Survey Implementation

Document

Survey Protocol

Zone of Influence Survey

[Country] [Year(s)]

*Feed the Future Phase Two Zone of Influence Midline Indicator Assessment*

Submitted: [Date of submission]

This protocol is made possible by the support of the American People through the U.S. Agency for International Development under the terms of [Contract information]. The opinions expressed herein are those of [Contractor] and do not necessarily reflect those of U.S. Agency for International Development or the United States Government.

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**INSTRUCTIONS:**

This document has been developed as a template to be modified for each Feed the Future P2-ZOI midline indicator assessment. The content and the text have been pre-approved by the Bureau for Resilience and Food Security (RFS) and should be modified where noted. We use the following conventions in this template to indicate where modifications should or may be made:

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

Although, in principle, you should only modify the designated parts of the protocol template, read the entire document carefully to ensure that all sections and text apply to your survey activity. If you need to change anything other than the parts designated for modification, please use track changes to facilitate the review of changes by the USAID Mission and RFS.

# Abbreviations

A-WEAI Abbreviated Women’s Empowerment in Agriculture 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

HWISE-4 Brief Water Insecurity Experiences Scale

FIES Food Insecurity Experience Scale

GPS Global Positioning System

ICDM In-Country Data Processing Manager

IRB Institutional Review Board

P2 phase two

PADM primary adult decision-maker

PBS population-based survey

PPS probability proportional to size

QCS Quality Control and Support

RFS Bureau for Resilience and Food Security

SIO Survey Implementing Organization

TOT training of trainers

USAID United States Agency for International Development

VCC value chain commodity

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 population in Zones of Influence (ZOIs) in Feed the Future target countries. One of the main tools to track progress in achieving Feed the Future’s high-level objectives are population-based survey (PBS) indicators collected at baseline and then periodically thereafter. This is the first assessment of the Feed the Future indicators in [Country] since the baseline indicator values were established in [Year(s) of Baseline Survey fieldwork].

The purpose of the Feed the Future [Year(s) of Midline Survey fieldwork] [Country] Phase Two Zone of Influence (P2-ZOI) Midline Indicator Assessment, hereafter referred to as the Midline Indicator Assessment, is to provide the U.S. Government interagency partners, United States Agency for International Development (USAID) Bureau for Resilience and Food Security (RFS), USAID [Country], the [Country] government, and development partners with information about short-term progress of the P2-ZOI indicators in [Country].

This survey protocol describes the standards and procedures to implement the Midline Indicator Assessment. Midline data are collected for the Midline Indicator Assessment through the [Year(s)] [Country] P2-ZOI Midline Survey, hereafter referred to as the Midline Survey, which comprises main and parallel survey questionnaires, as described below. The survey protocol includes sections on the survey indicators and content, procedures and methods, data management and analysis, report preparation and results dissemination, handling unexpected or adverse events, and [Contractor] organization and key staff.

**Purpose of the parallel survey**

As part of the Midline Survey, a parallel survey will be administered to collect consumption expenditure and crop yield data from a sample of [number] households located in the same enumeration areas as the main survey. Nosurvey indicators are expected to be directly calculated using data collected in the parallel survey. The consumption expenditure data will be used to validate a baseline prediction model used for survey-to-survey imputation and provide a backup method to compute midline estimates for poverty indicators if needed. The crop yield data will not be analyzed as part of the Midline Indicator Assessment but will be shared with USAID for separate analyses. Specific information about the parallel survey is included in the green text boxes throughout this survey protocol.

# Scope of the survey

## Geographic focus

The geographic focus of the Midline Survey data collection is the P2-ZOI, where Feed the Future programs in [Country] are expected to have the most impact on hunger, poverty, and nutrition. This Midline Survey covers [geographical scope of survey].

[Paragraph on geographic coverage of the P2-ZOI]

**Figure 1** is a map of the P2-ZOI. The list of [regions /districts/communes] provided in **Appendix A** will be used to determine the sample frame for the Midline Survey. Details on the sampling design are presented in Section 2.6 of this protocol.

Figure 1: Map of P2-ZOI in [COUNTRY]

[Insert P2-ZOI map]

## Indicators

The Midline Survey will collect primary data to generate estimates for 16 Feed the Future phase two ZOI-level indicators, including a new indicator for water insecurity:

1. Percentage of households with access to a basic sanitation service
2. Percentage of households with soap and water at a handwashing station on premise
3. Prevalence of water insecurity, based on the Brief Water Insecurity Experience Scale (HWISE‑4)[[1]](#footnote-2)
4. Percentage of households below the comparative threshold for the poorest quintile of the Asset-Based Comparative Wealth Index
5. Prevalence of moderate and severe food insecurity in the population, based on the Food Insecurity Experience Scale (FIES)
6. Ability to recover from shocks and stresses index
7. Index of social capital at the household level
8. Proportion of households that believe local government will respond effectively to future shocks and stresses
9. Proportion of households participating in group-based savings, micro-finance, or lending programs
10. Proportion of producers who have applied targeted improved management practices or technologies
11. Prevalence of children 6-23 months of age receiving a minimum acceptable diet
12. Prevalence of exclusive breastfeeding of children under 6 months of age
13. Prevalence of women of reproductive age (15-49 years of age) consuming a diet of minimum diversity
14. Prevalence of poverty: Percent of people living on less than $1.90/day 2011 PPP
15. Depth of Poverty of the Poor: Mean shortfall of the poor relative to the $1.90/day 2011 PPP poverty line
16. Percent of people who are ‘near-poor,’ living on 100 percent to less than 125 percent of the $1.90 2011 PPP poverty line[[2]](#footnote-3)

Further, [Contractor] will conduct secondary analysis using publicly available, de-identified data from the [Year(s)] [Country] Demographic and Health Survey (DHS) to compute midline ZOI-level estimates for four anthropometric indicators:[[3]](#footnote-4)

1. Prevalence of underweight (BMI < 18.5) women of reproductive age (15-49 years of age)
2. Prevalence of stunted (HAZ < -2) children under 5 (0-59 months)
3. Prevalence of wasted (WHZ < -2) children under 5 (0-59 months)
4. Prevalence of healthy weight (WHZ ≤ 2 and ≥-2) among children under 5 (0-59 months)

[Contractor] will also compute baseline ZOI-level estimates for the four anthropometry indicators using data from the [Year(s)] [Country] DHS to enable comparison of the indicators over time.

**Indicators calculated using parallel survey data**

Nosurvey indicators are expected to be directly calculated using data collected in the parallel survey. The consumption expenditure data from the parallel survey will be used to validate a baseline prediction model used for survey-to-survey imputation and provide a backup method to compute the three poverty indicators. The crop yield data, which includes information on farmers’ ability to identify their plots on a map, the area of farmers’ plots as measured by Interviewers when walking the plot perimeters, and production information for the crop value chain commodities included in the main survey, will not be analyzed as part of the Midline Indicator Assessment, but rather will be shared with USAID for separate analysis.

## Survey content and respondents

In addition to collecting data to calculate the 16 indicators outlined in Section 2.2, the Midline Survey will collect data from primary adult female decision-makers to calculate results for the five domains of empowerment sub-index of the Abbreviated Women’s Empowerment in Agriculture Index (A-WEAI), the proportion of women who are empowered, and key constraints to empowerment in agriculture among women.[[4]](#footnote-5)

Moreover, the Midline Survey includes a new climate adaptation module and a set of program participation questions developed by RFS and customized for use in [Country]. The program participation questions will capture critical information on whether households accessed or participated in the kind of direct-and systems-level services or activities promoted by USAID [Country]’s Feed the Future portfolio. The climate adaptation module will gather information on household knowledge of climate change and how households manage the impacts of climate change, notably for their livelihoods. The information generated from the program participation questions and climate adaptation module will be used only for descriptive analysis; it will not be used to calculate any indicator estimates.

The main survey is expected to take between two and three hours to complete, and the parallel survey is expected to take between two and three and a half hours to complete, depending on the number of value chain crops included, the number of plots to be measured, and the distance of the plots from the households. These estimated survey administration times will be assessed in the survey pretest and refined as needed.

**Table 1** presents the modules to be administered in the Midline Survey and the eligible respondents for each module. No one under 15 years of age will be interviewed. 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 minors is available in Section 3.1.

Table 1: Main and Parallel Survey Questionnaire Modules and Respondents

| **Module** | **Respondent** |
| --- | --- |
| **Main survey** | |
| 1. Household roster and demographics | Primary adult decision-maker (PADM), other usual adult household member if PADM is unavailable, or emancipated minor 15-17 years of age |
| 2. Dwelling characteristics and household assets | Same respondent as Module 1 |
| 2A. Climate adaptation | PADM, other usual adult household member if PADM is unavailable, or emancipated minor 15-17 years of age |
| 3. Food security and resilience | PADM, 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 | All women of reproductive age (15-49 years of age) listed in the household roster |
| 5. Children’s nutrition | All primary caregivers (15 years of age or older) of children under 5 years of age  Note: Different children may have different primary caregivers within a household |
| 6. Women’s empowerment in agriculture | Primary adult female decision-maker (18 years or older) |
| 7. Agricultural technologies | All usual household members 15 years of age or older who are the primary decision-maker for cultivating [crop VCCs included in the main survey] or for raising [livestock, including fish VCCs included in the main survey] in the past 12 months |
| **Parallel survey** | |
| 1. Household roster and demographics | PADM, other usual adult household member if PADM is unavailable, or emancipated minor 15-17 years of age |
| 2. Dwelling characteristics and household assets | Same respondent as Module 1 |
| 8. Consumption expenditure | 8.1: PADM, other adult knowledgeable about household food consumption and expenditures in the 7 days preceding the survey, or emancipated minor 15-17 years of age    8.2-8.7:  PADM; 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 |
| 7. Agricultural technologies (plot-level information and measurement only) | All usual household members 15 years of age or older who are the primary decision-maker for cultivating [crop VCCs included in the parallel survey] in the past 12 months |

## Timing of data collection

Fieldwork for the Midline Survey will take place from [Month/Year] to [Month/Year]. The timing of the Baseline Survey, which was conducted from [Month/Year] to [Month/Year], is the most important factor used to determine the timing of the Midline Survey. The following additional factors were considered in determining when the fieldwork for the Midline Survey should take place:

* Post-harvest period for the main crop from among the priority value chain commodities (VCCs) selected for inclusion in the survey
* Seasonal issues, including [major holidays, weather that impedes fieldwork, etc.]
* [Political and security issues (timing of elections or other events that may preclude fieldwork)]
* [USAID Country requirements]

These issues were carefully weighed with USAID [Country] and RFS, and it was determined that data collection for the Midline Survey will take place from [start month (year, if needed)] to [end month year] based on [rationale].

