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PLANNING FOR RESILIENCE IN EAST AFRICA THROUGH POLICY, ADAPTATION, RESEARCH AND ECONOMIC DEVELOPMENT (PREPARED)

PERFORMANCE MANAGEMENT PLAN
MONITORING & EVALUATION PLAN

APRIL 2013 (ORIGINAL) / FEBRUARY 2014 (UPDATED)

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Planning for Resilience in East Africa through Policy, Adaptation, Research, and Economic Development (PREPARED)

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February 26, 2014

DISCLAIMER

The authors' views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government

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ACRONYMS AND ABBREVIATIONS

CCOP	Chief of Party
CCCU	Climate Change Coordination Unit
DQA	Data Quality Assessment
DCOP	Deputy Chief of Party
EAC	East African Community
ePORT	Electronic Program Observation and Tracking System
FAF	Foreign Assistance Framework
ICPAC	IGAD Climate Prediction and Applications Centre
IIWRM	Integrated Water Resource Management
LVBC	Lake Victoria Basin Commission
M&E	Monitoring and Evaluation
PIRS	Performance Indicator Reference Sheets
PMP	Performance Management Plan
PREPARED	Planning for Resilience in East Africa through Policy, Adaptation, Research, and Economic Development
RCMRD	Regional Center for Mapping of Resources for Development
USAID	United States Agency for International Development
WASH	Water Supply, Sanitation, and Hygiene

SECTION I: PERFORMANCE MANAGEMENT PLAN

1.0INTRODUCTION AND BACKGROUND

In December 2012, Tetra Tech ARD was awarded the contract for the Planning for Resilience in East Africa through Policy, Adaptation, Research, and Economic Development (PREPARED) Project. Implemented in five countries (Kenya, Uganda, Burundi, Rwanda, and Tanzania), this five year endeavor seeks to "*strengthen the resiliency and sustainability of East African economies, trans-boundary freshwater ecosystems, and communities.*" Tetra Tech ARD has developed this Performance Monitoring Plan (PMP) to provide guidance and direction to track, verify, evaluate, analyze, and report on programmatic achievements towards this goal. The PMP outlines and details the PREPARED Project's Results Framework and development hypothesis. The PMP also consists of a Monitoring and Evaluation (M&E) Plan, which outlines the PREPARED Project's management structure, data management processes, quality control mechanisms, and data collection tools necessary to track program performance, inform, guide, and influence management decisions, as well as to increase the M&E capacity of the PREPARED Project's institutional partners, including the East African Community (EAC) and Lake Victoria Basin Commission (LVBC), as well as the Program's subcontractors and grantees.

Whenever possible, adaptive management will be integrated into the data collection processes. Adaptive management challenges the PREPARED Project to continuously verify and question assumptions, evaluate program success against established targets, as well as identify and implement innovative approaches to maximize success. Adaptive management will work within the PREPARED Project's programmatic rubric as described in the M&E Plan.

1.1 Reviewing and Updating the PMP

The PREPARED Project's PMP/M&E Plan was originally developed concurrently with the Project's Life of Project Strategy and First Annual Work Plan, and was approved by USAID on May 12, 2013. The PMP/M&E Plan was designed to serve the PREPARED Project management team as a tool to guide overall project performance. A key principle in the design of the PMP was that it would be a useful tool for management and organizational learning; the PMP would not merely provide a mechanism to fulfill USAID reporting requirements. As such, it was envisioned that the PMP would be updated, as required, to reflect changes in the PREPARED Project's strategy and ongoing/planned project activities. PMP implementation was therefore not envisioned to be a one-time occurrence, but rather an ongoing process of review, revision, and reimplementation. As designed, the PMP would be reviewed annually, and revised as required. When reviewing the document, the following considerations were to be taken into account:

- Are the performance indicators working as intended in the design process?
- Does the indicator stand up to scrutiny?
- Are the performance indicators providing the information needed to properly gauge PREPARED Project inputs and outcomes in each of the major project areas?

- How can the PMP be improved?

Technical experts assisted by the M&E Specialist, and under the guidance of the Deputy Chief of Party (DCOP), will document any major changes to the PMP regarding indicators or data sources, along with the rationale for these adjustments. If minor PMP elements change, such as indicator definition or responsible individual, the PMP will be updated to reflect these changes. If more substantive changes were required, the required changes would be determined in collaboration with USAID.

On November 12, 2013 USAID/East Africa conducted the first Data Quality Assessment (DQA) of the PREPARED Project. The DQA was both productive and positive, and concluded with a list of concrete actions designed to help the PREPARED Project improve the structure and implementation of its PMP/M&E Plan. Specific recommendations included:

1. Establishing Indicator Targets (Replacing TBD Targets)
2. Revisiting/Revising FY 2014 Indicator Targets (as necessary):
3. Considering Additional Indicators:
4. Clarifying potential issues with the WASH Component/indicators (tied to Grants Under Contract):

In follow-up to the DQA, USAID/East Africa requested that Tetra Tech ARD reflect on the recommendations, and revise the PMP as deemed appropriate. This updated PMP, submitted to USAID/East Africa on February 26, 2014, incorporates Tetra Tech ARD's response to all four recommendations.

