submitted to USAID but do not require approval. Deliverables denoted with bold font plus an asterisk (\*) require USAID approval.

a Typically the IRB approval process is periodic and can be delayed. Hence, it is important to plan ahead and understand the details of the country-specific ethical review process.

b The USAID COR of the [survey mechanism] provides technical concurrence of the subcontracting package, which is then approved by the USAID Contracting Officer.

# Round 1 Survey methods and procedures

## 3.1 Survey content and respondents

The Round 1 Survey will collect data to compute the relevant indicators outlined in Section 2.2, plus descriptive information captured in the climate adaptation module. The survey is expected to take between two and three hours to complete in each household. **Table 3** presents the modules to be administered in the survey and the eligible respondents for each module. No one under 15 years of age will be interviewed. However, emancipated minors are eligible respondents for all survey modules, and unemancipated minors are eligible for Module 4. For this survey, an emancipated minor is a child 15–17 years of age who is married (or formerly married), has children, or lives in a household without anyone 18 years of age or older. Additional information about interviewing eligible minors is available in Section 3.4.

Table 3. Survey Questionnaire Modules and Eligible Respondents

| **Module** | **Eligible Respondent** |
| --- | --- |
| 1. Household roster and demographics | Primary adult decision-maker, or other usual adult household member if primary adult decision-maker is unavailable, or emancipated minor 15–17 years of age |
| 2. Dwelling characteristics and household assets |
| 2A. Climate adaptation | Same household members as eligible for Modules 1 and 2 |
| 3. Food security and resilience | Primary adult decision-maker, or other adult knowledgeable about household food availability and with the difficult times the household may have experienced in the past 12 months, or emancipated minor 15–17 years of age |
| 4. Women’s nutrition (dietary intake only) | All women of reproductive age (15–49 years of age) in the household roster |
| 5. Children’s anthropometry | Module 5.1: A primary caregiver of each child 0–5 years of age in the household roster. The primary caregiver must be an adult or emancipated minor.  Module 5.2: A primary caregiver of each child confirmed to be 0–4 years of age in Module 5.1 and of each child 0–5 years of age in the household roster whose age could not be confirmed in Module 5.1 (i.e., a component of the child’s birthdate is missing). |
| 6. Women’s empowerment in agriculture | Primary adult female decision-maker (18 years or older) |
| 8. Consumption expenditure | Module 8.1: Primary adult decision-maker or other adult knowledgeable about household food consumption and expenditures in the 7 days preceding the survey, or emancipated minor 15–17 years of age  Modules 8.2-8.7:  Primary adult decision-maker or other adult knowledgeable about household non-food, durable asset, and housing expenditures in the 12 months preceding the survey, or emancipated minor 15–17 years of age |

Notes: Modules 1 and 2 are administered to the same respondent at the same time. During the data collection stage, the eligible respondent in Module 5 is the primary caregiver—the individual from whom consent is obtained, although the information collected is about the child. During the analysis stage, the unit of analysis is the child about whom data are collected.

## 3.2 Timing of fieldwork

Fieldwork for the Round 1 Survey will be conducted prior to the onset of the lean seasonin the [Country] P3-ZOI. The lean season generally spans [lean season months].

Seasonal and cultural factors (e.g., major holidays), political and security issues (e.g., timing of elections or other events that may preclude fieldwork), and country- or USAID [Country]-specific considerations were also considered when planning the timing of fieldwork for the survey.

After carefully weighing these issues, it was determined that fieldwork for the survey will take place from [start month (year, if needed)] to [end month, year]. The survey team will factor in buffer time at the end of the planned time period to account for any unforeseen delays.

## 3.3 Sampling

### 3.3.1 Study populations

The Round 1 Survey collects data that reflect the characteristics of several study populations. This section describes the specific study populations and the estimated number of respondents for each study population.

All individual-level study populations are based on the population proportions estimated in the [Year] [Country] Phase One Interim ZOI Survey/[Year] [Country] Phase One Endline ZOI Survey/World Bank Health Nutrition and Population Statistics Database (2022). The number of households included in the survey is based on the survey requirements as described in Sections 3.3.2. and 3.3.3. Throughout this section, it is noted when minors, either emancipated or unemancipated, may be eligible respondents. No one under 15 years of age is eligible for an interview.

**Households:** Household-level data will be collected to inform the calculation of poverty; asset-based wealth; food insecurity; resilience; and water, sanitation, and hygiene indicators plus climate adaptation descriptive results. The estimated number of households in the survey sample is [XX] (see Section 3.3.3). Eligible respondents for household-level modules are adults 18 years of age or older and emancipated minors 15–17 years of age.

**Women of reproductive age (15–49 years of age):** Data on the dietary intake of women 15–49 years of age will be collected to inform the indicator on women’s dietary diversity. The estimated number of women 15–49 years of age in the survey sample is [XX]. Eligible respondents for Module 4, *Women’s nutrition*, are women 18–49 years of age, female emancipated minors 15–17 years of age, and female unemancipated minors 15–17 years of age.

**Children under 5 years of age:** Data on children’s height and weight will be collected from children under 5 years of age after confirming the children’s sex and birthdate with the primary caregiver. These data will inform the calculation of children’s nutritional status (anthropometry) indicators. The estimated number of children under 5 years of age in the survey sample is [XX]. Eligible respondents for Module 5, *Children’s anthropometry*, are caregivers of children 0–5 years of age who are adults 18 years of age or older or emancipated minors 15–17 years of age.

**Primary adult female decision-makers:** Women 18 years of age or older who are identified as the primary adult female decision-maker in the household will be administered Module 6, *Women’s empowerment in agriculture*, to collect data to construct the Five Domains of Empowerment score for women indicator as well as other related statistics. The estimated number of primary adult female decision-makers in the survey sample is [XX]. Eligible respondents for Module 6 are women 18 years of age or older who are usual household members. Minors are not eligible.

### 3.3.2 Sampling design

The Round 1 Survey will be conducted using a representative, random sample of the entire population living in the P3-ZOI. The survey will use a cross-sectional, stratified, multi-stage cluster sampling design with up to four stages of sampling (see **Table 4**). The sample design will follow the guidelines as outlined in the *Guidance for the Implementation of Zone of Influence Surveys for Feed the Future Target Countries—Endline/Round 1* and the *Feed the Future PBS Sampling Guide*[[3]](#footnote-4),[[4]](#footnote-5) and will be fully documented and submitted to USAID for approval using a sample design document template available in the *Feed the Future ZOI Survey Methods Toolkit—Endline/Round 1 (2024-2026)* available on Agrilinks.[[5]](#footnote-6).

[Contractor] will use a sampling frame composed of all enumeration areas (EAs) in the [regions /districts/communes/counties] that form the P3-ZOI at the time of survey planning (see **Appendix A**). The sampling frame for the survey uses data from the [sampling frame source]. The name, location, and household count of each EA (including any auxiliary information available in the sampling frame that could be used in the sample design) in the P3-ZOI will be verified with the [national statistical organization] prior to the development of the sample design for the survey.

At the first stage of sampling, [Contractor] will select a sample of EAs from the sampling frame using systematic probability proportional to size (PPS) sampling. If any EA selected during the first stage is found before or during the listing operation to have a much larger population than average, an additional stage of sampling is required to segment the EA. As required, at the second stage of sampling, the EA will be segmented, and one segment will be selected using PPS sampling.[[6]](#footnote-7),[[7]](#footnote-8) After the first and second stages of sampling have been completed, a household listing operation will be conducted in all selected clusters. Note that for the Round 1 Survey, a cluster could be an EA or a segment of an EA sampled for the survey. In the third stage of sampling, households will be selected in each cluster using fractional interval systematic sampling from the completed listing of all households in each sampled cluster.

Finally, at the fourth stage, eligible individuals will be selected within the households using a “take-all” approach, meaning that all household members who meet the eligibility criteria will be included in the sample. These include all children under 5 years of age for children’s nutritional status (anthropometry) indicators, all women of reproductive age (15–49 years of age) for the minimum dietary diversity indicator, and the woman identified as the primary adult female decision-maker for the Five Domains of Empowerment score for women indicator. No subsampling among eligible members will occur.

Table 4. Sampling Methods for Each Stage of Sampling

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Stage 1:**  **Selection of**  **EAs** | **Stage 2:**  **Selection of**  **segments**  **(if required)** | **Stage 3:**  **Selection of households** | **Stage 4:**  **Selection of individuals** |
| Method of sampling | Systematic PPS | PPS | Fractional interval systematic | Take all |

The survey sample frame will be stratified by [Country-specific strata definition] to create a total of [XX] strata. [Contractor] will verify the stratum sizes and allocate the sample proportionally based on the household count of each stratum. The EAs to be selected per stratum will then be computed by dividing the allocated sample by the number of households to be visited per EA. Each stratum will contain at least two EAs to ensure a minimum level of statistical representativeness.

A total of [XX] EAs, or clusters, will be selected based on a total overall final sample size of [X,XXX] households for the survey, with [XX] households to be interviewed per cluster. Before fieldwork begins, a complete household listing will be conducted in each cluster, from which [XX] households will be selected randomly for interview in each cluster.[[8]](#footnote-9) During fieldwork, if a household is discovered to not have been listed in the dwelling unit of a sampled household (i.e., a “hidden household” is found during fieldwork), then the sampled household, together with any “hidden households” found, will be interviewed for the survey.