The survey team will factor in additional buffer time at the end of the planned fieldwork to account for any unforeseen data collection delays.

## Projected timeframe

The Midline Indicator Assessment tasks, associated deliverables, and proposed schedule for preparing and implementing the Midline Survey, cleaning and analyzing data, and reporting findings are shown in **Table 2**. See **Appendix B** for the detailed Gantt chart for the Midline Indicator Assessment.

Table 2: List of Tasks, Associated Deliverables, and Proposed Schedule for the Midline Indicator Assessment

| **Gantt chart**  **taska** | **Detailed task** | **Deliverable** | **Timeline** |
| --- | --- | --- | --- |
| 1 | Undertake planning activities | **Customized work plan with Gantt chart and list of deliverables\*** | Month 1 |
| 2 | Conduct inception visit or virtual consultation, as relevant | **Inception visit or virtual consultation report, as relevant** | Month 1 |
| 3 | Develop plan for obtaining ethical review from federal wide-certified Institutional Review Board (IRB) and in-country ethics committeeb | Plan to obtain approval for the Midline Survey from a federal wide-certified IRB and an ethics committee in the survey country | Month 1 |
| 4 | Prepare the survey protocol | **Survey protocol\*** | Months 1–3 |
| 5 | Develop a scope of work for the local Survey Implementing Organization (SIO) and issue a request for proposals (if applicable) | Request for proposals with scope of work that details fieldwork implementation plan, including team structure, fieldwork timeline, and logistics | Months 1–2 |
| 6 | Prepare the sampling design document | **Sampling design document** | Months 2-4 |
| 7 | Coordinate with the national statistics office to select primary sampling units | List of selected clusters (first-stage sampling) | Months 2–3 |
| 8 | Select local SIO and submit the subcontracting package to the USAID Contracting Officer for approval (if applicable) | **Subcontracting package for USAID approval\*** c **(if applicable)** | Months 2–3 |
| 9 | Issue subcontract to local SIO (if applicable) | Fully executed subcontract with local SIO (if applicable) | Months 2–3 |
| 10 | Procure supplies and equipment (e.g., tablets and personal protective equipment) | Supply ordering plan and timeline (including customs management plan if supplies are being shipped to country) | Months 2–4 |
| 11 | Customize the core main and parallel survey paper questionnaires as per country scope of work | **Customized main and parallel survey paper questionnaires\*** | Months 2–4 |
| 13 | Translate customized main and parallel survey paper questionnaires according to established translation protocol | **Translated customized main and parallel survey paper questionnaires** | Months 3–5 |
| 14 | Submit application for review 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 | Months 3–4 |
| 15 | Develop cognitive pretest instrument | **Cognitive pretest instrument\*** | Month 4–5 |
| 16 | Implement cognitive pretest according to cognitive pretest protocol | **Cognitive pretest report\*** | Month 6 |
| 17 | Customize the core main and parallel survey Census and Survey Processing System (CSPro) computer-assisted personal interviewing (CAPI) data collection applications | Customized CSPro applications for main and parallel surveys | Months 4–6 |
| 18 | Review and prepare survey manuals: |  |  |
|  | a—*Interviewer’s Manual* (prepare) | **Customized *Interviewer’s Manual*\*** | Months 4–6 |
|  | b—*Field Supervisor’s Manual* (prepare) | **Customized *Field Supervisor’s Manual*** | Months 4–6 |
|  | c—*Quality Control and Support (QCS) Team’s Manual* (review only) | *QCS Team’s Manual* | Months 4–6 |
| d—*In-Country Data Manager’s (ICDM) Manual* (review only) | *ICDM’s Manual* | Months 4–6 |
| 19 | Prepare fieldwork management plan, including the field movement plan, field check tables, data quality control plan | Fieldwork management plan, including field movement plan, field check tables, and data quality control plan | Months 4–7 |
| 20 | Develop plans to train survey staff | **Training plans, including customized training agendas for all trainings (training of trainers, Interviewers’, Field Supervisors’, QCS teams’, and ICDM’s)** | Months 4–7 |
| 21 | Develop training materials for all survey staff trainings: | Customized attendance sheets, quizzes, role play exercises, slides, and forms | Months 4–7 |
|  | a—Training of trainers and Interviewers’ training |  |  |
|  | b—Field Supervisors’ training |  |  |
|  | c—QCS teams’ training |  |  |
|  | d—ICDM’s training |  |  |
| 22 | Implement household listing operation according to the *CAPI Household Listing Manual* | **Household listing operation report\*** and household listing data | Months 6–7 |
| 23 | Prepare listing data and select households (on a rolling basis) | List of households selected for interview | Months 6–7 |
| 24 | Ensure that IRB and ethics committee approvals have been received | **Documentation of approval from federal wide-certified IRB and in-country ethics committee, as applicable** | Month 7 |
| 25 | Implement ICDM’s training, training of trainers, and survey pretest according to the survey pretest protocol | **Training of trainers and survey pretest report\*** | Months 7–8 |
| 26 | Implement main field staff training and pilot according to the pilot protocol | **Main field staff training and pilot report\***  **Final customized main and parallel survey paper questionnaires\*** | Month 8 |
| 27 | Implement fieldwork | **Weekly fieldwork report, plus summary fieldwork report at end of data collection activities** | Months 9–12 |
| 28 | Generate field check tables | **Weekly field check tables (included in weekly fieldwork report)** | Months 9–13 |
| 29 | Prepare data weighting protocol | Data weighting protocol | Months 9–12 |
| 30 | Process data in CSPro according to Feed the Future’s standard data processing and finalization procedures | Cleaned CSPro dataset | Months 13–15 |
| 31 | Calculate sample weights and add to the data | Cleaned CSPro dataset with sample weights added | Months 13–14 |
| 32 | Prepare the data quality assessment memo | **Data quality assessment memo presenting response rates, final set of field check tables, key findings from data cleaning and data weighting tasks, and any other pertinent information regarding data quality** | Month 15 |
| 33 | Analyze the data and prepare midline indicator assessment results tables | **Final midline indicator assessment results tables** | Months 15–20 |
| 34 | Draft Midline Indicator Assessment Report, including rounds of review and revision | **Final midline indicator assessment report\*** | Months 17–20 |
| 35 | Prepare and conduct results dissemination presentation | **Final results dissemination presentation slides** | Months 17–21 |
| 37 | Develop communication products as per the agreed scope of work | **Communication products\*** | Months 17–23 |
| 38 | Prepare non-public, restricted, and public access datasets, including supporting materials | **Non-public access, restricted, and public access datasets and supporting materials** | Months 17–20 |
| 39 | Upload final Midline Indicator Assessment Report to the Development Experience Clearinghouse after USAID receives approval by the host country government | **Final midline indicator assessment report uploaded to the Development Experience Clearinghouse** | Months 20–23 |
| 41 | Upload final, Contracting Officer’s Representative (COR)-approved communications products to the Development Experience Clearinghouse | **Final communications products uploaded to the Development Experience Clearinghouse** | Months 21–23 |

a Gantt chart tasks 12, 36, 40, CS1, and CS2 are not included in the table because they are related to capacity strengthening activities, which are not described in this survey protocol.

b 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.

c The USAID COR of the survey award provides technical concurrence of the subcontracting package, which is then approved by the Contracting Officer.

Note: 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 COR approval. Deliverables denoted with bold font plus an asterisk (\*) require COR approval.

## Sampling

### Study populations

The Midline Survey collects data that reflect the characteristics of several study populations. Descriptions of the specific study populations for the main survey and the estimated number of respondents for each study population follow. All individual-level study populations are based on Baseline Survey results. The number of households included in the survey is based on the survey requirements; see Sections 2.6.2. and 2.6.3.

**Households:** Household-level data will be collected to inform water, sanitation, hygiene; climate adaptation; program participation; asset-based wealth; poverty; and resilience indicators. Data on food insecurity experience in the household over the past 12 months will also be collected at the household level to inform the indicator on prevalence of moderate and severe food insecurity. The estimated number of households in the main survey sample is [xx].

**Children under 2 years of age:** Data on the dietary intake of infants and young children will be collected from mothers and caregivers of children under 2 years of age. These data will inform two indicators: (1) the prevalence of exclusive breastfeeding among children 0-5 months of age, and (2) the percentage of children 6-23 months of age receiving a minimum acceptable diet. The estimated number of children under 2 years of age in the main survey sample is [xx].

**Children under 5 years of age:** Data on children’s participation in health and nutrition programs of the types that Feed the Future promotes in [Country] will also be collected from mothers or caregivers of children under 5 years of age. These data will inform a descriptive analysis of this program participation information. The estimated number of children under 5 years of age in the main survey sample is [xx].