2.0RESULTS FRAMEWORK

The success of the PREPARED Project is built on a series of logical, causal linkages between inputs (activities), performance indicators (outputs, outcomes, and impacts) and program objectives. The PREPARED Project's Results Framework (see Figure 1) illustrates the causal linkages between Sub-Intermediate Results, Intermediate Results, and the Project objective. The development hypothesis upon which the PREPARED Program is founded asserts that the increased capacity of regional and local institutions to develop, access, share, and utilize climate change adaption, biodiversity, and WASH information and decision support tools will result in in strengthened decision making systems, increased resiliency to climate change, improved management of trans boundary freshwater ecosystems, and increased access to Water, Sanitation, and Hygiene (WASH) services. This framework emphasizes the empowerment of the EAC, LVBC, and other regional institutions (such as IGAD Climate Prediction and Applications Centre (ICPAC) and Regional Center for Mapping of Resources for Development (RCMRD) to ensure sustainable and continued change long after the end of the PREPARED Project and the larger PREPARED Program. To achieve these objectives, we present the following development hypothesis predicated on a series of "if" and "then" statements:

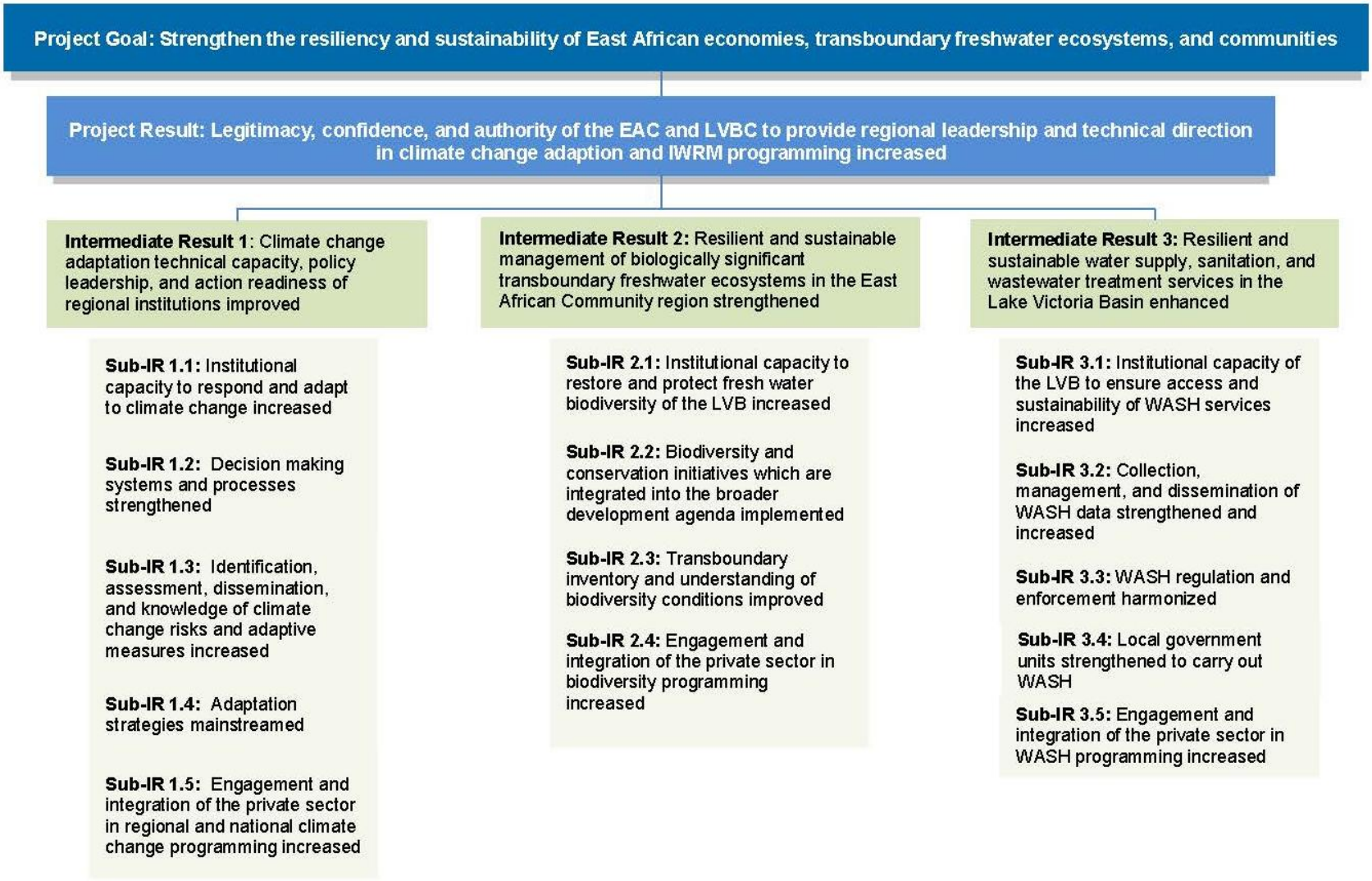
> *If* climate change adaptation technical capacity, policy leadership, and action readiness of regional institutions is improved (IR 1), and
>
> *If* resilient and sustainable management of biologically significant transboundary freshwater ecosystems in the East African Community region are strengthened (IR 2), and
>
> *If* resilient and sustainable water supply, sanitation, and wastewater treatment services in the Lake Victoria Basin are enhanced (IR 3), then

The legitimacy, confidence, and authority of the EAC and LVBC to provide regional leadership and technical direction in climate change adaption and Integrated Water Resource Management (IWRM) programming increased, and

If all of the above are achieved, then

The PREPARED Project will strengthen the resiliency and sustainability of East African economies, trans-boundary freshwater ecosystems, and communities.