Because safety and security remain a challenge in [Country], a reserve sample of EAs will also be selected to mitigate against the risk of having any inaccessible EAs due to insecurity. The reserve sample of EAs will be selected during the first stage of sampling following a two-phase sample design approach as recommended in the Feed the Future PBS sampling guidance developed by REFS.[[9]](#footnote-10) The number of EAs to be selected in the reserve sample and their distribution across the design strata will be determined based on those areas identified to have a higher risk of insecurity during the initial survey planning discussions with the SIO.

### 3.3.3 Sample size determination

The Round 1 Survey is designed to provide sample-weighted estimates for ZOI indicators computed using Round 1 Survey data (see Section 2.2), including their standard errors and confidence intervals, at an acceptable level of statistical accuracy. This requires a descriptive PBS with a sample size that is adequate to enable calculation of reliable indicator estimates at a single point-in-time for the P3-ZOI. This section of the protocol describes the process of determining the sample size for the Round 1 Survey, which follows the guidance provided in the *Guidance for the Implementation of Zone of Influence Surveys for Feed the Future Target Countries—Endline/Round 1*.[[10]](#footnote-11)

#### Computing the initial survey sample size

The initial required sample size for the survey is based on the parameters and assumptions used to calculate the initial required sample sizes for Feed the Future’s goal-level indicators of poverty, food insecurity, and stunting, and its performance indicator of women’s dietary diversity that will be directly collected and computed from Round 1 Survey data as presented in **Table 5.** The indicator values are estimated based on the following data sources and assumptions: [describe data sources and assumptions].

The estimated design effects are based on the average design effects achieved across all Feed the Future Phase Two ZOI (P2-ZOI) Baseline Surveys, as this is the most up-to-date information available for estimating design effects in the P3-ZOI Round 1 Survey. A margin of error of 5 percent was set for all indicators, with a significance level of α=0.05. **Table 5** presents the calculation of the initial sample size for the survey based on the input parameters for the indicators, as given in the table using the formula that follows.

Table 5. Parameters Used in the Calculation of the Initial Sample Size

| **Indicator** | **Estimated prevalence** | **Margin of error** | **Confidence level** | **Design effect** | **Initial sample size** |
| --- | --- | --- | --- | --- | --- |
| Prevalence of poverty ($2.15/day 2017 PPP) | [X] | 5% | 97.5% | 4.3 | [X] |
| Prevalence of moderate and severe food insecurity (FIES) | [X] | 5% | 97.5% | 3.6 | [X] |
| Prevalence of stunting (0–59 months) | [X] | 5% | 97.5% | 2.4 | [X] |
| Percent of women 15–49 years consuming a diet of minimum diversity (MDD-W) | [X] | 5% | 97.5% | 2.4 | [X] |

FIES=Food Insecurity Experience Scale, MDD-W=minimum dietary diversity for women, PPP=purchasing power parity

(1)

Where,

= the estimated initial sample size required for the survey for the given indicator

= the estimated design effect for the given indicator

= the estimated P3-ZOI base value (prevalence) of the given indicator

= the critical value for the normal probability distribution. The confidence level is set at =0.05, giving a value of =1.96.

= the margin of error, which is set at 5 percent for all indicators (i.e., =0.05)

#### Computing the final survey sample size

To derive the final required household sample size for each indicator, the initial sample size values calculated were adjusted to account for the number of households that need to be contacted to obtain the required number of individuals for the given sub-population for individual level-indicators and anticipated gross household non-response. Therefore, the final sample size, denoted by , is the product of the initial sample size and the adjustment for the number of households to contact for the given individual sub-population for individual level indicators (i.e., ) and the adjustment for anticipated household non-response (i.e., ) for each indicator:

(2)

Where,

= estimated final sample size required for the survey based on the indicator

= adjustment for the number of households to contact to obtain the required number of individuals for the given sub-population for an individual-level indicator[[11]](#footnote-12)

= adjustment for anticipated household non-response, which is equal to the inverse of the expected gross household response rate[[12]](#footnote-13)

**Table 6** presents the parameters and assumptions used to calculate , , and the final required sample size for each indicator. The adjustment to determine the number of households to be included in the survey for individual-level indicators is based on the average household size of [X.X] members and the proportion of the population in the age group underlying the individual-level indicator from the [data source used]. The adjustment to account for non-responding households in the sample is based on the average household gross non-response rate of 5.5 percent achieved for P2-ZOI Baseline and Midline Surveys.

Table 6. Adjustments to the Initial Sample Size to Obtain the Final Sample Size

| **Indicator** | **Initial sample size** | **Proportion of the population in the age group underlying the indicator** |  | **Sample size with** |  | **Final sample size** |
| --- | --- | --- | --- | --- | --- | --- |
| Prevalence of poverty ($2.15/day 2017 PPP) | [X] | n/a | n/a | n/a | 1.058 | [X] |
| Prevalence of moderate and severe food insecurity (FIES) | [X] | n/a | n/a | n/a | 1.058 | [X] |
| Prevalence of stunting (0–59 months) | [X] | [X] | [X] | [X] | 1.058 | [X] |
| Percent of women 15–49 years consuming a diet of minimum diversity (MDD-W) | [X] | [X] | [X] | [X] | 1.058 | [X] |

FIES=Food Insecurity Experience Scale, MDD-W=minimum dietary diversity for women, PPP=purchasing power parity

Average household size: [X.X]; Anticipated household gross non-response rate: [XX.X] percent

#### Final survey sample size

Comparing the final required sample sizes across all indicators in **Table 6,** the [indicator with the largest required sample size] indicator has the largest required sample size of [X,XXX] households across all indicators. Therefore, it is retained as the minimum sample size needed to produce estimates for the Round 1 Survey because it meets the sample size requirements of all other indicators. Rounding up to maintain the sample take of [XX] households per EA, the final required sample size for the Round 1 Survey is **[X,XXX] households.**

## 3.4 Adhering to ethical research standards

[Contractor] follows a number of procedures to ensure that survey work undertaken adheres to ethical research standards, which includes the following provisions.

**Institutional Review Board (IRB) approval.** This survey protocol and the survey questionnaire will be submitted to the [Contractor] IRB and [Ethics committee(s) in the survey country]. Any adverse events or deviations from the protocol as approved by the [Contractor] IRB and [Ethics committee(s) in the survey country] must be reported to the [Contractor] Project Director, the [Contractor] IRB, and [Ethics committee(s) in the survey country].

**Staff training in protection of human subjects.** As described in Section 3.5.9, all trainees, including Field Supervisors, Interviewers, Field Managers, Quality Control and Support (QCS) teams, the In‑Country Data Manager (ICDM), and the Information Technology Specialist, will receive training in the protection of human subjects. At the conclusion of the human subjects protection training, each trainee will sign an electronic statement of confidentiality. Electronic records of confidentiality will be retained in [SIO]’s files for three years.

**Informed consent and vulnerable populations (i.e., children).** Interviewers will be trained to understand the purpose and content of informed consent, to read the complete informed consent statement to respondents, and to answer respondents’ questions about the survey or informed consent parameters. Significant attention will be dedicated to the elements of informed consent, which are outlined under “Training in human subjects protection” in Section 3.5.9.

Only household members who have provided informed consent, or assent for eligible minors 15–17 years of age, will be interviewed. These household members will indicate their 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 survey 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 of age to be a child. For this survey, no children under 15 years of age will be interviewed. Children 15–17 years of age may be eligible for an interview if they are married (or formerly married), have children of their own, or live in a household without any members who are 18 years of age or older. Children who meet this criterion are considered emancipated minors and are treated like adults, and their informed consent is sufficient to be interviewed for the survey. Any children 15–17 years of age who are eligible for interview who are not considered emancipated minors will require both informed consent from a parent or guardian and their own assent to be interviewed. Children under age 5 are eligible for collection of anthropometry data (height and weight measurement); a primary caregiver (adult or emancipated minor) will be asked to provide informed consent for children under 5 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 personally or to discuss any identified respondent’s information with anyone other than the field team members or Field Supervisor. All data transmitted to the [Contractor] secure server will be encrypted. Datasets for internal USAID use will retain only personally identifiable information that is essential to analysis (e.g., household Global Positioning System [GPS] coordinates); these data will not be shared publicly. All personally identifiable information and other information that would allow deduction of respondent identities will be stripped from datasets before they are made public, according to the *Feed the Future Protocol for Preparing Non-Public, Restricted Public, and Public Access Datasets*. All [Contractor] and [SIO] staff working with survey data, including DHS anthropometric data, will sign confidentiality statements before working with the survey.

**Compensation.** Eligible respondents who have successfully completed all survey modules for which they are eligible will receive [token of appreciation] to show appreciation and gratitude for their participation. Interviewers will give [token of appreciation] to respondents at the completion of the interview.

## 3.5 Pre-fieldwork activities

### 3.5.1 Initial preparatory activities

[Contractor] staff met virtually/in person with REFS, USAID [Country], and [other stakeholders as relevant] to discuss the requirements and plans for the Round 1 Survey. Based on these meetings, decisions were made about the content, sample size, timing, and location of the survey.