**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. Data on the participation of adolescent girls 10-14 years of age and women 15-49 years of age in health and nutrition programs of the types that Feed the Future promotes in [Country] will also be collected to inform descriptive analysis. The estimated number of women 15-49 years of age in the main survey sample is [xx].

**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 the Women’s Empowerment in Agriculture module to collect data to construct the five domains of empowerment sub-index of the A-WEAI as well as some related statistics. The estimated number of primary adult female decision-makers in the sample is [xx].

**Farmers 15 years of age or older who cultivated or raised any of the targeted VCCs:** Individuals, or farmers, 15 years of age or older who were responsible for cultivating or raising one or more of the targeted VCCs included in the survey during the 12 months preceding the survey will be administered the applicable *Agricultural technologies* modules to collect information on practices and technologies used to cultivate or raise targeted VCCs. The estimated number of farmers of targeted VCCs 15 years of age or older in the main survey sample is [xx].

**Study populations for the parallel survey**

**Households:** Household-level data will be collected to validate the three imputed poverty indicators. The estimated number of households in the parallel survey sample is [xx].

**Farmers 15 years of age or older who cultivated any of [number] targeted crop VCCs:** Individuals, or farmers, 15 years of age or older who were responsible for cultivating one or more of the targeted crop VCCs included in the survey during the 12 months preceding the survey will be administered the plot area and production components of the *Agricultural technologies* and *Agricultural productivity* modules. The estimated number of farmers of targeted crop VCCs 15 years of age and older in the parallel survey sample is [xx].

### Sampling design

The Midline Survey will be conducted using a representative, random sample of the entire population living in the P2-ZOI. The sample design will follow the guidelines as outlined in *Guidance on the Feed the Future Phase Two Zone of Influence Midline Indicator Assessment* and the *Feed the Future Population-based Survey Sampling Guide*.[[5]](#footnote-6),[[6]](#footnote-7) The Midline Survey will use a cross-sectional, stratified, multi-stage cluster sampling design with up to four stages of sampling (see **Table 3**).

[Contractor] will use a sampling frame composed of all enumeration areas (EAs) in the [regions /districts/communes] that form the P2-ZOI at midline (see **Appendix A**). The sampling frame for the Midline Survey uses data from the [sampling frame source]. The name, location, and household count of each EA (including any auxiliary information available on the sampling frame that could be used in the sample design) in the P2-ZOI will be verified with the [National Statistics Office] 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 for those EAs. At this second stage of sampling, the EA will be segmented, and one segment will be selected using PPS sampling.[[7]](#footnote-8),[[8]](#footnote-9) A household listing operation will then be conducted in all EAs and segments of EAs sampled for the survey. In the third stage of sampling, households will be selected in each sampled EA and segmented using fractional interval systematic sampling from the completed listing of all households in each sampled EA and segment.

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 2 years of age for feeding behaviors, all children under 5 years of age for children’s health and nutrition program participation, all women of reproductive age (15-49 years of age) for minimum dietary diversity indicators and women’s health and nutrition program participation, all women who identify as the primary adult female decision-maker in participant households for A-WEAI components, and all individuals 15 years of age or older who cultivated or raised at least one targeted VCC during the 12 months preceding the survey and were responsible for making management decisions about these VCCs. No subsampling among eligible members will occur.

Table 3: 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 Midline 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 sample final size of [X,XXX] households for the main 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.[[9]](#footnote-10) During fieldwork, if a household is discovered to not have been listed in the dwelling unit of a sampled household, then the sampled household, together with any additional household found not to be listed, will be interviewed for the survey.

**Parallel survey sample**

The parallel survey sample will be selected as an additional sample of [X] households within the same clusters selected for the main survey using a two-phase sampling approach during the household sample selection stage. The two-phase sampling approach will involve the selection of a combined random sample of households for both surveys during the first phase, with a random subsample of households being selected for the parallel survey during the second phase. Sample selection at the individual level will follow standard ZOI Survey sampling guidance using a take-all approach within sampled households.

### Sample size determination

The purpose of the Midline Survey is to provide sample-weighted estimates of P2-ZOI indicators at midline, including their standard errors and confidence intervals, and monitor progress of P2-ZOI indicators between baseline and midline. 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 (i.e., midline) for the P2-ZOI. Although the Midline Survey is not designed to detect statistically significant differences in indicator values since the Baseline Survey, it will still be possible to detect statistically significant differences if the difference between baseline and midline values is large enough. This section of the protocol describes the process of determining the sample size for the Midline Survey, which follows guidance in the *Guidance on the Feed the Feed the Future Phase Two Zone of Influence Midline Indicator Assessment*.[[10]](#footnote-11)

#### Computing the initial main survey sample size

The purpose of the Midline Survey is to provide midline point estimates for the P2-ZOI indicators at an acceptable level of statistical accuracy. The initial required sample sizes for the main survey were computed for all the directly collected and computed indicators listed in **Table 4**.[[11]](#footnote-12) The initial sample size required for the main survey was determined based on an acceptable margin of error for the estimated level and precision of each indicator. **Table 4** presents the calculation of the initial sample size for the main survey based on the input parameters for the indicators, as given in the table using the formula that follows.

Table 4: Calculation of Initial Sample Size for the Key Midline Survey Indicators

| **Indicator type** | **Indicator** | **Estimated prevalence or mean** | **Margin of error** | **Confidence level**  **()** | **Estimated standard deviation ()** | **Design effect** | **Initial sample size** |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Percentage/proportion | FIES |  | 5% | 1.96 | n/a |  |  |
| Percent households  (Comparative Wealth Index) |  | 5% | 1.96 | n/a |  |  |
| Percent households  (savings programs) |  | 5% | 1.96 | n/a |  |  |
| Percent households  (basic sanitation) |  | 5% | 1.96 | n/a |  |  |
| Percent households  (handwashing) |  | 5% | 1.96 | n/a |  |  |
| Percent households  (local government) |  | 5% | 1.96 | n/a |  |  |
| Percent children  (minimum acceptable diet) |  | 5% | 1.96 | n/a |  |  |
| Percent women  (dietary diversity) |  | 5% | 1.96 | n/a |  |  |
| Percent producers  (ag practices) |  | 5% | 1.96 | n/a |  |  |
| Mean | Ability to Recover from Shocks and Stresses Index\* |  | 5% | 1.96 |  |  |  |
| Social Capital Index (households)\* |  | 5% | 1.96 |  |  |  |

\* Estimated standard deviation is required only for indicators that are means

(1)[[12]](#footnote-13)

Where,

= the estimated initial sample size required for the survey based on the indicator.

= the estimated design effect for the indicator in this survey. The estimate was based on the value from the Baseline Survey for all indicators.

= the estimated prevalence or mean of the indicator at the midline. This value is derived from the baseline for this indicator.[[13]](#footnote-14)

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

= is the margin of error. The margin of error used for the Midline Survey is 5 percent (i.e., M=0.05).

Based on the initial sample size computation (see **Table 4**), the [indicator with largest sample requirement] indicator had the largest initial required sample size for the main survey, [X,XXX] households, across all indicators in **Table 4.**

#### Computing the final main survey sample size

To derive the final required household sample size, the initial sample size values calculated previously are 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 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.[[14]](#footnote-15)

= adjustment for anticipated household non-response, which is equal to the inverse of the expected response rate.

**Table 5** presents the computation of the final required sample size for the Midline Survey individual- and household-level indicators.[[15]](#footnote-16) An expected response rate of [XX.X] percent was assumed for the indicators based on the Baseline Survey results.

Table 5: Calculation of Final Sample Size for the Key Midline Survey Indicators

| **Indicator type** | **Indicator** | **Initial sample size** | **Proportion of the population in the age group underlying the indicator** | **adj1** | **Sample size with** | **adj2** | **Final sample size** |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Percentage/proportion | FIES |  | n/a | n/a |  |  |  |
| Percent households (Comparative Wealth Index) |  | n/a | n/a |  |  |  |
| Percent households  (savings programs) |  | n/a | n/a |  |  |  |
| Percent households  (basic sanitation) |  | n/a | n/a |  |  |  |
| Percent households  (handwashing) |  | n/a | n/a |  |  |  |
| Percent households  (local government) |  | n/a | n/a |  |  |  |
| Percent children  (minimum acceptable diet) |  |  |  |  |  |  |
| Percent women  (dietary diversity) |  |  |  |  |  |  |
| Percent producers  (agriculture practices) |  |  |  |  |  |  |
| Mean | Ability to Recover from Shocks and Stresses Index\* |  | n/a | n/a |  |  |  |
| Social Capital Index (households)\* |  | n/a | n/a |  |  |  |

Overall, the indicator in **Table 5** with the largest required final household sample size was the [indicator with largest sample requirement] indicator requiring [X,XXX] households.

This sample size was compared to the minimum required household sample size for the “prevalence of exclusive breastfeeding of children under 6 months of age” indicator (or “EBF indicator”), which was determined using the following formula:

(3)

Where,

= minimum required household sample size for the EBF indicator.

= estimated proportion of the P2-ZOI population that is under 6 months of age.

= estimated average household size in the P2-ZOI.

= inverse of the expected household response rate.

Equation 3 was used according to RFS guidance to estimate the minimum required household sample size for the survey to ensure at least 70 children under 6 months of age were included in the sample. **Table 6** shows the parameter values used in calculating the minimum required household sample size for the EBF indicator.

**Table 6: Minimum Sample Size Required for the EBF Indicator**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Indicator** | **Average household size** | **Proportion of the population 0-5 months of age** | **Expected response rate** |  | **Sample size** |
| EBF |  |  |  |  |  |

As shown in Table 6, the EBF indicator requires a sample size of [X,XXX] households to enable at least an estimated 70 children under 6 months of age to be part of the midline sample.