FIGURE 1: PREPARED PROJECT RESULTS FRAMEWORK



3.0TIES TO LOCAL AND FOREIGN ASSISTANCE FRAMEWORKS

The PREPARED Project is funded with resources earmarked by the U.S. Congress and the President for Climate Change Adaptation (IR1), Biodiversity Conservation (IR 2), and WASH (IR 3). These Results contribute to Foreign Assistance Framework (FAF) Program Areas 4.8, Environment (through elements 4.8.2, Clean Productive Environment [Climate Change], and 4.8.1, Natural Resources and Biodiversity), as well Program Area 3.1, Health (through Element 3.1.8, Water Supply and Sanitation). As the Project's second component is funded by the biodiversity earmark, the project will follow all four key criteria of USAID's "Biodiversity Code," including monitoring indicators for biodiversity conservation to measure the project's impact in biologically significant areas.

USAID/East Africa's PREPARED Project goals and objectives are closely aligned with the individual goals and objectives of the EAC and LVBC, as described in the East African Community Climate Change Master Plan, EAC Climate Change Strategy, and the Lake Victoria Basin Committee Draft Strategic Plan (2011-2015).The acknowledgement of shared goals and objectives across regional institutions and EAC partner states is an essential step in improving coordination and building capacity across stakeholder groups, and thus a critical component of our PMP approach.

SECTION 2: M&E PLAN

4.0 M&E MANAGEMENT STRUCTURE

In this section we describe the PREPARED Project's roles and responsibilities for M&E.

4.1 M&E Specialist

The PREPARED Project has one full-time M&E Specialist who is responsible for ensuring the implementation of the adaptive management approach (see Section 5.0) and for guiding all activities related to M&E indicated in this document. The role of the PREPARED Project M&E Specialist is to:

1. *Advise* technical staff and partners on M&E needs, procedures, standards and best practices;
2. *Facilitate* data collection, management, and reporting; and
3. *Lead* the team in forums to learn from project data.

Specifically, the M&E Specialist has the following primary responsibilities:

- Provide professional guidance and hands-on assistance to all programmatic staff on issues related to M&E. More precisely, she will organize trainings and orientations for PREPARED Project staff on the importance of M&E, USAID rules and procedures, data gathering techniques, standards, and best practices. In addition, the M&E Specialist will routinely provide guidance on activities related to data gathering and assist in its proper implementation as well as be involved in data collection activities when necessary.
- Assess the quality of collected data and provide feedback to parties responsible for data collection. The M&E Specialist is responsible for the systemization and maintenance of collected data. The description of this process is briefly described in the Data Management Process section of this PMP.
- Analyze the data, and based on the findings, consult the DCOP, COP and Technical Advisors to provide recommendations and propose alternatives to inform their decisions on future activities. This is considered to be a very important phase and is at the core of adaptive management—ensuring continuous improvement of program implementation. These findings will also be periodically submitted to Tetra Tech's home office.

The M&E Specialist will be working closely with all Project staff, and with subcontractors, grantees, investment package recipients and other parties implementing activities on behalf of Tetra Tech ARD. The M&E Specialist

will inform the DCOP of progress on a weekly basis; draft and submit inputs to quarterly reports; and, will report on specific indicators separately when required.

In addition the M&E Specialist will provide standardized formats and templates to all team members involved in the data-gathering activities, as well as a copy of the PMP and M&E Plans for guidance and review. In addition to sharing these documents and formats with Project staff, the M&E Specialist, together with the DCOP, will organize and hold semi-annual review meetings with Project staff (component-by-component) to assess progress in achieving targets, and to clarify any questions the staff may have. The M&E Specialist will ensure data are routinely monitored, evaluated, analyzed, input into the PREPARED Project's ePORT (electronic Program Observation, Reporting and Tracking) System, and reported to USAID and other stakeholders as relevant.

4.2 DCOP

DCOP Ramzy Kanaan will backstop all M&E activity for the PREPARED Project, and will serve as the primary M&E point of contact to USAID.

5.0DATA MANAGEMENT PROCESS

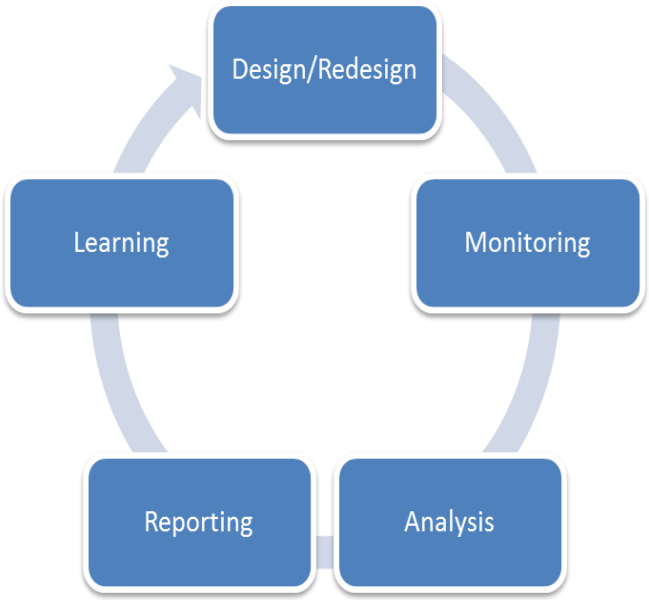


Figure 1 Tetra Tech's Adaptive Management Process

The PREPARED Project's highly devolved M&E system (e.g., data collected from 5 countries, several subcontractors, grantees, and investment package recipients, and involving multiple institutional partners) requires a rigorous, yet efficiently streamlined data collection, management, auditing and reporting process. To manage these data and data collection requirements, this PMP is designed with an adaptive management lens, facilitating **programmatic and strategic decision-making based on program data**. Program data (specifically as they relate to performance indicators) will move along a data cycle (monitoring, evaluating, analysis, reporting and learning). This process will be facilitated by the implementation of a customized **electronic Program Observation, Reporting and Tracking (ePORT) System** developed by Tetra Tech ARD's Monitoring and Evaluation and GIS teams to meet the unique requirements of PREPARED by:

- Capturing activity, indicator, and geospatial data remotely through electronic data collection on Smart devices (such as smart phones or iPads);
- Improving data documentation through capturing GPS coordinates and uploading documentation associated with each activity or data point (such as photos or forms);
- Improving data management through a cloud-based system maintained by the M&E Specialist;
- Improving data quality through standardized pre-programmed electronic forms; automatic alerts to the M&E Specialist each time a new data point is added to ePORT; and systems that allow the M&E Specialist to immediately reassign inaccurate, incomplete, or undocumented data to the data collector;
- Improving Project reporting through automatic export of data into tables designed according to PREPARED requirements (see tables in Section III. PROGRAM PROGRESS-Quantitative Impact), as well as creative data visualization tools used to communicate project progress and successes; and
- Facilitating adaptive management by providing real time access to data that can immediately be analyzed to inform programmatic planning and decision making.

A description of how ePORT will be applied to each step of the adaptive management cycle is described below.

Step 1. Monitoring

The first step in the PREPARED Project's data management system is ***monitoring***, which includes the routine and systematic collection of both qualitative and quantitative data that contribute to performance indicators. Implementing partners (subcontractors, grantees and other partners) will be responsible for monitoring the outputs/outcomes and documentation (GPS coordinates, photos, and forms) of activities they implement, and inputting these data on smart devices (such as Smart phones or iPads). Data are stored on smart devices until the data collector enters a WiFi zone and data are automatically updated to the cloud-based ePORT data management system.

After data are collected they will be reviewed to assess their rigor against USAID's five data quality criteria: validity, integrity, precision, reliability and timeliness (please see ADS 203.3.5.1 and Appendix B). The M&E Specialist will receive an automatic update each time a new data point is added to ePORT so that she may immediately review of the quality of the data. If program data are deficient in one of more of the data quality criteria or if data documentation is missing, the M&E Specialist will electronically reassign the data to the data collector for correction. If problems persist, the M&E Specialist will work with the DCOP/COP, Tetra Tech's home office M&E Specialist as well as USAID/East Africa to develop new data collection strategies to strengthen data quality.

Following the quality review, all data and electronic data documentation (GPS coordinates, photographs, photos or scans of meeting agendas, etc.) will be stored securely on ePORT. The M&E Specialist, DCOP, and COP will be able to access the cloud-based system through a secure login and username. Original hard copies of data documentation will be housed in the Kisumu office. This step will ensure a complete filing system of all data documentation in one location in preparation for scheduled data quality audits. In addition, the DCOP will conduct an internal DQA on a semiannual basis.

Step 2. Analysis

After the M&E Specialist has ensured the data meets the quality standards required by USAID and are supported by appropriate documentation, she will ***analyze*** the data. The step of analysis is critical to understanding impact. During this stage, disaggregated data are assessed to understand impacts of PREPARED Project activities. With supporting qualitative data, this step analyzes the connections between indicators, tasks, and components to demonstrate traction made toward meeting results (targets). While data will be continually analyzed on a quarterly basis throughout the life of the project, the Project will conduct up to two intensive internal evaluations (mid-term and end-of-project) of the impact of PREPARED Project activities. These evaluations will closely review all qualitative, quantitative, and spatial data to address key evaluation questions, as further discusses in Step 4, Learning.

Step 3. Reporting

After data are analyzed, they are available for ***reporting*** to USAID/East Africa and other stakeholders. The ePORT system simplifies the reporting process by pre-formatting tables according to USAID standards that can

be easily updated with quarterly data. Quantitative results will be reported according to the guidelines defined in the PREPARED Project Quarterly Report Template (see below).

Figure 2 Sample Quarterly Report Indicator Table

INDICATOR TITLE: Number of stakeholders with increased capacity to adapt to the impacts of climate variability and change as a result of USG assistance						
INDICATOR NUMBER: 1.4						
UNIT: Number of Stakeholders	*DISAGGREGATE BY:* Country of Origin, Capacity Type, Gender					
	Country of Origin	*Capacity Type (*Implementing risk-reducing practices or actions to improve resilience to climate change=1; Using climate information in decision making=2)	*Event/Date*	*W*	*M*	*Sub-total*
	-	-	-	-	-	*0*
			Totals	*0*	*0*	*0*

Results:

Additional Criteria *If other criteria are important, add lines for setting targets and tracking*	***Baseline***	*Results Achieved Prior Periods*	*This Reporting Period 1/Apr/11*		*Reporting Period 1/Jul/13*	*Reporting Period 1/Oct/13*	*Reporting Period 1/Jan/14*	*FY 2013 Target*	*FY 2014 Target*	*End of Project Target*
		Achieved	*Target*	*Achieved*	*Target*	*Target*	*Target*	*Target*	*Target*	*Target*
-	*0*	*0*	*TBD*	*0*	*TBD*	*TBD*	*TBD*	*TBD*	*TBD*	2500