Other key preparatory tasks have included identifying and subcontracting a local SIO to conduct fieldwork activities. Through a selective process, [Contractor] has subcontracted [SIO] to conduct fieldwork activities for the survey.

[SIO] is the most qualified organization that meets the following criteria to implement a survey of the size and complexity of the Round 1 Survey:

* Has documented past performance and qualified and experienced personnel who have successfully implemented several large-scale surveys with sample sizes of [2,000] or more households
* Has the capacity to carry out the entire survey process, including listing, training, collecting social and agricultural data, and providing supervision
* Has experience using tablets for data collection
* Has the ability to complete surveys according to established and agreed-upon timelines
* Has the ability to staff the survey
* Has experienced staff in the requisite roles defined for the survey fieldwork, as described in **Appendix C**
* Has the availability to conduct training and fieldwork in the required time period

### 3.5.2 Key survey documents

[Contractor] will develop four major documents for the Round 1 Survey: (1) the survey protocol (this document), (2) the survey questionnaire, (3) the *Interviewer’s Manual*, and (4) the *Field Supervisor’s Manual*. Each of these will be adapted from guidance template documents available in the *Feed the Future ZOI Survey Methods Toolkit—Endline/Round 1* available on Agrilinks (hereafter referred to as the “Toolkit”).[[13]](#footnote-14)

Thecontent of the survey questionnaireis summarized in Section 3.1 and is customized to reflect country-specific response options and items to be asked about (e.g., assets, farm animals, foods, measurement units, currency units, and shock and stresses). After USAID approves the customized survey questionnaire, it will be frozen until further updates are required based on results from the cognitive testing, training of trainers (TOT) and survey pretest, and main field staff training and pilot. The final post-pilot questionnaire to be used for fieldwork will be re-submitted to USAID for approval.

The *Interviewer’s Manual* and *Field Supervisor’s Manual* will be customized for the TOT and the main field staff training. The *Interviewer’s Manual* will include information for administering the survey questionnaire. Customization of the *Interviewer’s Manual* will entail adapting any instructions on how to administer each module and question in the customized survey questionnaire. The *Field Supervisor’s Manual* will include information on the role and responsibilities of the Field Supervisor and procedures for ensuring the quality of fieldwork. Customization of the *Field Supervisor’s Manual* will address any country-specific procedures to be followed by the Field Supervisors. The *Interviewer’s Manual* and *Field Supervisor’s Manual* will be customized by [Contractor] in close collaboration with [SIO] to ensure that the procedures are fully aligned with requirements for the Round 1 Survey.

The Contractor will also use the *Anthropometry Manual*, which includes a severe acute malnutrition (SAM) referral protocol, SAM referral form, and nutrition pamphlet, the *QCS Team’s Manual*, and the *ICDM’s Manual* available in the Toolkit to train field staff; however, these are all standardized manuals that reflect the specific Feed the Future protocols to be followed by field staff. These manuals do not require customization other than the cover page—to indicate that they were used to implement the Round 1 Survey.

### 3.5.3 Translation

All key survey documents, including this survey protocol, the customized survey questionnaire, informed consent forms, and manuals will be translated into [target language to be used for training].

The customized survey questionnaire will be translated into [number of languages] target languages: [list of languages for translation]. In accordance with the Feed the Future ZOI Survey *Translation Protocol*, all translation revisions will be documented as part of a translation team review and adjudication process after the cognitive pretest, TOT and survey pretest, and main field staff training and pilot. All translated versions of the survey questionnaire will be provided to the field teams in hardcopy and loaded onto the tablets. Field staff manuals, including the *Interviewer’s Manual*, *Field Supervisor’s Manual*, *QCS Team’s Manual*, *ICDM’s Manual*, and the *Anthropometry Manual,* will also be translated into [language] for training purposes.

### 3.5.4 Data collection application customization and initial testing

Tablets using a computer-assisted personal interviewing (CAPI) data collection application, which allows Interviewers to directly enter respondent data onto the tablet, will be used to collect Round 1 Survey data. Tablets must have an Android operating system and will use the Census and Survey Processing System (CSPro) data collection application. Although most data will be collected directly on the tablet using CAPI, children’s anthropometry data will first be collected on paper and then entered into the application. Standard CSPro applications that correspond to the survey questionnaire have been developed, tested, and made available for use in the Toolkit. [Contractor] will use these standard CSPro applications as the basis for developing the survey-specific application for the customized survey questionnaire.

Customization and testing of the data collection application is a multistage process. Customization will start as preliminary versions of the customized survey questionnaire become available and will accelerate when the USAID-approved questionnaire is frozen and translations are finalized. As part of the customization process, the data processing team will identify programming specifications that differ from the standard data collection applications available in the Toolkit (e.g., survey-specific questions, response options, currency and measurement fields, filters, and skip patterns) and develop testing scenarios for internal use to ensure that the differences are appropriately integrated into the customized applications.

After customization of the data collection applications is complete, a cyclical process of internal testing—using the testing scenarios developed—and modification is instituted until the testing process ceases to yield issues. Testing will target issues such as missing response options, skip pattern errors, or navigation issues through the data collection applications. If the questionnaire is the source of a detected issue, it will be updated along with the data collection applications and other survey documents, including training materials. Any modifications as a result of testing will be documented.

After customization and internal testing of the data collection applications is complete, any further edits or revisions to the data collection applications will be based on information gathered from the cognitive testing, TOT and survey pretest, and main field staff training and pilot. No further additions or revisions will be made to the data collection applications (or questionnaire) after these final modifications are made.

### 3.5.5 Cognitive testing

[Contractor] and [SIO] will collaborate to conduct cognitive testing according to the *Feed the Future ZOI Survey* *Cognitive Testing Protocol* before the TOT, allowing adequate time to analyze the results and make any relevant adjustments to the questionnaire before the TOT begins. The cognitive test will identify questions that may need to be reworded to improve understanding and recall. It will also flag any questions that do not appear to capture the desired information. The cognitive testing will be conducted through the following activities:

**Interview guide development.** After the customized survey questionnaire content has been finalized and translated, [Contractor] will develop a customized cognitive testing interview guide using the customized questionnaire and the template guide available in the Toolkit. The instrument will include selected questions for which validation is needed to ensure question comprehension and meaning as intended, as well as respondents’ ability to answer. The selected questions will be identified through discussions with USAID, [Contractor], and [SIO]. The cognitive testing guide will be developed and administered on paper so that Interviewers can easily record notes while administering the instrument. The cognitive testing guide will include a statement of consent, a set of survey questions selected for testing, testing objectives for each survey item, and a list of suggested cognitive probes for each survey question. Target language translations developed during the translation process will be used for the statement of consent and the set of survey questions selected for testing, with an instrument developed for each target language in the country. The testing objectives and suggested probes will be included in the instrument in English/[official/training language] only.

**Training.** [SIO] will identify 8 to 10 experienced Interviewers to conduct the cognitive testing. [Contractor] staff will train the Interviewers on cognitive testing using the cognitive testing training materials available in the Toolkit and the customized cognitive testing interview guide. The three-day training will include a review of the cognitive testing objectives, the content of the cognitive testing guide, and guidance on how to administer cognitive probes and take notes on respondents’ comprehension of and ability to answer the questions. The training will also include an opportunity for Interviewers to practice administering the cognitive testing guide through mock interviews and role play. A debrief after the mock interviews will allow trainees to learn from each other and discuss what went well, what did not go well, and how to improve their approach.

**Fieldwork.** Upon completion of the cognitive testing training, Interviewers will conduct the cognitive testing fieldwork over two to three days using the translated versions of the paper-based guide. The cognitive test will be conducted in communities with contextual factors and languages similar to those in the P3-ZOI and will include a convenience sample of [number] respondents for each of the languages plus English, for a total of [number] interviews. Interviewers with native fluency in at least one of the target languages will interview respondents. Interviews will be audio recorded to facilitate comprehensive note-taking after testing is complete.

**Debriefing and next steps.** A debriefing will occur following fieldwork to discuss outcomes of the cognitive test. [Contractor] will prepare and submit a cognitive testing report to USAID indicating, question by question, issues that arose and recommendations for revision, as needed. [Contractor] will review the recommended revisions with USAID and make any agreed-upon adjustments to the customized survey questionnaire and translations. The CSPro Developer will also revise the CAPI data collection applications accordingly.

### 3.5.6 Household listing activities

[SIO], with support from the [Contractor] Senior Sampling Statistician, will complete three major activities in each cluster before fieldwork: (1) community sensitization, (2) household listing, and (3) household selection. [SIO] staff will be trained in the community sensitization and listing procedures as described in the *CAPI Household Listing Manual.* The household selection procedure will follow the guidance as outlined in the *Feed the Future PBS Sampling Guide.*[[14]](#footnote-15)

[SIO] will send a listing team to each selected cluster to complete the community sensitization and household listing. Each listing team will comprise an experienced Field Supervisor, lister, and cartographer.

**Community sensitization.** The listing team will meet with a community leader in each selected cluster to explain the purpose of the survey and request community cooperation. The listing team will provide the community leader with a letter from [SIO] and USAID [Country] describing the survey and the benefits that will accrue to the country and community from survey findings. While in the community and surrounding area, the listing team will identify options for food and lodging, ascertain availability of electricity and Internet access, and identify the languages or dialects spoken in the community to facilitate Interviewer assignment to the cluster.