#### Final main survey sample size

Comparing the final required sample sizes across all indicators in **Table 5** and **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 P2-ZOI 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 main survey is **[X,XXX] households.**

**Parallel survey sample size**

To ensure that the minimum required sample size for the parallel survey (300 households) is met, a sample of [X] additional households will be selected in each of the clusters sampled for the main survey. Therefore, the sample size for the parallel survey will be [XXX] households.

# Survey methods and procedures

## 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.** The survey protocol and survey instrument for the Midline Survey 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 3.2.8, all trainees, including Field Supervisors, Interviewers, Field Managers, Quality Control and Support (QCS) teams, and the In‑Country Data Manager (ICDM), will receive training in the protection of human subjects. At the conclusion of the human subjects’ protections training, each trainee will sign a statement of confidentiality. Signed statements of confidentiality will be retained in [SIO]’s office for 3 years.

**Informed consent and vulnerable populations (i.e. children).** **Annex 1** contains the main and parallel survey questionnaireswith informed consent statements. The informed consent statements address all major elements of informed consent. Interviewers collecting data for the main and parallel survey questionnaires will be trained to understand the purpose and content of informed consent, to read the informed consent statement to respondents, and to answer respondents’ questions about the survey or informed consent. Significant attention will be dedicated to the elements of informed consent, which are outlined under “Training in human subjects’ protections” in Section 3.2.8.

Only household members who have provided informed consent will be asked survey questions. These household members will indicate consent orally, which will be documented by the Interviewer. A copy of the informed consent statement, translated as appropriate, will be left with the household.

Children are considered a vulnerable population, requiring special consideration in any 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, but 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 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.

**Confidentiality protections.** Respect for the confidentiality of respondent information will be maintained throughout the survey process. Interviewers will not be allowed to interview anyone they know or to discuss any identified respondent’s information with anyone other than the field team 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, 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.

## Pre-fieldwork activities

### Initial preparatory activities

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

Other key preparatory tasks have included identifying and subcontracting a local Survey Implementing Organization (SIO) to conduct data collection activities. Through a selective process, [Contractor] has subcontracted [SIO] to conduct data collection activities for the Midline Survey.

[SIO] is the most qualified organization that meets the following criteria to implement a survey of the size and complexity of the Midline 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 Midline Survey fieldwork, as described in Appendix C
* Has the availability to conduct training and fieldwork in the required time period
* Has a COVID-19 mitigation policy in place to ensure the safety of staff during training and while conducting fieldwork

### Key survey documents

[Contractor] will develop five major documents for the Midline Survey: (1) the survey protocol, (2) the main survey questionnaire, (3) the parallel survey questionnaire, (4) the *Interviewer’s Manual*, and (5) 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—Midline*.[[16]](#footnote-17)

Thecontent of the main and parallel survey questionnairesis summarized in Section 2.3. The draft survey questionnaires are provided in **Annex 1** for both the main and parallel surveys. After RFS approves the customized questionnaires, they will be frozen and will be unfrozen only for updates that are required based on results from the cognitive pretest, training of trainers (TOT) and survey pretest, and Interviewers’ training and pilot. The final post-pilot paper questionnaires that will be used for data collection will be re-submitted to USAID for review and approval.

The *Interviewer’s Manual* and *Field Supervisor’s Manual* will include information for implementing both the main and parallel survey questionnaires. Customization of the *Interviewer’s Manual* will entail providing detailed instructions on how to administer each module and question included in the customized survey questionnaires. Customization of the *Field Supervisor’s Manual* will address any country-specific procedures to be followed by the Field Supervisors, including guidance on the following topics:

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

The *Interviewer’s Manual* and *Field Supervisor’s Manual* will be customized by [Contractor] in close collaboration with [SIO] to ensure that the survey subcontractor’s procedures are fully aligned with procedural requirements for the Midline Survey.

### Translation

The main and parallel survey questionnaires will be translated into [number] languages: [target languages]. In accordance with the Feed the Future ZOI Survey *Translation Protocol*, all translation revisions will be documented as part of the translation team review and adjudication process as well as after the cognitive pretest, TOT, survey pretest, Interviewers’ training, and the pilot, as needed. All translated versions of the survey questionnaires 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*, and *ICDM’s Manual*, will also be translated into [language] for training purposes.

### Data collection application customization and initial testing

Tablets with an Android operating system and Census and Survey Processing System (CSPro) data collection application will be used to collect the survey data Standard CSPro applications that correspond to the main survey and parallel survey questionnaires have been developed, tested, and made available for use in the *Feed the Future ZOI Survey Methods Toolkit—Midline*. [Contractor] will use these standard CSPro applications as the basis for developing the survey-specific applications for both the main and parallel survey questionnaires.

Customization and testing of the data collection applications is a multistage process. Customization will start as preliminary versions of the main and parallel survey questionnaires become available and will accelerate when the USAID-approved questionnaires are 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 *Feed the Future ZOI Survey Methods Toolkit—Midline* (e.g., survey specific questions, response options, currency and measurement fields, filters, and skip patterns) and develop testing scenarios to be used internally to ensure that the differences are appropriately accommodated in 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. It is expected that these revisions should correct issues, such as missing response options, issues with skip patterns, or issues with navigating through the data collection applications. If a questionnaire is the source of an issue, the questionnaire will be updated, along with the data collection applications.

If changes are required, the applications will be modified, and these modifications documented, until the data collection applications pass testing. Documents and training materials will be updated to reflect any changes made as a result of internal testing, as needed.

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 pretest, TOT and survey pretest, and Interviewers’ training and pilot. No further additions or revisions will be made to the data collection applications (or questionnaires) after these final modifications are made. Throughout this process, all associated computer-assisted personal interviewing (CAPI) documentation will be updated, along with the CAPI application customization, testing, and revision.

**Data collection application development and testing for the parallel survey**

[Contractor] will use the customized parallel survey questionnaire to customize the standard CSPro parallel survey data collection applications available in the *Feed the Future ZOI Survey Methods Toolkit—Midline*. The parallel survey data collection applications will be customized and tested thoroughly following the same procedures used for the main survey data collection applications.

### Cognitive pretest

[Contractor] and [SIO] will collaborate to conduct a cognitive pretest according to the Feed the Future ZOI Survey *Cognitive Pretest Protocol* before the TOT so there is adequate time to analyze the results and make any needed adjustments to the questionnaire before the TOT begins. The cognitive pretest 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. To conduct the cognitive pretest, the following activities will be undertaken:

**Instrument development.** After the main and parallel survey questionnaire content has been finalized and translated, [Contractor] will develop a customized cognitive pretest instrument using the customized questionnaires (see **Annex 1**) and the template instrument available in the *Feed the Future ZOI Survey Methods Toolkit—Midline*. 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 questions will primarily comprise those that were not asked in the Baseline Survey, such as climate adaptation and program participation questions. The selected questions will be identified through discussions with USAID, [Contractor], and [SIO]. The cognitive pretest instrument will be developed and administered on paper so that Interviewers can easily record notes while administering the instrument. The cognitive pretest instrument will include a statement of consent, a set of survey questions selected for pretesting, testing objectives for each survey item, and a list of suggested 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 pretesting, 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/intermediate target language] only.

**Training.** [SIO] will identify 8 to 10 experienced Interviewers to conduct the cognitive pretest. [Contractor] staff will train the Interviewers on cognitive pretesting using the cognitive pretest training materials available in the *Feed the Future ZOI Survey Methods Toolkit—Midline* and the final cognitive pretest instrument. The 3-day training will include a review of the cognitive pretest objectives, the content of the cognitive pretest instrument, and guidance on how to administer cognitive probes and take notes on respondent’s comprehension of and ability to answer the questions. The training will also include an opportunity for Interviewers to practice administering the cognitive pretest instrument 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 pretest training, Interviewers will conduct the cognitive pretest fieldwork over 2 to 3 days using the translated versions of the paper-based instrument, The cognitive pretest will be conducted in communities with contextual factors and languages similar to those in the P2-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 notetaking after pretesting is complete.

**Debriefing and next steps.** A debriefing will occur following fieldwork to discuss outcomes of the cognitive pretest. [Contractor] will prepare and submit a 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 main and parallel survey questionnaires and translations. The CSPro Developer will also revise the CAPI data collection applications accordingly.

**Cognitive pretest for the parallel survey**

There will not be a separate cognitive pretest implemented for the parallel survey.

### 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] 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, a lister, and a 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 6 to 8 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 a responsible adult household member and GPS coordinates for each household will also be recorded. If no one from the household is available at the time of the household listing, the name of a responsible adult household member will be collected from a neighbor. After the listing information for a selected cluster is received at the [SIO] Central Office, the data will be checked and quality assured by the ICDM before being submitted for household selection. [Contractor] will prepare and submit a household listing operation report to USAID summarizing preparation activities, fieldwork activities, quality control procedures, and challenges and mitigation measures.

**Parallel survey household listing operation**

The household listing operation will generate data that are used to sample households for both the main and parallel surveys, with sampled households randomly designated as either main or parallel during the household selection. As part of the listing operation, the listing teams will assess how far, on average, agricultural plots are located from household residences in the community. This information will be used to estimate the time it will take Interviewers to reach farmers’ plots to measure plot area in households selected for the parallel survey.

**Household selection.** After the household listing has been completed for a cluster, with the data checked and quality assured by the ICDM, the [Contractor] Senior Sampling Statistician will implement the household selection procedure for both the main and parallel surveys 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 and provide the lists of selected households in those clusters to the Field Supervisors. The lists of selected households will be used in field management tasks and will be programmed into the CSPro data collection system and loaded onto each tablet.