Step 4: Learning

The above reporting tools facilitate an important step in the Adaptive Management cycle, ***learning***. This critical step allows space for program staff and other stakeholders to find the pattern in the noise. Beginning in Year Two, participatory learning forums will be held semi-annually with project staff (and as deemed appropriate other stakeholders) to discuss the following questions:

- *Which activities were successful, and why?*
- *Which activities fell short of their anticipated results? Why?*
- *How could any activity be redesigned to increase efficiencies, effectiveness, scope, and customer satisfaction?*
- *Are there any "red-flags" that we need to be aware of, and if so what?*

	Linking Learning to Decision Making
Technical Staff	• Participate in learning forums • Contribute useful contextual information that contributes to the learning process
M&E Specialist	• Facilitate learning forums • Document and disseminate the findings of learning forums to project staff and stakeholders (decision makers and implementers from partner institutions) • Summarize the findings from learning forums in Quarterly/Annual Reports
COP/DCOP	• Ensure that findings from learning forums are included in annual work plans and are considered in the development of activities.

STEP 5: REFINE AND REVISE

The revision phase is a very important phase, and is at the core of adaptive management—ensuring continuous improvement of project implementation based on learning. At this final stage in the process, members of the team consider the key "ingredients" of the PMP (the Results Framework, indicators and targets) and whether these are aligned with project activities. At times, this review may reveal a discrepancy between the focus of activities, indicators and expected results. In most cases, a project should then consider its planned activities, and whether it will deliver the desired results of the project. However, in some cases, the learning process above may reveal that the initial assumptions (or causal logic) supporting theory of change was misinformed. Or, in other cases, internal or external factors may require a project to adjust its original scope or objectives. In these cases, elements of the PMP may need to be refined or redesigned. It is important to note here that while changes to the PMP may become apparent at different points in a project cycle, the project must continue to follow the standards and methods outlined in the current PMP until the revised document is officially approved by USAID. No changes in programmatic direction or strategic approach based on the adaptive management approach will be made without prior consultation with USAID and documented through the work plan and PMP approval process, and where deemed necessary, contract modification. Once approved, the project may then follow the new PMP standards and protocols throughout the adaptive management data cycle.

Refining and Revising the PMP	
Technical Staff	• Review PMP elements • Recommend changes to PMP based on project learning • Recommend changes to Work Plan and/or activity implementation based on project learning
M&E Specialist	• Review PMP elements • Recommend changes to PMP based on project learning • Recommend changes to Work Plan and/or activity implementation based on project learning • Make necessary changes to the PMP
COP/DCOP	• Review and approve recommended changes to PMP prior to submission to USAID • Submit revised PMP/Work Plan to USAID.

6.0DATA COLLECTION

6.1 Baseline Data

The baseline value for all PREPARED Project output indicators is zero. Baseline data will be collected for all outcome/impact indicators.

6.2 Quantitative Data Collection

Quantitative data will be collected routinely and continuously throughout the life of the PREPARED Project. The methodology for data collection will depend on the specific performance indicator. For more information on data collection as it relates to a specific indicator, see Appendix A: Performance Indicator Reference Sheets (PIRS). The PIRS are critical to this document as they outline the definition of the indicator, how it will be measured, with what methodology, by whom, when, where, and why. It also details data limitations, data storage, data acquisition, and individuals responsible for ensuring sound and rigorous data quality. The M&E Specialist will train PREPARED Project staff and partners (including subcontractors and grantees) on the data collection methodologies outlined in the PIRS, including how to accurately complete the program's data collection forms.

6.3 Qualitative Data Collection

The PREPARED Project will collect and disseminate a wealth of qualitative data. Qualitative data are critical because they provide the story behind the numbers of the performance indicators and give greater insight into the depth and breadth of impact. The list of qualitative questions outlined in Table 1 is by no means exhaustive and may grow or shrink as the project gains more traction. These questions are merely guides to support and strengthen the quantitative data and will be continuously asked throughout the project. Where indicators in Table 3 are definitive and have firm targets, the qualitative questions below will be revisited on a continuous basis to assess how well the project is contributing to these measures. The reporting frequency is also a guide that differentiates those higher-level qualitative questions that are assessed over a greater period of time versus those results which can be measured more frequently.

To support the qualitative data collection needs outlined in the PIRS in Appendix A, the PREPARED Project's M&E Specialist will work with the project's Technical Advisors to identify activities that will produce qualitative data which will triangulate and support project results. Using standardized USAID-approved formats (http://www.usaid.gov/stories/submit.html) as well as customized formatted developed by the M&E Specialist,

the collection of qualitative data is a shared responsibility of both the M&E Specialist and the technical staff; however, the M&E Specialist will manage this process as with all M&E related processes for the project.