**Household listing.** The household listing operation will be completed approximately six to eight weeks before the start of the pilot. The listing teams will visit each selected cluster to map, number, and list all structures, dwelling units, and households within the designated boundaries of the cluster. The name of an adult household decision-maker, or emancipated minor if there are no adults in the household, and GPS coordinates for each household will also be recorded, as well as other contextually relevant data points as agreed upon among USAID, [Contractor], and [SIO], such as spoken language, availability of cellular service, etc. If no one from the household is available at the time of the household listing, the name of an adult household member, or emancipated minor if there are no adults in the household, will be collected from a neighbor. After the listing information for a selected cluster is received by [SIO], the data will be checked and reviewed by the ICDM for quality assurance before being submitted for household selection. [SIO], with support from [Contractor], will prepare a household listing report summarizing preparation activities, fieldwork activities, quality control procedures, and challenges and mitigation measures experienced during household listing operations. [Contractor] will then review and finalize the household listing report to submit to USAID.

**Household selection.** After the household listing has been completed for a cluster, the [Contractor] Senior Sampling Statistician will implement the household selection procedure for the survey in these clusters. 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 to field teams and provide the lists of selected households to the Field Supervisors. The lists of selected households will be programmed into the CSPro data collection application and loaded onto each tablet.

### 3.5.7 Listing of health centers for SAM referral

During fieldwork, children identified with SAM will be referred to a health center for further assessment. As such, [Contractor] will collaborate with [SIO] during household listing operations to compile a list of health centers where caregivers can take a child identified with SAM. SAM referrals will be made based on the child’s weight-for-height z-score (WHZ). If, during fieldwork, a child’s initial anthropometric measurements indicate that they have a WHZ more than 3 standard deviations below the median for their age and sex, that child will be remeasured. If the remeasurement confirms that the child has a WHZ greater than 3 standard deviations below the median, the Anthropometry Lead will give the primary caregiver of the child a SAM referral form and a list of health centers where they can take the child for further assessment.

### 3.5.8 TOT, ICDM training, and survey pretest

The TOT, ICDM training, and survey pretest will occur over a [four]-week period. Participant information (i.e., name; institution; position; email address; phone number; sex; age; status as government worker, civil society worker, or student) will be collected for all trainings. Full participant information will only be collected once per participant per training, but attendance at the trainings will be tracked daily.

**TOT.** [Contractor], in conjunction with [SIO], will train the staff identified as potential trainers for the main field staff training. The TOT will take place in [location] for approximately [three] weeks and will include [XX] participants. The training will be based on the following topics, drawn primarily from the *Interviewer’s Manual* and *Anthropometry Manual,* and will cover the following:

* **Introduction to the survey:** survey objectives, sample, survey modules, survey implementation, confidentiality, and field staff roles and responsibilities
* **Conducting the interview:** understanding general instructions, approaching the household, building rapport, handling refusals, obtaining informed consent, ensuring privacy, using translations, asking questions, probing, following interview instructions, and flagging issues to be discussed with the Field Supervisor
* **Questionnaire content:** household roster, informed consent, dwelling characteristics and household assets, climate adaptation, food security and resilience, women’s dietary intake, children’s anthropometry, women’s empowerment in agriculture, and household consumption expenditures
* **Fieldwork procedures:** fulfilling field team members’ roles and responsibilities, using the Interviewer’s assignment sheet, managing the household interview, reporting to the Field Supervisor, following up on missed or incomplete interviews, handling refusals, ensuring high data quality, and following the processes to monitor and review Interviewers’ performance
* **Anthropometry measurement:** confirming child’s sex and birth date,taking and recording measurements and remeasurements (when needed), and implementing the SAM referral protocol (when needed)
* **Collecting 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, entering responses, working with a second Interviewer, transferring data to the Field Supervisor, and troubleshooting issues
* **Human subjects protections:** see more information in the *Training in human subject protections* section

Hands-on training and practice sessions will cover the use of all technical equipment required for survey implementation, including tablets with data collection applications, seca® scales for weighing children, and ShorrBoards® for measuring children’s height or length. Anthropometry practice sessions will include weighing and measuring the height of children under 5 years of age from the surrounding community where the TOT is held. Children and their parent or guardian who agree to be part of the practice sessions will receive compensation in the form of [token of appreciation] for their participation.

Training schedules, PowerPoint slides, CSPro data collection applications, manuals, and quizzes will be developed and customized using templates in the Toolkit*.* Any issues identified during the TOT will be documented in the *Training and Pretesting Change Log* and communicated to and managed by the [Contractor] Country Lead.

Before the TOT, the tablets will be configured with the data collection application in all target languages so they can be used during the latter half of the training. To accommodate this, [Contractor] will procure tablets and technical equipment and prepare for them to arrive at [SIO] at least two weeks before the TOT.

**ICDM training.** The ICDM, the Information Technology Specialist, and any other [SIO] staff supporting the ICDM will attend a two-day training based on the content of the *ICDM’s Manual*. The hands-on training will cover the ICDM’s roles and responsibilities and the application that they will use to review and process data. The training will be held in advance of the survey pretest. Individuals trained in the ICDM training will also participate in the TOT and Interviewer training.

**Survey pretest.** At the end of the TOT, a survey pretest will be implemented over three to four days in accordance with the *Survey Pretest Protocol* available in the Toolkit. The survey pretest is a critical opportunity for the survey team to test the customized survey questionnaire and data collection applications under field conditions and make any needed revisions ahead of the main field staff training. [SIO] will conduct the survey pretest in rural communities with households that are similar in characteristics to those in the P3-ZOI but are not part of the survey sample. Survey pretest respondents will speak at least one of the [number] target languages. The survey pretest will focus on the survey questionnaire content: whether the flow between questions works well, whether all survey questions are comprehended, and whether the full range of appropriate responses are available. Simultaneously, the survey pretest will identify any problems with using the data collection applications, such as with skip patterns, using menus, or navigation between survey modules. The survey pretest will also test interview and anthropometry measurement procedures, data transmission, and data quality checks.

All issues will be documented in the *Training and Pretesting Change Log* and communicated to and managed by the [Contractor] Country Lead. Any issues that require real-time corrections for the survey pretest to continue will be made. Other issues will be discussed by the survey team. Updates agreed to with USAID will be made to all relevant survey implementation materials and tested before the main field staff training. If the customized questionnaire requires corrections, the revisions will be translated, and the data collection applications updated. The [Contractor] Data Processing Manager will also review procedures for addressing issues identified in the field check table reports with the ICDM. A pause will be scheduled between the survey pretest and the initiation of the Interviewer training to account for the time needed to operationalize any changes to survey documents and applications. After the [Contractor] Data Processing Manager confirms the data collection application revisions function as expected, the revised applications will be downloaded from a secure server managed by [Contractor] and loaded onto all tablets by the [SIO] supervisory staff, at the instruction of the [SIO] Survey Director.

After the survey pretest has been completed, [SIO] will develop a TOT and survey pretest report in collaboration with [Contractor], which [Contractor] will submit to USAID for approval. A template for the report is provided in the Toolkit.

### 3.5.9 Main field staff training and pilot

The main field staff training, which includes the training of Interviewers, Anthropometry Leads, Field Supervisors, and QCS teams, and the pilot, will occur over a [five]-week period. As with the ICDM training and TOT, participant information will be collected only once per training, with attendance recorded daily.

**Interviewer training.** The [Contractor] Country Lead will work with [SIO] to train field staff on survey implementation and the content of the customized survey questionnaire. The majority of those trained will serve as Interviewers; however, [SIO] will select individuals to serve as Field Supervisors and QCS team members, based on their performance during the training. The Interviewer training will last approximately [three] weeks. The training, based on the *Interviewer’s Manual* and *Anthropometry Manual*, will cover the same material covered in the TOT, outlined in Section 3.5.8 of this protocol.

Hands-on training and practice sessions will ensure that the trainees master the content of the survey questionnaire, CAPI data collection applications, and field procedures, including how to use seca® scales for weighing children and ShorrBoards® for measuring children’s height or length. Quizzes will also help identify areas for improvement and re-training needs. Any issues identified during the Interviewer training will be documented in the *Training and Pretesting Change Log* managed by the [Contractor] Country Lead.

**Anthropometry training.** The [Contractor] Anthropometry Specialist will work with [SIO] to train [X] Anthropometry Leads and selected trainers on the anthropometry procedures that will be used to weigh and measure the height of children in the Round 1 Survey. Anthropometry training, based on the content of the *Anthropometry Manual*, will last four days and will take place in parallel with the Interviewer training.

Anthropometry training will include instruction on how to take height and weight measurements for children in pairs and how to use and maintain the anthropometric equipment. Practice sessions will include weighing and measuring the height of children under 5 years of age from the surrounding community where the training is held, as well as how to implement the SAM referral protocol if a child is identified with SAM. The SAM referral protocol is included in the *Anthropometry Manual*, and anthropometry training will cover how to fill out the SAM referral form, the contents and purpose of the nutrition pamphlet,[[15]](#footnote-16) and what should be said and provided to the child’s caregiver.