[SIO] staff will be trained in the community sensitization and listing procedures as described in the Feed the *Future ZOI Survey* *CAPI Household Listing Manual.* The household selection procedure will follow the guidance as outlined in the *Feed the Future PBS Sampling Guide,* available as part of the *Feed the Future ZOI Survey Methods Toolkit.*

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

The ICDM training, TOT, and the survey pretest will occur over a 4-week period. Participant information (i.e., name; institution; position; email address; phone number; sex; age; status as government worker, civil society worker, or student) must be collected for all trainings. Daily attendance should be kept, but full participant information will only be collected once per participant per training.

**ICDM training.** The ICDM will attend a training that will be 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 2-day training will be held in advance of the TOT. The ICDM will also participate in the TOT and Interviewers’ training.

**TOT.** [Contractor], in conjunction with [SIO], will train the staff selected as trainers for the main field staff training. The TOT will take place in [location] for approximately 2 weeks. The training will be based on the following topics drawn primarily from the *Interviewer’s Manual, Field Supervisor’s Manual,* and *QCS Team’s Manual,* and will cover the following:

* **Introduction to the Midline Survey:** survey objectives, sample, survey modules, survey implementation, confidentiality, and Interviewer and Field Supervisor roles
* **Preparing for fieldwork:** collecting materials, obtaining monetary advances for field expenses, arranging transportation and accommodations, and contacting local authorities
* **Questionnaire content:** 
  + **Main survey questionnaire:** household roster, informed consent, dwelling characteristics and household assets, climate adaptation, food security and resilience, women’s nutrition, children’s nutrition, empowerment in agriculture, agricultural technologies, and program participation
  + **Parallel survey questionnaire:** household roster, informed consent, dwelling characteristics and household assets, household consumption expenditures, targeted crop VCC plot area and production
* **Organizing and supervising fieldwork:** opening the cluster, assigning households to field teams and tracking completion, observing interviews, monitoring and evaluating Interviewer performance, conducting systematic spot-checks of household composition, reducing non‑response, maintaining motivation and morale, and completing work in a cluster
* **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, dealing with refusals, troubleshooting, and transmitting data
* **Reporting and communication:** maintaining schedule and procedures for reporting to the Field Manager, and handling issues that require immediate communication

Hands-on training and practice sessions will cover the use of all technical equipment required for survey implementation, including tablets with data collection applications. Training schedules, PowerPoint slides, CSPro data entry programs, manuals, and quizzes will be developed and customized using templates found in the *Feed the Future ZOI Survey Methods Toolkit—Midline.*

Before the TOT, the tablets will be configured with the data collection applications in all of the target languages so that tablets can be used during the latter half of the training. To accommodate this, [Contractor] will procure tablets and prepare for them to arrive at least 2 weeks before the training of trainers.

**Survey pretest.** At the end of the TOT, a survey pretest will be implemented in accordance with the *Survey Pretest Protocol* available in the *Feed the Future ZOI Survey Methods Toolkit—Midline*. The survey pretest is a critical opportunity for the survey team to test the customized survey questionnaires 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 P2-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 skip patterns, using menus, and navigation between survey modules. The survey pretest will also test interview procedures, data transmission, and data quality checks. Particular attention will be given to the new program participation and climate change and adaptation service questions to assess their performance in collecting the desired information.

All issues will be 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 documented and 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 questionnaires require corrections, the revisions will be translated, and the data collection applications updated. After the [Contractor] Data Processing Manager confirms that 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 tablet computers by the [SIO] supervisory staff, at the instruction of the [SIO] Survey Director.

The [Contractor] Data Processing Manager will review procedures for addressing issues identified in the field check table reports with the ICDM.

After the survey pretest has been completed, the [SIO] will develop a TOT and survey pretest report in collaboration with [Contractor], which [Contractor] will submit to the USAID for review. A template for the report is provided in the *Feed the Future ZOI Survey Methods Toolkit—Midline*.

### Main field staff training and pilot

The main field staff training, which includes the training of Interviewers, Field Supervisors, and QCS team members, and the pilot, will occur over a 4-week period. As with the ICDM training and TOT, participant information will be collected only once per training with attendance recorded daily.

**Training of Interviewers**. The [Contractor] Country Lead will work with the [SIO] training team to train field staff on both the main survey and parallel survey questionnaires. 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 Interviewers’ training will last approximately 3 weeks. The training, based on the *Interviewer’s Manual*, will cover the following material:

* **Introduction to the Midline Survey:** survey objectives, sample, survey modules, survey implementation, confidentiality, Interviewer’s role, assignment to Field Supervisors, payment for services
* **Conducting the interview:** giving general guidance, approaching the household, building rapport, converting refusals, obtaining informed consent, ensuring privacy, using translations, asking questions, probing, following interview instructions on the questionnaire and tablet computer, noting differences between the printed questionnaire and tablet screens, and flagging issues to be discussed with the Field Supervisor
* **Questionnaire content:** 
  + **Main survey questionnaire:** informed consent, household roster, dwelling characteristics and household assets, climate adaptation, food security and resilience, women’s empowerment in agriculture, women’s nutrition, children’s nutrition, agricultural technologies, and program participation
  + **Parallel survey questionnaire:** household roster, dwelling characteristics and household assets, consumption expenditures, and targeted crop VCC plot area and production
* **Fieldwork procedures:** following field team members’ roles and responsibilities, using the control sheet, managing the household interview, reporting to the Field Supervisor, following up missed interviews, ensuring high-quality data, and monitoring and review of Interviewers’ performance
* **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, dealing with refusals, troubleshooting, and transmitting data
* **Completing survey modules:** knowledge of general instructions, administering each survey module, asking questions, and entering responses question by question

Hands-on training and practice sessions will ensure that the trainees master the survey questionnaires, field procedures, and CAPI data collection applications. Quizzes will also help identify potential areas of improvement and trainees who may need re-training or guidance.

**Training of other field staff**

* **Field Supervisor’s training.** The Field Supervisors will participate in the Interviewer’s training and will also attend a half-day training that focuses on their role as Field Supervisors. 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’s training and will also attend a half-day training that focuses on their role as QCS team members. The QCS team training will be based on the content of the customized *QCS Team’s Manual.*

**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 *Feed the Future ZOI Survey Methods Toolkit—Midline*. The pilot will serve as a survey dress rehearsal, during which the survey team will practice implementing all survey procedures and using all systems for both the main and parallel surveys. The pilot will be conducted in rural communities in the P2-ZOI that are not part of the survey sample. The pilot will last 1 week, including time for travel. At the end of each day, all staff participating in the pilot will meet to discuss issues and challenges and to identify solutions. Proposed solutions will be tested on subsequent days.

All proposed changes to the survey questionnaires, manuals, procedures, logistics, and systems based on the pilot will be documented and prioritized for resolution. 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* and *Interviewer’s Manual* and plan any re-training.

Proposed revisions to the survey questionnaires and data collection applications will be communicated to the [Contractor] Country Lead and Data Processing Manager, who will coordinate implementation, documentation, and testing of the final changes. The Country Lead will ensure the alignment of the survey questionnaires and data collection applications, including all translations. Revisions to the questionnaires and data collection applications and other preparations for fieldwork may take several days, so there will be a brief hiatus between the pilot and the initiation of data collection. After the applications have passed testing, the revised applications will be downloaded from [Contractor]’s secure server and loaded onto all of the 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 review. A template for the report is provided in the *Feed the Future ZOI Survey Methods Toolkit—Midline*.

**Parallel survey training, survey pretest, and pilot**

The parallel survey questionnaire content and fieldwork procedures will be covered in both the TOT and the main field staff training, as discussed in this section. The parallel survey questionnaire will also be included in the survey pretest and pilot.

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

* 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 subjects’ protections training, each trainee will sign a statement of confidentiality. Signed statements of confidentiality will be retained in [SIO]’s office for a period of 3 years.

## Fieldwork activities

This section describes how the team structure and field support will be implemented for fieldwork. Fieldwork 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-field activities have been completed satisfactorily, [Contractor] will begin fieldwork for both the main survey and parallel surveys. 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.

### Composition of and support to field teams

**Team structure.** Each field team deployed will comprise one Field Supervisor, two teams of two Interviewers, and a driver. Because of the gender-sensitive nature of some aspects of the main survey questionnaire, each Interviewer team will have at least one female Interviewer. Each field team will have its own vehicle.

**Field support.** Each field team will be visited regularly by a QCS team to ensure that field teams have the supplies needed and that any problems that require central administration support receive prompt attention. The QCS teams 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; USAID [Country] will also participate in field spot-checks as part of data quality assurance.

**Fieldwork for the parallel survey**

Fieldwork for the main and parallel surveys will take place concurrently in the same EAs, but different households will be sampled for the two surveys. The same field teams will collect data for both the main and parallel surveys. The same approaches to field supervision, data transmission and management, and data quality control will be used for the main and parallel surveys.

### 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 cash outlays, providing alternative sources of electrical supply to charge tablet computers, 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*
* Maps and lists of selected households for all clusters in the assigned area
* Letters of introduction
* Supply of paper survey questionnaires (all translations) for use in emergency
* Field Supervisor’s Assignment Sheets
* Interviewer’s Assignment Sheets
* Informed Consent Forms
* Household Roster Forms
* 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 batteries for tablet
* External hard drives
* Waterproof containers and envelopes to store paperwork and, if appropriate, completed paper questionnaires
* First aid kit
* Cell phones with SIM cards and chargers
* Internet transmission devices, such as hot spots and Internet data cards
* COVID-19 supplies (face masks, hand sanitizer)
* Field supplies (umbrella, mosquito net, etc.)
* GPS devices
* [Token of appreciation] (to be distributed as gifts to eligible households upon interview completion)

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

### Data transmission in the field

[Contractor] will set up a secure server to store all survey data. Field Supervisors will send data from their tablets in encrypted files over secure channels to the [Contractor] server, on which all survey data will be stored.