Table 1 Illustrative Qualitative Questions

Qualitative Question	Reporting Frequency
Are training participants satisfied with trainings offered?	Ongoing - Quarterly Reports
Are PREPARED Project partners utilizing Adaptive Management in their work?	Ongoing - Quarterly Reports
Are the EAC and LVBC better able to fulfill their mandates as a result of USG assistance?	Annual Reports
Has PREPARED had a substantial impact in improving water and sanitation service delivery? If so, how has improved service delivery impacted women, youth, and marginalized groups?	Annual Reports

6.4 Measuring Institutional Capacity

Three PREPARED Project indicators require the measurement of institutional capacity:

- 1.2 (Custom) Percentage increase in institutional capacity score, as measured by OCAT
- 1.3 (FACTS 4.8.2-14/3.1.8-29) Number of institutions with improved capacity to address climate change issues as a result of USG assistance
- 3.3 Number of institutions with improved capacity to address drinking water supply, sanitation, and hygiene issues as a result of USG assistance

As early as possible in project implementation, Tetra Tech ARD will work with the EAC to adapt and use the Agency's Organizational Capacity Assessment Tool (OCAT) to jointly assess the capacity of the EAC Secretariat's Climate Coordination Unit (CCCU). The first Organizational Capacity Assessment will establish baseline, and will inform the development of the PREPARED Project's CCCU Capacity Building Plan. The scheduled administration of the OCAT will be built into the Project PMP, and will be used to assess institutional advances against established targets and milestones on an annual basis, and also to re-establish targets as necessary given their performance over the year. These assessment activities will contribute to indicator 1.2.

As per the indicator definitions for indicators 1.3 and 3.3, USAID's OCAT does not need to be used to measure changes in institutional capacity under these indicators. These indicators are designed to count, as well as document, instances in which the PREPARED Project provides capacity building assistance to local/regional institutions. Data documentation

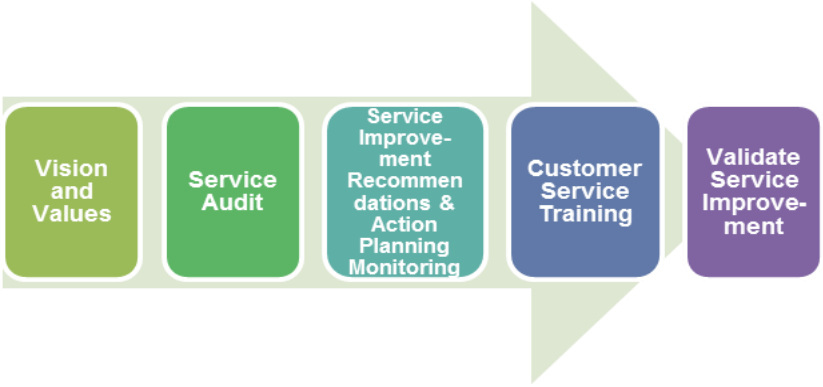


Figure 3 QSIP Planning and Implementation Framework

should include a brief explanation of how the activity, plan, etc. contributed to the improved capacity of the institution.

To improve WASH service delivery, Tetra Tech ARD will introduce, demonstrate, and institutionalize a Quality Service Improvement Program (QSIP), which will foster a service culture by involving managers, staff who provide the service, and customers (or service users) in establishing service standards and defining the means to achieve them. The methodology consists of five planning and implementation stages spanning several months. To strengthen the capacity of local government and others to meet QSIP expectations, Tetra Tech ARD will train the institutions to employ appropriate institutional and organizational capacity assessment tools, potentially including USAID's OCAT. This framework will assist each organization to define "institutional development targets," which comprise a self-defined index of operations that will enable service providers to fulfill their mandates and sustain themselves as effectively operating entities. Milestones and management practices in specific categories, such as governance, management practices, technical capacity, financial resources, service delivery, customer satisfaction, and organizational sustainability, will be assessed annually. These assessments will be used to prepare and conduct targeted training to achieve the intended QSIP targets. These WASH capacity building activities will contribute to indicator 3.3: *Number of institutions with improved capacity to address drinking water supply, sanitation, and hygiene issues as a result of USG assistance.*

7.0DATA QUALITY ASSESSMENT

The PREPARED Project's M&E systems and processes will ensure high quality data. Although the primary data collectors of the program are the technical staff (those most closely linked to beneficiaries and activities), the PREPARED Project's M&E Specialist will conduct interviews, consult with Technical Advisors, and inspect records to triangulate results. While many of the indicators are relatively easy to collect by technical staff, systematic data verification by PREPARED's M&E Specialist will ensure data collection accurately, as well as identify data quality constraints. In addition, data transcription errors (e.g., number of participants) will be checked against original hard copy, all of which will be archived for Data Quality Assessment (DQA) purposes. If a data problem is identified (either quantitative or qualitative), the M&E Specialist will issue a report that requires the technical staff and M&E Specialist to reconcile the discrepancy. This ongoing DQA process is complemented by an internal DQA that will be conducted by a team comprised of the Tetra Tech ARD home office M&E Specialist, the PREPARED Project M&E Specialist and the DCOP, for each performance indicator, at the interval specified in each PIRS. Each PREPARED Project indicator will undergo this internal DQA process at least twice during the life of the program. The internal DQA will follow the format outlined in Appendix B, Data Quality Worksheet. Within a month of the completion of the internal DQA, the program will issue a report to the COP and Project staff (and USAID if necessary) detailing the findings. Based on these findings, the PMP may be modified to strengthen data quality. The internal DQA described here is an internal quality control mechanism and does not substitute for any formalized, USAID-initiated DQA of program data.