[Contractor] will work with [SIO] to identify interested age-eligible children and their caregivers from relevant community contexts, such as the training venue, local clinics, or local childcare centers. Children and their caregivers who agree to be part of the practice sessions will receive compensation in the form of [token of appreciation] for their participation. Before the anthropometry training concludes, Anthropometry Leads will have to pass a standardization exercise that requires them to measure 10 children twice with an acceptable level of precision and accuracy, following the technical error of measurement standards as further detailed in the *Anthropometry Manual*. In addition, Interviewers will receive a one-day training on how to assist in anthropometric measurements, including a practice session with children.

When not attending the four-day anthropometry training, Anthropometry Leads will attend the Interviewer training and will receive instruction on introducing the survey, conducting the interview, fieldwork procedures, human subjects research, questionnaire content for Modules 1, 2, 4 and 5, and collecting and managing data on the tablet.

**Training of other field staff**

**Field Supervisor training.** Field Supervisors will participate in the Interviewer training and will also attend a half-day training that focuses on their roles and responsibilities as Field Supervisors, including preparing for fieldwork, organizing and supervising fieldwork, and reporting and communication. The Field Supervisor’s training will be based on the content of the customized *Field Supervisor’s Manual.*

**QCS team training.** QCS team members will participate in the Interviewer training and will also attend a half-day training that focuses on their roles and responsibilities as QCS team members, including how to complete the forms provided in the *QCS Team’s Manual* (the data quality control report form, the interviewer observation, etc.) and provide quality control, material and human resources, and moral support to field teams. The QCS team training will be based on the content of the *QCS Team’s Manual.*

**Training in human subject protections.** All trainees—QCS team members, Field Supervisors, Interviewers, Anthropometry Leads, the Field Manager, the ICDM, the Information Technology Specialist, and ICDM support staff—and anyone else who might see the survey data will be trained in human subject protections, including a brief history of human subject 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:

* The purpose of the research
* The duration of the respondent’s participation
* The general content of questions to be asked
* Any foreseeable risks to the respondent
* Any benefits to the respondent or others from the research, noting that they will not receive payment but will receive a small token of appreciation ([token]) if they participate in the survey
* Maintenance of confidentiality in records that identify participants
* Whom to contact with 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 subject protections training, each trainee will electronically sign a statement of confidentiality. Electronic files of signed statements of confidentiality will be retained by [Contractor] for a period of three years.

**Pilot.** At the conclusion of the main field staff training, the entire survey team will conduct a pilot in accordance with the *Pilot Protocol* available in the Toolkit. The pilot will serve as a survey dress rehearsal, during which the survey team will practice implementing all survey procedures and applications for the Round 1 Survey. The pilot will be conducted in rural communities in the P3-ZOI that are not part of the survey sample. The pilot will last one week, including time for travel. At the end of each day, all staff participating in the pilot will meet with their field teams to discuss issues and challenges and identify solutions. Proposed solutions will be tested on subsequent days.

The [Contractor] Country Lead and Research Specialist will work with the [SIO] Survey Director, ICDM, and Field Manager to make any needed revisions to the *Field Supervisor’s Manual, Anthropometry Manual,* and *Interviewer’s Manual* and plan any re-training.

Proposed revisions to the survey questionnaire and data collection applications will be documented in the *Training and Pretesting Change Log* and communicated to the [Contractor] Country Lead and Data Processing Manager, who will coordinate implementation, documentation, and testing of the final changes. The [Contractor] Country Lead will ensure the alignment of the survey questionnaire and data collection applications, including all translations. A pause will be scheduled between the pilot and the initiation of fieldwork to account for the time needed to operationalize any changes to survey documents and applications. After the applications have passed testing, the revised applications will be downloaded from [Contractor]’s secure server and loaded onto all field staff tablets by [SIO]’s supervisory staff, at the instruction of the [SIO] Survey Director.

After the pilot has been completed, [SIO] will develop a main field staff training and pilot report in collaboration with [Contractor], which [Contractor] will submit to the USAID for approval. A template for the report is provided in the Toolkit.

## 3.6 Fieldwork activities

This section describes procedures for the implementation of fieldwork. Fieldwork for the Round 1 Survey will begin only after ethical approval is obtained in [Country] (from [Ethics committee in survey country] and the United States (from the [Contractor] IRB), and all appropriate documentation has been received. After all pre-fieldwork activities have been completed satisfactorily, [Contractor] will begin fieldwork for the survey. Fieldwork will be launched after the pilot and will be carried out by [XX] field teams from [Start month, year (if needed)] to [End month, year]. Field teams will make up to three contact attempts at each sampled household to complete the interview with all eligible household members.

### 3.6.1 Composition of and support to field teams

**Team structure.** Each field team will comprise one Field Supervisor, two pairs of Interviewers, an Anthropometry Lead, and a driver. Because of the gender-sensitive nature of some aspects of the survey questionnaire, each Interviewer pair will have at least one female Interviewer (i.e., at least two female Interviewers per field team). 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. QCS teams will also provide moral support for the field teams and provide an additional layer of field supervision and quality assurance. In addition to the QCS team, Field Supervisors and other [Contractor] and [SIO] staff conducting quality assurance checks and USAID [Country] staff will also participate in field visits for quality assurance purposes.

### 3.6.2 Logistics and supplies

The [SIO] Field Manager, assisted by 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 payments, 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. [SIO] will follow its standard procedures for providing this logistical support. All field teams will be supplied with the following materials:

**Fieldwork documents**

* *Field Supervisor’s Manual*
* *Interviewer’s Manual*
* *Anthropometry Manual*
* Maps and lists of selected households for all clusters in the assigned area
* Letters of introduction
* Paper anthropometry forms (printed versions of Module 5.2)
* SAM referral forms
* List of health centers, including contact information, for SAM referrals
* Nutrition pamphlets
* Field Supervisor’s Assignment Sheets, as needed
* Interviewer’s Assignment Sheets, as needed
* Informed Consent Forms, as needed
* Vehicle Mileage and Expenditure Log Forms

**Supplies**

* Clipboards, briefcases, backpacks
* Identification badges for the Interviewers
* Paperclips, scissors, string, staplers and staples, tape, pens, and pencils
* Tablets configured with Interviewers’ assignments
* Equipment for simultaneously charging multiple tablets, including adapters, if needed
* Additional external batteries for tablets
* Waterproof containers and envelopes to store paperwork
* First aid kit
* Cell phones with SIM cards and chargers
* Internet transmission devices, such as hot spots and Internet data cards
* Field supplies (umbrella, mosquito net, etc.)
* GPS devices
* Anthropometry equipment (i.e., ShorrBoards® and seca scales®) and carry cases
* Anthropometry supplies (i.e., rod of known length [e.g., 110 cm] and standard weight [e.g., 5 kg] for calibration, cleaning spray and cloth, gardening mat or knee pads)
* [Tokenof appreciation] (to be distributed as gifts to eligible households upon interview completion)

The field teams will be provided with these materials when they deploy to the field. QCS teams will deliver additional documents and supplies as needed during travel between field teams. Lost or stolen equipment, including tablets, will be reported immediately to the [Contractor] Country Lead and Data Processing Manager for reporting to USAID.

### 3.6.3 Data transmission in the field

[Contractor] will set up a secure server to store all survey data. The system to transmit the survey data in encrypted files over secure channels to the server will be prepared and tested before the survey pretest. This system will also undergo testing during the survey pretest and pilot.

Throughout fieldwork, data will be transmitted to the server at least daily, depending on Internet availability. At the end of each workday (or more frequently if possible), Interviewers will send their data to their Field Supervisor by syncing with the Field Supervisor’s tablet. If they cannot connect to the Internet to sync to the Field Supervisor's tablet, they will connect to their Field Supervisor’s tablet by Bluetooth. Field Supervisors will sync with the server to transmit the Interviewers’ data after review. Field Supervisors will use mobile hotspots to sync with the server in areas with no Internet service.

Problems can occur that prevent successful transmission, such as low Internet bandwidth or problems with the tablets, including damaged hard drives and screens. [Contractor] will work closely with [SIO] to identify the most reliable approaches to access the Internet, as well as several backup methods to ensure frequent, regular data transmission to the server. Damaged tablets will be returned to [Contractor] for data extraction. Extensive efforts will be undertaken to recover data from any tablets that are damaged.

### 3.6.4 Quality assurance during fieldwork

[Contractor] will track performance, implementation, data transmission, and data quality throughout fieldwork. Any observed problems will be promptly addressed, including through re-training as necessary. [Contractor] will use four quality assurance systems during fieldwork: CAPI data collection applications designed to help Interviewers probe where answers are inconsistent or unlikely, fieldwork supervision to monitor the quality of data collection, Central Office supervision to monitor completeness and consistency of data, and field check tables to measure and address certain trends in the data. Throughout fieldwork, USAID will be alerted to any serious issues that are likely to impact the integrity of the survey.

**CAPI data collection application.** The CAPI data collection application that Interviewers use to collect data is designed to help Interviewers check responses for consistency and plausibility. When there is an issue with consistency, the application will prompt Interviewers to probe the respondent and provide an opportunity for Interviewers to correct responses, as appropriate. When there is an issue with plausibility, a warning message will prompt the Interviewer to double-check the response given.