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

The data will be transmitted to the [Contractor] server at least daily, depending on Internet availability. Field teams will use mobile hotspots so they can transmit data from areas with no Internet service. Data transmission will be accompanied by a report describing the data being transmitted. The data will be transmitted to the server as soon as possible.

Problems can occur that can prevent successful transmission, such as low Internet bandwidth or problems with the tablets, including damaged hard drives and screens. The data transfer system accommodates data transmission lapses, and as long as robust backup procedures are in place, all problems of this nature can be successfully addressed. [Contractor] will work closely with [SIO] to identify the most reliable approaches to access the Internet, plus several backup methods to ensure frequent, regular data transmission from the field. Damaged tablets will be returned to [Contractor] for data extraction. Extensive efforts will be undertaken to recover data from any tablets that are damaged.

### Field quality assurance systems

[Contractor] will track performance, implementation, data transmission, and data quality throughout the Midline Survey. Any observed problems will be promptly addressed, including through re-training as necessary. [Contractor] will use four quality assurance systems during fieldwork: the CAPI data collection applications, a CAPI data management system to monitor cluster progress, field check tables to identify certain data collection issues at the field team level, and field supervision to monitor the quality of data collection. Throughout fieldwork, USAID will be alerted to any serious issues that may impact the integrity of the survey.

**CAPI data collection applications.** The CAPI system that Interviewers use to collect data is also designed to help Interviewers check responses for consistency and for plausibility. When there is an issue with consistency, the application prompts Interviewers to probe and to correct whichever variable is incorrect (as appropriate). When there is a problem with plausibility, a warning message suggests that the Interviewer double-check the answers they are given.

**CAPI data management system.** Field Supervisors will use a CAPI data management system to assign and track completion of sampled households in each cluster. Field Supervisors will connect to a secure server to receive cluster assignments and a list of sampled households for each assigned cluster. Field Supervisors will assign the households to Interviewer teams. At the end of each workday, Interviewers will send their data over an encrypted Bluetooth connection to their Field Supervisor, who will review the status of each Interviewer’s work using the CAPI data management system.

The CAPI data management system will also be used to verify that the data are complete—that all household and module interviews have been carried out for each cluster. Field Supervisors will run a program that reviews household records to verify that all appropriate survey modules in all households in the cluster have been completed and that eligibility for survey modules is correct. 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.

When household records have passed the field teams’ quality review, Field Supervisors will transmit the records to the [Contractor] server, using a secure connection. The [SIO] ICDM will download the data received from the Field Supervisors and perform two additional data quality checks to ensure that the data are complete, that inconsistent or implausible answers are investigated, and that any necessary changes to the data are made (see Section 3.3.5.). The ICDM may need to contact the field teams or field management in response to any data quality issues that are flagged.

In addition, the ICDM will send cluster status reports weekly to the [Contractor] Country Lead and Data Processing Manager throughout fieldwork. The cluster status report allows the [Contractor] data processing team to see how the ICDM’s data quality assessment is going, including how many clusters they have received data from, how many clusters have completed structure checks, and how many clusters have gone through secondary editing. This information can also be used to understand the progress of fieldwork and estimate time to completion.

**Field check tables.** Using a central data processing system, the ICDM will regularly generate field check tables using aggregated data for completed clusters throughout fieldwork. Field check tables provide a wider view of the data than the CAPI data management system. These tables check for age heaping, age displacement, and response rates (household and certain modules). Templates for field check tables are available in the *Feed the Future ZOI Survey Methods Toolkit—Midline*. Field check tables will allow the Data Processing Manager and Country Lead to efficiently evaluate aggregated data and identify data collection problems at the field team level (and Interviewer level upon request). Any issues identified in the review of field check tables will be shared with the ICDM and any other relevant field management staff, who will take appropriate actions. The ICDM will work with the Field Manager to ensure that any issues are addressed promptly through re-training, as necessary, and to provide positive feedback for teams that are performing well.

**Field supervision.** Rigorous field supervision will be provided throughout fieldwork by several layers of supervisory staff to ensure the quality of the data. Front-line data quality assurance in the field will be provided by the Field Supervisors. Field Supervisors will review each household record closely before transmitting the data to the server. They will also observe all Interviewers conduct at least one interview per cluster, spot-check a random sample of interviewed households, and provide additional instruction to Interviewers as needed. QCS teams will visit the field teams during fieldwork to provide supervision and additional quality assurance. USAID [Country] staff will also participate in field spot-checks as part of data quality assurance.

### Data management

The [SIO] ICDM will produce cleaned and reviewed copies of the data. These versions will be uploaded through the Internet to the [Contractor] server. The [Contractor] Data Processing Manager will have access to the server data. The Data Processing Manager will lead data processing and finalization for both the main and parallel surveys according to the *Data Processing Manual* available in the *Feed the Future ZOI Survey Methods Toolkit—Midline* and will document and maintain a trail of the steps and procedures followed during data cleaning such that USAID can reproduce all intermediate data files if necessary. 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.

**Structure checking.** Using a central data processing system, the ICDM will generate and review a report to check the completion and structure of the data received from Field Supervisors daily. If the ICDM identifies issues, they will contact the Field Supervisor immediately to resolve them and re‑transmit the data to the server. The ICDM will work with the Data Processing Manager to review and address any outstanding issues in the data received. All data received from Field Supervisors must be complete, and no interviews can remain outstanding for the data to pass structure checking.

**Quality control and data cleaning.** The ICDM will also generate quality control reports on data received using the central data processing system daily, after the structure of the data has been checked. These reports will include both field check tables showing larger trends (see Section 3.3.4) and secondary editing reports on internal consistencies in each household’s data. Secondary editing reports will check value ranges, skip patterns, and consistency across variables; and identify missing data, outliers, and other consistency issues. The Data Processing Manager will review quality control reports at least weekly. Key issues identified will be noted on the reports, which will be sent to the [Contractor] Country Lead and other survey staff. As needed, the ICDM will contact the Field Supervisor to resolve identified issues and re-transmit the data to the server.

[SIO] will address data issues identified during data collection 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 evening 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,** for example, to a single household or a single respondent in a household, the response to the discovery of the error will be to bring the error to the attention of the field team and engage in re-training to ensure that the error does not recur. However, the Interviewer team will not return to the cluster in which the error was identified.
* **If an error is caught after the field team has left the cluster, and the implications of the error are significant** (for example, Interviewer teams do not interview selected households, or they record invalid household results such as “other” and then specify an invalid reason for not interviewing a household), the Interviewer teams involved will be required to return to the clusters to rectify the problem.

The 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.

**Parallel survey data quality assurance, transmission, and management**[Contractor] will use the same field quality assurance systems and data transmission and data management protocols used for the main survey for the parallel survey.

## Data analysis and report preparation

### Calculation of response rates and weights

After data processing and finalization is completed, the data will be weighted. Sampling weights will be constructed based on the analysis requirements for the main and parallel surveys—to enable valid population estimates to be produced. The sampling weights will be constructed for each sampling group relevant to the midline survey following the methodology outlined in the *Feed the Future PBS Sampling Guide*. 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. For the main survey, sampling weights will be constructed for the following sampling groups:

* Households
* 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 6 months of age
* Children 6-23 months of age
* Children under 5 years of age (for the children’s health and nutrition program participation analysis)
* Farmers 15 years of age or older responsible for cultivating [crop VCC] on at least one plot in the 12 months preceding the survey
* Farmers 15 years of age or older responsible for raising at least one [group] of [livestock VCC] in the 12 months preceding the survey
* Farmers 15 years of age or older, responsible for cultivating or raising one or more targeted VCC in the 12 months preceding the survey

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.[[17]](#footnote-18)*

**Parallel survey sample weighting**  
Only a household sampling weight will be calculated for the parallel survey. The parallel survey sample was selected as part of a two-phase sample design approach with the main survey sample, so the [Contractor] Senior Sampling Statistician will derive the household sampling weight for the parallel survey following a process similar to what is described for the main survey above, but with inputs at the household stage from the parallel survey sample.

### Data analysis

As part of data analysis, [Contractor] Data Analysts will customize and populate the P2-ZOI midline indicator assessment results table shells available in the *Feed the Future ZOI Survey Methods Toolkit—Midline*.

[Contractor] will calculate and tabulate sample-weighted indicator estimates for all survey indicators and disaggregates as specified in the *Guide to Feed the Future Midline Statistics* (see Section 2.2), custom tabulation plans, or other indicator calculation guidance provided by RFS. This includes computing the prevalence of poverty, depth of poverty of the poor, and percent of people who are “near poor” indicator estimates using a survey-to-survey imputation model generated using the Baseline Survey data. For each indicator listed in Section 2.2 plus four additional indicators calculated using A-WEAI data,[[18]](#footnote-19) [Contractor] will generate and 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. The Data Analysts will also perform descriptive analysis of the program participation and climate adaptation results at midline to populate the corresponding results table shells.

[Contractor] will use Stata and R to analyze the data and generate the required statistics. The *Guide to Feed the Future Midline Statistics* includes step-by-step instructions to calculate ZOI Survey indicators and is accompanied by Stata syntax files to calculate and tabulate the indicators, except for the FIES analysis syntax, which is partially written in R.

As part of this task, Data Analysts will generate tables comparing indicator estimates for midline and baseline, conduct tests of difference between midline and baseline estimates to determine whether there was a statistically significant change over time, and apply survey-to-survey imputation techniques for estimation of poverty indicators at midline.

In addition, Data Analysts will calculate key Feed the Future anthropometric indicators for the P2-ZOI using [Round 1 Year(s)] and [Round 2 Year(s)] DHS data.[[19]](#footnote-20) If the [Round 2 Year(s)] DHS data are not available at the time of analysis, the anthropometry results will be added as an addendum to the report.