8.0TIMELINE

Table 2 M&E Timeline

Major Steps	2013				2014				2015				2016				2017			
	Qt 1	Qt 2	Qt 3	Qt 4	Qt 1	Qt 2	Qt 3	Qt 4	Qt 1	Qt 2	Qt 3	Qt 4	Qt 1	Qt 2	Qt 3	Qt 4	Qt 1	Qt 2	Qt 3	Qt 4
Submit Draft PMP (60 days from award-2/20/13)	X																			
Receive Comments from USAID (15 days from submission)	X																			
Submit Final PMP (4/19/13)		X																		
Submit Revised PMP						X														
Establish Baseline		X	X	X	X															
Review Performance Information		X	X				X				X				X				X	
Report Performance Results	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Internal DQA							X													
USAID DQA					X			X												
Review and Update PMP				X	X	X		X				X				X				

9.0INDICATORS

Table 3 PREPARED Performance Indicator Table

Performance Indicator	Baseline	Y1 Target	Y2 Target	Y3 Target	Y4 Target	Y5 Target	LOP
Intermediate Result 1: Climate change adaptation technical capacity, policy leadership, and action readiness of regional institutions improved							
1.1 (FACTS 4.8.2-8) Number of **climate adaptation** tools, technologies and methodologies developed, tested and/or adopted as a result of USG assistance	0	1	7	5	4	3	20
1.2 (Custom) Percentage increase in institutional capacity score, as measured by OCAT .(Disaggregated by: institution, key capacity area)	18.8/28	0	5%	10%	20%	30%	30% above baseline
1.3 (FACTS 4.8.2-14/3.1.8-29) Number of institutions with improved capacity to address **climate change adaptation** issues as a result of USG assistance (Disaggregated by: institution)	0	0	4	6	7	3	20
1.4 (FACTS 4.8.2-28) Number of laws, policies, strategies, plans, agreements, or regulations addressing **climate change adaptation** officially proposed, adopted, or implemented as a result of USG assistance (Disaggregated by: stage; implementing/enforcing institution; scale)	0	0	0	8	7	5	20
1.5 (FACTS 4.8.2-6) Person hours of training completed in **climate change adaptation** supported by USG assistance (Disaggregated by: nationality; gender)	0	560	1440	3000	2000	1000	8,000
1.6 (FACTS 4.8.2-27) Number of days of USG funded technical assistance in **climate change adaptation** provided to counterparts or stakeholders (Disaggregated by: institution)[1]	0	0	29	36	36	13	114

[1] Indicator added in January 2014.

Intermediate Result 2: Resilient and sustainable management of biologically significant trans-boundary freshwater ecosystems in the East African Community region strengthened							
2.1 (FACTS 4.8.1-26) Number of hectares of **biological significance** under improved natural resource management as a result of USG assistance (disaggregated by Country), new maintained /previously maintained)	0	0	0	71,996	246,996	432,719	432,719
2.2 (FACTS 4.8.2-28) Number of laws, policies, strategies, plans, agreements, or regulations addressing **biodiversity conservation** officially proposed, adopted, or implemented as a result of USG assistance (Disaggregated by: measure type; stage; implementing/enforcing institution; scale)	0	0	0	5	6	4	15
2.3 (FACTS 4.8.1-29) Number of person hours of training **in biodiversity conservation** supported by USG assistance (Disaggregated by: nationality, institution, gender)	0	400	1000	1000	1000	600	4000
Intermediate Result 3: Resilient and sustainable water supply, sanitation, and wastewater treatment services in the Lake Victoria Basin enhanced							
3.1 (FACTS 3.1.8.1-3) Number of people receiving improved service quality from existing improved drinking water sources (Disaggregated by: location/country; service provider)	0	0	0	2,800	3,900	1,300	8000
3.2 (FACTS 3.1.8.3-1) Number of new policies, laws, agreements, regulations, or investment agreements (public or private) implemented that promote access to improved **water supply and sanitation** (Disaggregated by: country)	0	0	1	5	6	3	15
3.3 (Custom) Number of institutions with improved capacity to address **drinking water supply, sanitation, and hygiene** issues as a result of USG assistance (Disaggregated by: institution, capacity area)	0	0	1	9	9	4	23
3.4 (Custom) Number of strategies, agreements and plans implemented to promote improved **sanitation services**.	0	0	1	1	2	1	5

APPENDIX A. PERFORMANCE INDICATOR REFERENCE SHEETS (PIRS)