**Fieldwork supervision.** Several layers of supervisory staff will provide rigorous supervision throughout fieldwork to ensure the quality of the data. Field Supervisors will provide front-line data quality assurance. They will use the CAPI system to assign and track completion of sampled households in each cluster. As part of the tracking process, Field Supervisors will review any errors flagged by the CAPI system and discuss their findings with their team daily. Interviewers will make any corrections needed before resending the data to the Field Supervisor to transmit to the server. Field Supervisors will also observe all Interviewers conduct at least one interview per cluster, conduct a spot-check of a sample of interviewed households, and provide additional instruction to Interviewers as needed. Before closing and leaving a cluster, the Field Supervisor will also resolve all issues flagged by the CAPI system’s automated check of the data that ensures completeness and checks consistency.

QCS teams will visit field teams during fieldwork to provide moral and logistical support, supervision, and additional quality assurance to both Field Supervisors and Interviewers. [Contractor], USAID, and USAID [Country] staff may also conduct field visits for quality assurance purposes.

**Central Office supervision.** The Central Office CAPI data management system (hereafter referred to as the Central Office system) will be used by Central Office staff trained in the ICDM training to confirm completeness of the data on the server, track fieldwork progress, review frequencies of select variables, produce and review tables of select variables by field team and Interviewer, assess and recode ‘other (specify)’ free response values, and screen spot-check data. The ICDM will oversee and lead all Central Office system work, and the [Contractor] CSPro Programmer and Data Processing Manager will support the ICDM and other Central Office staff in performing their Central Office supervisory activities. The [Contractor] Country Lead will assist the ICDM and Data Processing Manager in reviewing Central Office system outputs and resolving any issues.

Specifically, Central Office staff will check the structure of the data on the server daily, review key variables weekly, and check the plausibility of the data as needed based on the country-context and status of fieldwork. Tasks include the following:

* **Structure checking.** Central Office staff will review the completeness and structure of the data sent to the server daily. All data must be complete, and no interviews can remain outstanding for the data to “pass” the structure check. If Central Office staff identify issues, they will contact the relevant Field Supervisor immediately to resolve them and re-transmit the data to the server. Field Supervisors will send Interviewer teams back to households to complete or correct interviews as necessary and may personally conduct some of these follow-up interviews. The ICDM will coordinate with the Data Processing Manager to review and address any outstanding structural issues in the data.
* **Key variable reviews.** Central Office staff will review the data on the server weekly for inconsistencies and outliers. Key variables that may be selected for review include variables that affect eligibility for certain modules or sections of modules, are used to compute indicators during the analysis phase, are prone to respondent misunderstanding (e.g., as identified during pretesting activities or any cognitive testing activities), or are more likely to have outliers (e.g., cost or value of an item). If Central Office staff identify any issues in their reviews, they will contact the Data Processing Manager or Country Lead to discuss the issue and determine next steps.
* **Plausibility checks.** After each cluster has been closed, Central Office staff will review secondary editing and ‘other (specify)’ reports to check value ranges, skip patterns, consistency across variables, and correct use of ‘other (specify)’ free response fields. As needed, Central Office staff will request that Field Supervisors work with Interviewers to correct issues identified and re-transmit the corrected data to the server. Further details are provided in the *ICDM Manual*.

The Data Processing Manager will review all material produced by the Central Office staff at least weekly and note key issues in the weekly progress reports, which will be sent to the [Contractor] Country Lead and other survey staff. [SIO] will address errors identified during fieldwork as follows:

* **If an error is caught and the field team has not left the cluster,** the Interviewer team will return to the household to correct the observed error. The error discovered will be a topic for discussion during the field team’s daily debrief, during which the error will be brought to the attention of the team, and re-training will be implemented to ensure that the error does not recur.
* **If an error is caught after the field team has left the cluster, but the implications of the error are limited** (e.g., to a single household or a single respondent in a household), the error will be brought to the attention of the field team and the field team will engage in re‑training to ensure that the error does not recur. The Interviewer team will not return to the cluster to correct the observed error.
* **If an error is caught after the field team has left the cluster, and the implications of the error are significant** (e.g., an Interviewer team did not interview a selected household), the Interviewer team involved will be required to return to the cluster to correct the observed error.

The [Contractor] Country Lead will work with the [SIO] Survey Director, Field Manager, and Field Supervisors to ensure that Interviewers (and any other survey personnel) receive re-training, when necessary, and to address any other issues observed during fieldwork.

**Field check tables.** Throughout fieldwork, the [Contractor] Country Lead will review field check tables generated by the CAPI system at least weekly, or more frequently as desired, using aggregated data from completed clusters on the server. Field check tables will be reviewed to check for age heaping, age displacement, and low response rates (household and individual-level modules). Field check tables will allow the [Contractor] Country Lead and Data Processing Manager to efficiently evaluate aggregated data and identify data collection problems at the field team and Interviewer levels. Any issues identified in the review of field check tables will be shared with the relevant [SIO] staff members, who will take prompt, appropriate actions to correct the issue. Such actions may include requests for corrections, re-training as necessary, or additional oversight by the Field Supervisor or QCS team, and as well as the provision of positive feedback for teams that are performing well.

## 3.7 Post-fieldwork activities

### 3.7.1 Post-fieldwork data management

Following completion of fieldwork, [SIO] Central Office users will produce cleaned and reviewed copies of the data that will be uploaded to the [Contractor] server. The [Contractor] Data Processing Manager will lead data processing for the Round 1 Survey following the steps in the *Data Processing Manual* available in the Toolkit*.* Data processing procedures will be tracked and documented so that USAID can reproduce all intermediate data files if necessary. In addition, the Data Processing Manager will share the data required to create sampling weights with the [Contractor] Senior Sampling Statistician. They will also ensure that the final copy of the CSPro dataset is sent to the [Contractor] Data Analysts.

### 3.7.2 Calculation of response rates and weights

After data processing is complete, sampling weights will be added to the data. Sampling weights will be constructed for each sampling group relevant to the Round 1 Survey based on the analysis requirements of the survey to achieve valid population estimates. The sampling weights will be generated following the sample weighting protocol developed for the Round 1 Survey and as outlined in the *Feed the Future PBS Sampling Guide*.[[16]](#footnote-17) The final sampling weights constructed for each sampling group will account for the sample design and any differential non-response for each sampling group that may have occurred during data collection. Sampling weights will be constructed for the following sampling groups:

* Households
* Household members
* Women 18 years of age or older who are the primary adult female decision-maker
* Women of reproductive age (15–49 years of age)
* Children under 5 years of age (for the children’s nutritional status indicators)

Response rates will be calculated as ratios of the number of interviewed units over the number of eligible units for each sampling group. Note that a weighted response rate is used for non-response adjustment in deriving the sampling weights, because a non-responding sample unit with a larger design weight will have a larger impact on the survey estimates than a non-responding sample unit with a smaller design weight. This difference in design weights between sample units will be accounted for when determining the non-response adjustment required to derive the sampling weights for a particular sampling group. For a more detailed description on how sample weights and response rates will be calculated, please refer to the *Feed the Future PBS Sampling Guide.*

3.8 Handling unexpected or adverse events

This section describes responses to unexpected or adverse events that may occur during the implementation of the Round 1 Survey and ways to minimize their impact on the survey outcomes.

**Survey schedule.** In the case of adverseweather, religious holidays, or political uncertainties such as elections, the survey schedule may be modified; in other words, some activities listed in **Table 2** may take place simultaneously or on a delayed schedule.

**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, which make it unsafe for Interviewers. Consequently, data may not be collected in the affected EAs. To compensate for this, a reserve sample of EAs will be selected during the first stage of sampling in areas anticipated to have accessibility issues following the guidance as outlined in the *Feed the Future PBS Sampling Guide*. The reserve sample will be used to replace any EAs found to be inaccessible during the household listing operation or fieldwork.

**Dropouts or temporary absences.** [Contractor] will train extra Interviewers, Field Supervisors, Anthropometry Leads, and QCS team members, who will serve as backup in case anyone drops out. In addition, Field Supervisors will be trained in all aspects of data collection and will serve as backup for temporary absences of Interviewers due to health or family emergencies.

**CAPI issues.** [Contractor] will have systems in place to handle any potential CAPI-related issues. All survey data will be collected and maintained on the password-protected tablets of the Interviewers, Anthropometry Leads, and Field Supervisors, as well as the [Contractor] server. If, during fieldwork, a tablet becomes inoperable or lost, the collected data will still exist on the secure server. If the server connection fails, the collected information is retained on the Interviewers’ tablet’s password-protected hard drive and will also be synced with the Field Supervisors’ tablets. Field Supervisors, Anthropometry Leads, and Interviewers will be trained in these procedures to manage the risk of losing data and preserving collected data.

**Security risks.** Insecurity in [Country] should not have a significant impact on fieldwork. However, unforeseeable risks or interruptions may result in schedule adjustments to maximize data quality and personnel safety. These interruptions may include [XXX]. Periodic reviews will be implemented to learn and adjust, especially if conditions in an area might put staff, households, or communities in danger by exacerbating underlying tensions and vulnerabilities. Core [SIO] team members have extensive prior experience working in the P3-ZOI, including contact with community leaders, and are sensitive to the need to adapt quickly to changing conditions. If conditions shift unexpectedly, for example due to weather or unrest, adjustments will be made as necessary to better assure team safety and data quality. Please refer to the annex for details about safety and security planning for [Contractor] and [SIO] staff.