**Parallel survey data analysis**[Contractor] will clean the parallel survey data using the same procedures used for the main survey data and export the data into Stata format. [Contractor] will then use the consumption expenditure data to validate the survey-to-survey imputation model. [Contractor] will not analyze the parallel survey data.

### Report preparation

Findings from the Midline Survey will be incorporated in the Midline Indicator Assessment Report, which will align with the *Midline Indicator Assessment Report Template.* This report will describe the purpose of the Midline Indicator Assessment, the sources of data for each indicator, the sample design for the Midline Survey, the procedures to collect data, limitations, and findings for all Feed the Future indicators, comparing midline and baseline estimates as possible.

The report will include the anthropometry indicator estimates if the [Round 2 Year(s)] [Country] DHS data are available at the time of analysis. If the [Round 2 Year(s)] [Country] DHS data are not available, the anthropometry results will be added as an addendum to the report. The Midline Indicator Assessment Report will be reviewed and approved by USAID [Country].

### Results dissemination and communications products

USAID [Country] will obtain Government of [Country] approval to disseminate the final report. The approved, 508-compliant report will be provided to USAID RFS for posting on the Feed the Future website, Agrilinks, and the Development Experience Clearinghouse. In addition, an in-person/virtual presentation of the overall findings will be held for USAID [Country].

### Preparation of datasets

[Contractor] will prepare three datasets for the main survey: one for USAID internal use (non-public access), one for use by USAID-approved users (restricted access), and one for public use prepared according to the U.S. Government’s Open Data Policy (public access).[[20]](#footnote-21) [Contractor] will follow the instructions in the *Protocol for Preparing Non-Public, Restricted, 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 Contracting Officer’s Representative (COR) of the survey award. The restricted and public access datasets will be submitted to the USAID Development Data Library. After it is cleared for public release by U.S. Data Services, the public access dataset will be accessible through data.USAID.gov.

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| **Parallel survey dataset preparation and submission**  [Contractor] will follow the instructions in the *Protocol for Preparing Non-Public, Restricted, and Public Access Datasets* to prepare non-public, restricted, and public access datasets and supporting materials for data collected in the parallel survey. The non-public access dataset and supporting materials will be submitted directly to the USAID COR of the survey award. The restricted and public access datasets will be submitted to the USAID Data Development Library. |

# Handling unexpected or adverse events

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

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

**Inaccessible EAs.** During fieldwork, some EAs may become inaccessible to the field teams. This can happen for a number of reasons, including physical limitations, such as a rainy season that washes out the access roads to the EA, and security issues, such as political instability, 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*.[[21]](#footnote-22) The reserve sample will be used to replace any EAs found to be inaccessible during fieldwork.

**Dropouts or temporary absences.** [Contractor] will train extra Interviewers, Field Supervisors, and QCS teams, who will serve as backup in case anyone drops out of the survey. In addition, all Field Supervisors will be trained on 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 both the Interviewers and their 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 tablet’s password-protected hard drive. In the event that both the server connection fails and the tablet becomes inoperable or is lost, the collected data will be preserved on password-protected thumb drives, used by the field teams as a backup system. Field Supervisors and Interviewers will be trained in these procedures to manage the risk of losing equipment and preserving the collected data.

**Security and COVID-19 risks.** Currently minimal security risk is expected for the Interviewers and Field Supervisors to conduct the fieldwork. Given the difficulty in predicting the timing of a possible COVID-19 surge, [Contractor] will work closely with [SIO] to ensure that a COVID-19 mitigation plan is in place to manage listing, survey training, and data collection operations.

# Limitations

**Survey not designed to detect changes in indicators from baseline.** This Midline Survey will be used to collect data to monitor short-term progress on P2-ZOI indicators. It is not designed to detect statistically significant changes in indicator values since the Baseline Survey. However, it will be possible to detect statistically significant differences if the difference between baseline and midline values for a particular indicator is large enough.

**Survey not designed to measure the impact of Feed the Future programming.** The Midline Survey is not designed to collect data to enable attribution of changes in indicators to Feed the Future programs. The Baseline and Midline Surveys are cross-sectional surveys capturing points in time; they do not include control and intervention groups required to assess causality. The Midline Indicator Assessment will, however, provide stakeholders with information about short-term progress of the P2‑ZOI indicators.

**Program participation data.** Program participation questions collect critical information on household participation in the types of direct- and systems-level services being provided by USAID [Country]’s Feed the Future portfolio. The intent of these questions is not to collect information on whether households participated in specific Feed the Future activities delivered by specific implementing partners. Rather, the expectation is that respondents should be able to provide information on whether they received support to access or participate in a service or activity, such as a training, of the types that Feed the Future facilitates or directly provides. As such, household responses to the program participation questions will not be able to be linked directly to Feed the Future programming. Further, these questions may capture programming efforts by other development actors that are investing in similar efforts within the P2-ZOI.

**Security and COVID-19 risks.** It is anticipated that insecurity should not have a significant impact on data collection. However, the security situation in [Country] is fluid, and [Contractor], [SIO], and USAID [Country] will assess the situation routinely to ensure that there is minimal risk to enumerators and other survey team members. 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 P2-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.

Between 2020 and 2022, COVID-19 infection rates as well as national and local responses to the public health emergency have resulted in suspended activities across all levels of society and operational changes for organizations. This trend remains unpredictable through 2023. [Contractor] will work closely with [SIO] to ensure that a COVID-19 mitigation plan is in place to manage the household listing, survey trainings, and data collection operations. Please refer to **Annex 2** for details about safety and security planning for [Contractor] and [SIO] staff.

# Contractor organization and key staff

[Contractor] will direct the Midline Indicator Assessment. [Contractor background information.] [Contractor] will lead planning and design, oversee implementation, manage and analyze the data, develop the Midline Indicator Assessment report, and deliver the survey datasets. [Contractor] also will 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 survey implementation. After the protocol is approved, any deviation from the survey staffing plan outlined in **Table C.1** (contractor) and **Table C.2** (subcontractor) will require review and approval by the USAID COR and a formal modification to the survey protocol.

Following is a list of key staff positions with [Contractor] involved in the Midline Indicator Assessment:

**Project Director: [Name, degree abbreviation(s)],** [relevant qualifications/experience]

**Operations Deputy Director for Surveys: [Name, degree abbreviation(s)],** [relevant qualifications/experience]

**Country Lead:** **[Name, degree abbreviation(s)],** [relevant qualifications/experience]

**Alternate Country Lead: [Name, degree abbreviation(s)],** [relevant qualifications/experience]

**Research Specialist: [Name, degree abbreviation(s)],** [relevant qualifications/experience]

**Data Processing Chief: [Name, degree abbreviation(s)],** [relevant qualifications/experience]

**Data Processing Manager: [Name, degree abbreviation(s)],** [relevant qualifications/experience]

**CSPRO/CAPI Developer: [Name, degree abbreviation(s)],** [relevant qualifications/experience]

**Senior Sampling Statistician: [Name, degree abbreviation(s)],** [relevant qualifications/experience]

**Senior Research and Analysis Advisor: [Name, degree abbreviation(s)],** [relevant qualifications/experience]

**Technical Deputy Director for Surveys: [Name, degree abbreviation(s)],** [relevant qualifications/experience]

**Data Analyst: [Name, degree abbreviation(s)],** [relevant qualifications/experience]

**Communication Advisor: [Name, degree abbreviation(s)],** [relevant qualifications/experience]

**Senior Capacity Strengthening Advisor: [Name, degree abbreviation(s)],** [relevant qualifications/experience]

# Appendix A: List of [regions /districts/communes] comprising the [Country] phase two Zone of Influence

# Appendix B: Midline Indicator Assessment Gantt chart

| **Feed the Future [Country] [Year(s)] P2-ZOI Midline** | | **MONTH** | | | | | | | | | | | | | | | | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Indicator Assessment tasks and timeline** | | **1** | **2** | **3** | **4** | **5** | **6** | **7** | **8** | **9** | **10** | **11** | **12** | **13** | **14** | **15** | **16** | **17** | **18** | **19** | **20** | **21** | **22** | **23** |
| 1 | Undertake planning activities (prepare work plan with Gantt chart and list of deliverables) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 2 | Conduct inception visit or virtual consultation, as relevant |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 3 | Develop plan for obtaining ethical review from federal wide-certified IRB and in-country ethic committee |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 4 | Prepare the survey protocol |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 5 | Develop a scope of work for the local SIO and issue a request for proposals (if applicable) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 6 | Prepare the sampling design document |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 7 | Coordinate with the national statistics office to select primary sampling units |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8 | Select local SIO and submit the subcontracting package to the USAID Contracting Officer for approval (if applicable) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 9 | Issue subcontract to local SIO (if applicable) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 10 | Procure supplies and equipment (e.g., tablets and personal protective equipment) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 11 | Customize the core main and parallel survey paper questionnaires as per country scope of work |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 13 | Translate customized main and parallel survey paper questionnaires according to established translation protocol |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 14 | Submit application for review to the federal wide-certified IRB and in-country ethics committee |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 15 | Develop cognitive pretest instrument |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 16 | Implement cognitive pretest according to cognitive pretest protocol |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 17 | Customize the core main and parallel survey CSPro CAPI data collection applications |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 18 | Review and prepare survey manuals: |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| a—*Interviewer’s Manual* (prepare) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| b—*Field Supervisor’s Manual* (prepare) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| c—*Quality Control and Support Team’s Manual* (review only) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| d—*In-Country Data Manager’s Manual* (review only) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 19 | Prepare fieldwork management plan, including the field movement plan, field check tables, data quality control plan |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 20 | Develop plans to train survey staff |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 21 | Develop training materials for all survey staff trainings: |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| a—Training of trainers and Interviewers’ training |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| b—Field Supervisors’ training |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| c—QCS teams’ training |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| d—ICDM’s training |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 22 | Implement household listing operation according to the *CAPI Household Listing Manual* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 23 | Prepare listing data and select households (on a rolling basis) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 24 | Ensure that IRB and ethics committee approvals have been received |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 25 | Implement ICDM’s training, training of trainers, and survey pretest according to the *Survey Pretest Protocol* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 26 | Implement main field staff training and pilot according to the *Pilot Protocol* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 27 | Implement fieldwork |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 28 | Generate field check tables |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 29 | Prepare data weighting protocol |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 30 | Process data in CSPro according to Feed the Future’s standard data processing and finalization procedures |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 31 | Calculate sample weights and add to the data |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 32 | Prepare the data quality assessment memo |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 33 | Analyze the data and prepare midline indicator assessment results tables |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 34 | Draft Midline Indicator Assessment Report, including three rounds of review and revision |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 36 | Prepare and conduct results dissemination presentation |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 37 | Develop communication products as per the agreed scope of work |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 38 | Prepare non-public, restricted, and public access datasets, including supporting materials |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 39 | Upload final Midline Indicator Assessment Report to the Development Experience Clearinghouse after USAID receives approval by the host country government |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 41 | Upload final, COR-approved communications products to the Development Experience Clearinghouse |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