# Post-survey indicator assessment activities

## 4.1 Data analysis

For this Round 1 Indicator Assessment, data from the Round 1 Survey, the [Year] [Country] DHS, and the [Year] [Country] AAS/LSMS will be analyzed to produce P3-ZOI estimates for all indicators listed in Section 2.2. Prior to beginning data analysis, the [Contractor] Data Analysts will customize the Round 1 Indicator Assessment results table shells available in the Toolkit to reflect the indicators, disaggregates, and descriptive results to be reported.

[Contractor] will then calculate sample-weighted indicator estimates for all survey indicators (see Section 2.2) and disaggregates as specified in the *Guide to Feed the Future Statistics for Endline/Round 1 Surveys*, custom tabulation plans, or other indicator calculation guidance provided by REFS. For each indicator listed in Section 2.2, [Contractor] will tabulate the unweighted sample size, weighted standard deviation (if a continuous indicator), weighted standard error, weighted 95 percent confidence interval, design effect, and indicator incompletion rate. In addition, [Contractor] will calculate and tabulate all other results as required for the customized table shells. For each disaggregate presented, [Contractor] will conduct an appropriate test of association to determine whether a statistically significant association exists between the indicator and disaggregate.

[Contractor] will analyze the P3-ZOI Round 1 Survey data and DHS/AAS/LSMS data, taking into account the complex survey design as applicable, to generate the required statistics.[[17]](#footnote-18) The *Guide to Feed the Future Statistics for Endline/Round 1 Surveys* includes step-by-step instructions to calculate P3-ZOI indicators and is accompanied by Stata syntax files to calculate the indicators, except for the Food Insecurity Experience Scale and the geographic overlay step undertaken when using DHS/AAS/LSMS data, which are both written in R. The template syntax files will be translated into [software language(s)] because [software package(s)] will be used to analyze the data.

If the [Year] [Country] DHS is not available at the time of data analysis, the results for anthropometry and handwashing will be calculated when the data become available. If the [Year] [Country] AAS/LSMS data are not available at the time of data analysis, the results for agriculture indicators will be calculated when the data become available.

## 4.2 Report preparation

Topline findings from the Round 1 Indicator Assessment will be highlighted in a 30- to 40-page Key Findings Report, using the *P3-ZOI Round 1 Indicator Assessment Key Findings Report Template* in the Toolkit. In addition, all findings from the Round 1 Indicator Assessment will be detailed in the Round 1 Indicator Assessment Report, using the *P3-ZOI* *Round 1 Indicator Assessment Report Template* in the Toolkit*.* This report will include an executive summary, a synopsis of key findings, a full description of the methods used in the assessment, including in the Round 1 Survey, and all results tables.

The reports will include the results for anthropometry, handwashing, and agriculture indicators if the [Year] [Country] DHS and the [Year] [Country] AAS/LSMS data are available. If the [Year] [Country] DHS data or [Year] [Country] AAS/LSMS are not available, the results will be added as an addendum to the report once available. Both the Key Findings Report and the Round 1 Indicator Assessment Report will be reviewed and approved by USAID [Country] and the USAID Contracting Officer’s Representative (COR). After they are approved, the reports will be made 508-compliant and uploaded to the Development Experience Clearinghouse.

## 4.3 Results dissemination

As part of the Indicator Assessment, [Contractor] will be responsible for organizing an in-person/virtual presentation of the Round 1 Indicator Assessment results for USAID [Country] and other stakeholders, as identified by USAID [Country]. The dissemination will include a presentation of the indicator assessment background, methods, and key findings, followed by a question-and-answer period.

## 4.4 Communication products

Other communication products to be produced as part of the indicator assessment include [XXX].

## 4.5 Preparation of datasets

Primary data collected in the Round 1 Survey will be organized by [Contractor] into three datasets: one for USAID internal use (non-public access), one for use by USAID-approved users (restricted public access), and one for public use prepared according to the U.S. Government’s Open Data Policy (public access).[[18]](#footnote-19) [Contractor] will follow the instructions in the *Protocol for Preparing Non-Public, Restricted Public, and Public Access Datasets* to ensure that the datasets and their supporting materials (e.g., codebook and analysis syntax files) are properly prepared and submitted. The non-public access dataset and supporting materials will be submitted directly to the USAID COR. The restricted public and public access datasets will be submitted to the USAID Development Data Library. After it is cleared for public release, the public access dataset will be accessible through [data.USAID.gov](https://data.usaid.gov/). DHS/AAS/LSMS data used to compute ZOI indicators will not be submitted to REFS or the Data Development Library, but the syntax files created to generate the sample-weighted indicator estimates using the data will be submitted with the other analysis syntax files.

# Limitations

**This survey is not designed to measure the impact of Feed the Future programming.** The Round 1 Survey is not designed to collect data to enable attribution of changes in indicators to Feed the Future programs. ZOI Surveys are cross-sectional surveys capturing points in time; they do not include control and intervention groups required to assess causality.

# Contractor organization and key staff

[Contractor] will direct the Round 1 Indicator Assessment, including the Round 1 Survey. [Contractor background information.] [Contractor] will lead planning and design, oversee implementation, manage and analyze the data, develop the Key Findings Report and Indicator Assessment Report, and deliver the Round 1 Survey datasets. [Contractor] will also interact with the host country authorities and subcontract the local SIO. The staff roles and responsibilities listed in **Appendix C, Tables C.1** and **C.2,** will be followed to ensure a standardized, quality-focused approach to the Round 1 Indicator Assessment implementation. After the protocol is approved, any deviation from the staffing plan outlined in **Table C.1** (contractor) and **Table C.2** (SIO) will require review and approval by the USAID COR and a formal modification to the survey protocol.

# Appendix A: List of [regions/districts/communes/counties] comprising the [Country] Phase Three Zone of Influence

# Appendix B: Round 1 Indicator Assessment Gantt chart

# Appendix C: Staffing plans

Table C.1. [Contractor] Staffing Plan: Roles and Responsibilities

| **Staff position** | **Staff responsibilities** |
| --- | --- |
| Project Director  ([Name]) | * Responsible for survey quality and timeliness at all stages of project, including design, preparation, implementation, analysis, reporting, and dissemination * Provides high-level technical support for survey activities, including customization of the questionnaire, development and management of survey documents, and coordination of logistical support * Oversees and supports all contractor staff on the project team |
| Country Lead  ([Name]) | * Reports to Project Director * Provides high-level technical support for survey activities, including development and management of survey documents and coordination of logistical support * Serves as primary point of contact with USAID Mission, the host country government, and the SIO * Coordinates all contractor staff on the project team * Trains SIO staff on all survey procedures and protocols, including translation and pretesting * Tracks survey progress and resource requirements with Data Processing Manager and SIO Survey Director * Reviews field check tables and other data quality procedures during fieldwork with the Data Processing Manager * Coordinates and oversees preparation of the Round 1 Indicator Assessment Report and makes significant writing contributions * Provides quality control for all survey deliverables * Assists in coordination of the Round 1 Indicator Assessment Report, including maintaining outline and development schedule |
| Anthropometry Specialist  ([Name]) | * Leads the anthropometry classroom and practice sessions in the TOT, anthropometry training, and Interviewer training * Oversees anthropometry data collection, including during the survey pretest, pilot, and first week of fieldwork |
| Data Processing Manager/CSPro CAPI Developer  ([Name]) | * Reports to Data Processing Chief * Determines requirements for data collection applications, field check tables, and data quality reports * Develops and manages the country-specific customization of data processing documentation and survey systems * Programs data collection applications and data quality and review applications * Trains SIO staff on CSPro/CAPI use and procedures * Reviews field check tables and other data quality procedures during fieldwork with the Country Lead * Serves as resource for the ICDM/Information Technology Specialist and Data Analysts * Manages flow of data to protect respondent confidentiality |
| Research Specialist  ([Name]) | * Reports to Country Lead * Supports the Project Director, Country Lead, and Data Processing Manager in activities such as in-country training, equipment procurement, daily survey progress monitoring, and version control of survey documents, as needed |
| Senior Sampling Statistician  ([Name]) | * Reports to Senior Research and Analysis Advisor * Leads all sampling frame development, sample design, and sampling weight activities for the survey * Determines an appropriate sample design for the PBS, taking into account survey objectives * Calculates survey sample sizes and response rates * Selects samples at the various stages of the sample design * Provides technical support and guidance to the SIO on specific sampling frame development and sample implementation activities in which the SIO is involved * Prepares documentation on the sample design and implementation of the survey sample * Computes the sample design weights and final sampling weights required to conduct appropriate survey data analysis |
| Data Analysts  ([Names]) | * Report to Senior Research and Analysis Advisor * 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 Round 1 Indicator Assessment Report, and quality control of all analysis * Conduct other analyses requested by the USAID Mission * Provide text for indicator analyses for the Round 1 Indicator Assessment Report |
| Operations Deputy Director for Surveys  ([Name]) | * Reports to Project Director * Leads all survey activities, working closely with the Project Director, and is responsible for ensuring that all aspects of survey operations are implemented according to the protocol * Ensures quality control for all survey deliverables, oversees the work of Data Analysts, and helps coordinate the development of the Round 1 Indicator Assessment Report, including maintaining the outline and schedule * Responsible for providing up-to-date information on progress and timeline of survey implementation to USAID |
| Data Processing Chief  ([Name]) | * Reports to Project Director * Leads all data processing activities, such as the customization of data processing documentation and systems for the survey, and oversees the developers * Determines the requirements for the data collection programs, field check tables, and data quality reports, and is responsible for the creation of public use datasets that protect respondent confidentiality * Serves as a resource for Data Processing Manager and Data Analysts to support effective monitoring of data quality * Responsible for submitting and regularly updating the Data Management Plan for the survey |
| Technical Deputy Director for Surveys  ([Name]) | * Reports to Operations Deputy Director for Surveys * Leads methodological developments, such as the revisions and expansion of the *Feed the Future ZOI Survey Methods Toolkit* * Provides technical assistance to third party survey implementers that use the *Feed the Future ZOI Survey Methods Toolkit* * Develops, revises, and tests *Feed the Future ZOI Survey Methods Toolkit* materials to reflect modifications and additions to the PBS approaches * Participates in data analysis-related activities |
| Senior Research and Analysis Advisor  ([Name]) | * Reports to Project Director * Conducts analysis of survey data, including development of analysis plan, calculation of indicator values and population estimates, construction of tables in country report, and others as required by USAID Mission * Responsible for quality control of all analyses |
| Communications Advisor  ([Name]) | * Reports to Senior Capacity Strengthening Advisor * Leads the development of effective and innovative communications products for the survey, targeting a varied audience and country-specific needs * Builds and strengthens systems for knowledge sharing among project staff and partners and develops tools and templates to contribute to capacity building in communicating and demonstrating the use of data and analytical products |
| Senior Capacity Strengthening Advisor  ([Name]) | * Reports to Project Director * Leads the design, management, and assessment of the capacity component to increase understanding and use of population-based data and datasets * Liaises with country-based stakeholders and is responsible for developing coherent, inclusive, and innovative plans that respond to needs, opportunities, and context |