CAPI – computer-assisted personal interviewing, CSPro – Census and Survey Processing System, ICDM – In-Country Data Manager, IRB – Institutional Review Board, SIO – Survey Implementing Organization, USAID – United States Agency for International Development

a Gantt chart tasks 12, 36, 40, CS1, and CS2 are not included in the table because they are related to capacity strengthening activities, which are not described in this survey protocol.

Note: This Gantt chart is predicated on the use of existing core survey documentation (questionnaires, manuals, data collection applications, etc.) that need only be customized for country-specific details. Addition of new questions, modules, or procedures may require considerable revision and extension of the timeline represented here

# Appendix C: Survey staffing plans

Table C.1: Midline Indicator Assessment Staffing Plan: [Contractor] Staff 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 questionnaires, 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 * Provides training to local survey partner on survey procedures and protocols, such as translation and pretesting, as applicable * Tracks survey progress and resource requirements with SIO Survey Director * Coordinates and oversees preparation of the Midline Indicator Assessment Report and makes significant writing contributions * Provides quality control for all survey deliverables, including overseeing work of Data Analysts * Assists in coordination of the Midline Indicator Assessment Report, including maintaining outline and development schedule |
| 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 data collection staff CSPro/CAPI and assists in training Interviewers and Field Supervisors * Reviews field check tables and other data quality procedures during fieldwork * 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 tablet computer training, equipment procurement, daily survey progress monitoring, and version control of survey documents, as needed |
| Senior Sampling Statistician  (Name) | * Reports to Country Lead * Calculates survey sample sizes, designs samples, and calculates response rates * Selects first stage of samples and oversees application of second-stage selection * Computes design weights and final adjusted weights |
| Data Analysts  (Names) | * Report to Country Lead * Conduct analysis of survey data, including development of the analysis plan, calculation of indicator values from primary and secondary data, calculation of population estimates, development and quality control of tables in the country report, and quality control of all analysis * Conduct other analyses requested by the USAID Mission * Provide text for indicator analyses for the Midline Indicator Assessment Report |
| Operations Deputy Director for Surveys  (Name) | * Reports to Project Director/Chief of Party * Leads all survey activities, working closely with the Project Director/Chief of Party, 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 country 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/Chief of Party * 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 * Trains the ICDM and serves as a resource for them and the Data Analysts who monitor data quality * Responsible for submitting and regularly updating the Data Management Plan for the survey |
| Technical Deputy Director for Surveys  (Name) | * Reports to Project Director/Chief of Party * 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 population-based survey approaches * Participates in data analysis-related activities |
| Senior Research and Analysis Advisor  (Name) | * Reports to Project Director/Chief of Party * 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 Country Lead * 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 activity 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/Chief of Party * 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: Midline Indicator Assessment [SIO] Staffing Plan: Staff and Responsibilities

| **Field-based**  **staff position** | **Field-based staff responsibilities** |
| --- | --- |
| Survey Director  (Name) | * Oversees all aspects of in-field survey operations * Ensures compliance of all levels of implementation with survey protocol |
| ICDM  (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 check 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 |
| 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 * 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 * One Field Supervisor per field team |
| Interviewers | * Conduct successful and accurate interviews with all assigned households   Note: There will be four Interviewers per field team:   * + Two teams of two Interviewers (each with one male and one female)   + In each enumeration area, parallel survey households will be randomly assigned to Interviewer teams. |
| Drivers | * Ensure safe arrival and return of field teams from survey clusters * One driver per field team |

# Annex 1: Midline Survey questionnaires

## Annex 1A: Main survey questionnaire

## Annex 1B: Parallel survey questionnaire

# Annex 2: Safety and security plan



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1. A performance indicator reference sheet for the new water insecurity indicator is under development and is not available in the current Feed the Future Indicator Handbook (September 2019). [↑](#footnote-ref-2)
2. Prevalence of poverty, depth of poverty of the poor, and percent of people who are ‘near-poor’ will be calculated using survey-to-survey imputation. The full consumption expenditure module will not be administered at midline in the main survey. The main survey will collect data on a set of consumption predictor variables, which will be used to estimate household consumption using a model developed using Baseline Survey data.  [↑](#footnote-ref-3)
3. The Midline Indicator Assessment will not include the four anthropometry indicators if DHS data for the most recent DHS in [Country] will not be available by the time of Midline Indicator Assessment analysis is planned to begin, or if after consultation with RFS and USAID [Country], it is determined that there are not suitable DHS data to enable the assessment of trends over time in the ZOI. [↑](#footnote-ref-4)
4. [Contractor] will collect the A-WEAI module from primary adult female decision-makers only. Because A-WEAI data will not be collected from men, the survey will not be able to compute the gender parity sub-index of the A-WEAI, and thus will not be able to compute the A-WEAI score. The survey will still be able to compute the five domains of empowerment sub-index, track progress in the proportion of women who are empowered, and measure changes to and progress in the key constraints to empowerment in agriculture for women in the P2-ZOI. [↑](#footnote-ref-5)
5. Stukel, D.M. (2018). *Feed the Future population-based survey sampling guide.* Washington, DC: Food and Nutrition Technical Assistance Project, FHI 360. Available for download from <https://agrilinks.org/post/feed-future-zoi-survey-methods>. [↑](#footnote-ref-6)
6. Bureau for Resilience and Food Security. July 2021. Guidance on the Feed the Future Phase Two Zone of Influence Midline Indicator Assessment. Feed the Future Monitoring and Evaluation Guidance Series. [↑](#footnote-ref-7)
7. 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-8)
8. Refer to the *Feed the Future Population-Based Survey Sampling Guide* and *Household Listing Manual* for details and instructions on how to segment EAs and account for segmentation when calculating sample weights. [↑](#footnote-ref-9)
9. Household selection will occur in the office, rather than in the field as a part of the household listing operation. [↑](#footnote-ref-10)
10. Guidance on the Feed the Feed the Future Phase Two Zone of Influence Midline Indicator Assessment. Feed the Future Monitoring and Evaluation Guidance. M&E Guidance Series. [↑](#footnote-ref-11)
11. Initials sample sizes are not calculated for five directly collected and computed indicators: HWISE-4, which is a new indicator at midline; the three poverty indicators, which will be estimated using the survey-to-survey imputation model; and the exclusive breastfeeding indicator, for which a different sample size calculation methodology is used (see **Table 6** and the formula that directly precedes it). [↑](#footnote-ref-12)
12. For estimation of mean indicators, the term *P*est1-*P*est in formula (1) will be replaced by *X*est2, which is the estimated variance for the distribution of indicator *X*. [↑](#footnote-ref-13)
13. Given the global coronavirus pandemic shock and the impact it has had on poverty and nutrition in low-income countries, determining the midline sample size based on pre-pandemic assumptions of improvement in indicator values from baseline may not be realistic. Preventing backsliding from baseline levels is considered a positive result under these circumstances. Therefore, the monitoring and evaluation guidance on the Feed the Future P2-ZOI Midline Indicator Assessment allows USAID Missions to use baseline indicator values when computing the required midline sample size. [↑](#footnote-ref-14)
14. This adjustment is determined based on the Stukel-Deitchler Inflator using the Baseline Survey data on the average household size and proportion of the population made up of the given sub-population for each indicator. 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-15)
15. For individual-level indicators, the final required sample size computation will include an additional adjustment to determine the number of households to contact for the given individual sub-population. [↑](#footnote-ref-16)
16. <https://agrilinks.org/post/feed-future-zoi-survey-methods-toolkit-midline-2021> [↑](#footnote-ref-17)
17. Stukel, D.M. (2017). *Sampling guide for population-based surveys in support of Feed the Future Zone of Influence indicators.* Washington, DC: Food and Nutrition Technical Assistance Project, FHI 360. Available at: <https://agrilinks.org/post/feed-future-zoi-survey-methods>. [↑](#footnote-ref-18)
18. Key indicators to be calculated with the data collected in the Women’s Empowerment in Agriculture module include the five domains of empowerment subindex of the A-WEAI, the percent of women who are empowered, the average adequacy score of disempowered women, and the percent of disempowered women who are adequate in each A-WEAI indicator. [↑](#footnote-ref-19)
19. DHS has 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 Midline Indicator Assessment Report. [↑](#footnote-ref-20)
20. A non-public access dataset retains some direct and many high-risk indirect identifiers, a restricted 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-21)
21. Stukel, D.M. (2018.) *Feed the Future population-based survey sampling guide*. Washington, DC: Food and Nutrition Technical Assistance Project, FHI 360. [↑](#footnote-ref-22)