Table C.2. Round 1 Survey [SIO] Staffing Plan: Staff and Responsibilities

| **Staff position** | **Staff responsibilities** |
| --- | --- |
| Survey Director  ([Name]) | * Oversees all aspects of in-field survey operations * Ensures compliance of all levels of implementation with survey protocol |
| In-country Data Manager  ([Name]) | * Reviews data quality messages and ensures that any necessary and appropriate changes to the data are made * Responds to in-field data quality reports and manages any issues that arise, including proposing solutions * Maintains close contact with Field Supervisors, QCS teams, and survey management team * Quantitatively checks the progress of fieldwork |
| Information Technology Specialist  ([Name]) | * Ensures availability and functionality of technological tools and correct understanding of them by the technical team and local staff * Conducts survey hardware oversight, including tracking and customs procedures, as needed * Manages questionnaire updates and technical re-training of field staff, as needed * Conducts task-appropriate configuration, security, and training for non-survey hardware |
| Anthropometry Specialist ([Name]) | * Assists in the anthropometry classroom and practice sessions in the TOT, anthropometry training, and Interviewer training * Oversees anthropometry data collection, including during the survey pretest, pilot, and fieldwork * Supports the anthropometry quality assurance efforts of Field Supervisors and QCS teams throughout fieldwork |
| Field Manager  ([Name]) | * Leads coordination and management of all field operations, including hardcopy questionnaire pretest, listing, pilot, and main fieldwork |
| QCS teams | * Provide quality assurance and material and moral support to field teams, as needed * Visit field teams weekly * Serve as the Anthropometry Assistant, as needed * Number of rotating regional teams determined by the size and geographical distribution of fieldwork |
| Field Supervisors | * Responsible for day-to-day organization and supervision of field team * Meet with community leaders, manage vehicle and driver, coordinate room and board for the field team * Serve as the Anthropometry Assistant * One Field Supervisor per field team |
| Interviewers | * Conduct successful and accurate interviews with all assigned households * Serve as the Anthropometry Assistant, as needed * Note: There will be four Interviewers per field team: * Two pairs of two Interviewers (each with at least one female) |
| Anthropometry Leads | * Take children’s weight and height measurements * Remeasure children who are determined to have a weight-for-height z-score more than three standard deviations below the median * Refer children confirmed to have a weight-for-height z-score more than three standard deviations below the median to a health center for further assessment * Prepare the paper anthropometry data collection forms and enter the data into the CAPI system * Fill the nutrition pamphlet with children’s height and weight results and share with the household * Take care of the anthropometry equipment and supplies * Serve as Interviewers for Modules 1, 2, 4, and 5, as needed |
| Drivers | * Ensure safe arrival and return of field teams from survey clusters * One driver per field team |

# Annex: [Year] Feed the Future [Country] P3-ZOI Round 1 Survey safety and security plan



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1. A complete list of categories is available in the 2023 Feed the Future Indicator Handbook under indicator EG.3.2‑a, the percent of producers who have applied targeted improved management practices or technologies. [↑](#footnote-ref-2)
2. Approval will be provided by the Contracting Officer’s Representative for the [survey mechanism] implementing the Round 1 Indicator Assessment in [Country]. [↑](#footnote-ref-3)
3. Stukel, D.M. (2018). *Feed the Future population-based survey sampling guide.* Washington, DC: Food and Nutrition Technical Assistance Project, FHI 360. Available at: https://agrilinks.org/post/feed-future-zoi-survey-methods. [↑](#footnote-ref-4)
4. Bureau for Resilience, Environment, and Food Security. (2024). *Guidance for the implementation of Zone of Influence Surveys for Feed the Future target countries—Endline/Round 1*. Washington, DC: USAID. [↑](#footnote-ref-5)
5. Anna, L., & Freitag, P. (2023, October 31). *Feed the Future ZOI* S*urvey methods toolkit—Endline/Round 1 (2024-2026).* Available at: <https://agrilinks.org/post/feed-future-zoi-survey-methods-toolkit-endlineround-1-2024>. [↑](#footnote-ref-6)
6. If the EAs in the frame have on average less than 150 households, [Contractor] will segment those EAs that are more than two times the size of an average EA. If the EAs have on average 150 households or more, [Contractor] will segment EAs that have more than 300 households. [↑](#footnote-ref-7)
7. Refer to the *Feed the Future Population-based Survey Sampling Guide* and *CAPI Household Listing Manual* for details and instructions on how to segment EAs and account for segmentation when calculating sample weights. [↑](#footnote-ref-8)
8. Household selection will occur in the office, rather than in the field as a part of the household listing operation. [↑](#footnote-ref-9)
9. Stukel, D.M. (2018). *Feed the Future population-based survey sampling guide.* Washington, DC: Food and Nutrition Technical Assistance Project, FHI 360. Available at: <https://agrilinks.org/post/feed-future-zoi-survey-methods>. [↑](#footnote-ref-10)
10. Bureau for Resilience, Environment, and Food Security. (2024). *Guidance for the implementation of Zone of Influence Surveys for Feed the Future target countries—Endline/Round 1*. Washington, DC: USAID. [↑](#footnote-ref-11)
11. This adjustment is determined based on the Stukel-Deitchler Inflator. Please refer to Appendix A of the *Feed the Future Population-based Survey Sampling Guide* for a more detailed discussion of this adjustment factor. [↑](#footnote-ref-12)
12. The gross household response rate is the number of households interviewed divided by the number of households selected for the survey. Note that this is in contrast to the net household response rate, which is typically reported in Table 2.1 of the P2-ZOI Baseline Survey Report or Table 2.2.1 of the P2-ZOI Midline Survey Report, which is defined as the number of households interviewed divided by the number of valid households found in the field (i.e., households occupied). [↑](#footnote-ref-13)
13. Anna, L., & Freitag, P. (2023, October 31). *Feed the Future ZOI* S*urvey methods toolkit—Endline/Round 1 (2024-2026).* Available at: <https://agrilinks.org/post/feed-future-zoi-survey-methods-toolkit-endlineround-1-2024>. [↑](#footnote-ref-14)
14. Stukel, D.M. (2018.) *Feed the Future Population-based survey sampling guide*. Washington, DC: Food and Nutrition Technical Assistance Project, FHI 360. Available at: <https://agrilinks.org/post/feed-future-zoi-survey-methods>. [↑](#footnote-ref-15)
15. The nutrition pamphlet includes information about malnutrition (i.e., causes, why it is dangerous, and prevention), as well as the name, height, and weight of each of the caregiver’s children whose measurements were taken. [↑](#footnote-ref-16)
16. Stukel, D.M. (2018.) *Feed the Future population-based survey sampling guide*. Washington, DC: Food and Nutrition Technical Assistance Project, FHI 360. Available at: <https://agrilinks.org/post/feed-future-zoi-survey-methods>. [↑](#footnote-ref-17)
17. DHS surveys have different survey objectives and sampling requirements and are not designed with generating ZOI-level estimates in mind, which may have implications for the precision of the ZOI-level estimates computed using DHS data. These differences and their implications will be noted in the Round 1 Indicator Assessment Report. [↑](#footnote-ref-18)
18. A non-public access dataset retains some direct and many high-risk indirect identifiers, a restricted public access dataset contains plot-level geocoded data and other more sensitive indirect identifiers necessary for internal and external analysis, and a public access dataset has been processed to remove all direct identifiers and suppress or remove high-risk indirect identifiers.  [↑](#footnote-ref-19)