Performance Indicator Reference Sheet
Program Area: Component 1, Climate Change Adaptation INDICATOR TITLE: 1.1 (FACTS 3.1.3-35) Number of climate adaptation tools, technologies and methodologies developed, tested and/or adopted as a result of USG assistance
DESCRIPTION
Precise Definition(s): Tools and methods to enhance climate resilience integrate climate considerations into planning and management processes, including planning and project design. They may include methods for vulnerability assessment, guidance to different sectors and/or regions, or information platforms that provide information and data to inform planning and decision making based on scenarios and projections. Examples of tools, technologies, and methods may include software, manuals, training materials, information platforms, etc. **Unit of Measure:** Number of tools, methods, technologies. **Disaggregated by:** N/A **Justification & Management Utility:** Adaptation to climate change involves new ways of doing things, for example, considering climate scenarios, utilizing climate projections, and adjusting management practices in sensitive sectors, among other concerns. Developing the tools and methods to assist in this process and learn from experience will contribute to adaptation and development objectives. **Baseline Value:** 0.
PLAN FOR DATA ACQUISITION
Data Collection Method: Data will be collected by the Project, and by partners (CIESIN, GCAP, ICPAC, RCMRD). The Climate Change Specialist will be responsible for monitoring and reporting on data for this indicator. **Method of Data Acquisition by the Project:** Climate Change Specialist will enter names and descriptions and upload documentation of tools, technologies, and methodologies on ePORT as they are developed, tested, and adopted. **Data Source(s):** Copies of plans, reports, or other documentation detailing that a specific tool, technology, or methodology has been developed, tested, or adopted. **Frequency/Timing of Data Acquisition:** Rolling, as tools, technologies, and methodologies are developed, tested and/or adopted. **Responsible Individual(s) at the Project:** Climate Change Specialist; M&E Specialist
DATA QUALITY ISSUES
Date of Initial Data Quality Assessment: June 2014 **Known Data Limitations and Significance (if any):** It will be important to ensure that plans under Indicator 2.3 (Number of laws, policies, strategies, plans, agreements, or regulations addressing climate change and/or biodiversity conservation officially proposed, adopted, or implemented as a result of USG assistance) are not double counted under this indicator. **Actions Taken or Planned to Address Data Limitations:** Only Climate Change related tools, etc. will be counted toward this indicator, and tools more focused on biodiversity will be counted toward indicator 2.3. If it is unclear whether a tool should be counted toward indicator 1.1 or 2.3, the Climate Change Specialist, Biodiversity TA, M&E Specialist will meet to resolve the matter, and report the resolution to the DCOP for approval. **Date of Future Data Quality Assessments:** TBD **Procedures for Future Data Quality Assessments:** The project will employ a system of continuous adaptive management and therefore will audit data on a systematic basis before input into the project's ePORT. For each data point report to USAID, supporting documentation will be identified and reviewed using the process outlined in Appendix B as a guide. The M&E Specialist will ensure that each data point is supported with documentation and that data are assessed against data integrity standards as outlined in the ADS 203.3.5.
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING
Data Analysis: Actual numbers will be compared against targets to ensure timely progress toward project goals. Additional qualitative data may be collected to assess effectiveness of and satisfaction with tools, technologies, and methodologies.

Presentation of Data: Quantitative.

Review of Data: The M&E Specialist will review data on a rolling basis as data comes in by the partners and technical staff, and quarterly by the DCOP before submission on the Quarterly Report. Full audit of all data described above.

Reporting of Data: Quarterly Reports.

OTHER NOTES

Notes on Baselines/Targets: Targets for this indicator will include tools, methods, and Adaptation Plans (for each sector) resulting from the Vulnerability Assessment (VA)

Other Notes: Tools developed collaboratively with partners (ICPAC, FEWSNET) may only be counted if developed with PREPARED funds.

PERFORMANCE INDICATOR VALUES

Year	Target	Actual	Notes
2013	1	1	The Climate Information Users and Service Providers Surveys (submitted to the USAID COR on August 12, 2013 and approved on August 15, 2013)
2014	7		Includes the VIA Methodology, scenarios and options analyses, sectoral guidelines, information platforms, manuals, etc.
2015	5		Includes Adaptation Plan, scenarios and options analyses, sectoral guidelines, information platforms, manuals, etc.
2016	4		Includes scenarios and options analyses, sectoral guidelines, information platforms, manuals, etc.
2017	3		Includes scenarios and options analyses, sectoral guidelines, information platforms, manuals, etc.
LOP	20		

THIS SHEET LAST UPDATED ON: February 24, 2014

Performance Indicator Reference Sheet
Program Area: Component 1, Climate Change INDICATOR TITLE: 1.2 (Custom) Percentage increase in institutional capacity score, as measured by OCAT
DESCRIPTION
Precise Definition(s): A customized version of USAID's Organizational Capacity Assessment Tool (OCAT) will be used to "grade" specific skill sets required of institutions to fulfill their self-determined milestones and targets. Once established, the OCAT tool will be incorporated into the PREPARED PMP and will be used to assess institutional advances against targets and milestones on an annual basis, and also to re-establish targets as necessary given their performance over the year. Resources on how to conduct the OCAT can be found on the M&E Project SharePoint Site: Click here for OCAT Reference Materials **Unit of Measure:** % increase in score **Disaggregated by:** Institution, Key Capacity Area (e.g., strategic planning) **Justification & Management Utility:** Objective 1 of the PREPARED Project is to improve the technical capacity, policy leadership, and action readiness of regional institutions. The OCAT tool provides a system to measure changes in institutional capacity resulting from USG assistance. **Baseline Value:** The baseline assessment was conducted in December 2013. The composite score (across 7 sections) was 18.8, out of 28; with section-by-section scoring ranging from a low of 2.0 (out of 4.0) for Governance, to a high of 3.0 (out of 4.0) for administration
PLAN FOR DATA ACQUISITION
Data Collection Method: OCAT Scoring Matrix **Method of Data Acquisition by the Project:** Self-assessment facilitated by Adaptation Technical Advisor. **Data Source(s):** OCAT Scores entered into ePORT as assessments take place. Data will be documented by self-assessment scoring sheets. **Frequency/Timing of Data Acquisition:** Annually **Responsible Individual(s) at the Project:** Adaptation TA; M&E Specialist
DATA QUALITY ISSUES
Date of Initial Data Quality Assessment: June 2014 **Known Data Limitations and Significance (if any):** None **Actions Taken or Planned to Address Data Limitations:** N/A **Date of Future Data Quality Assessments:** TBD **Procedures for Future Data Quality Assessments:** The project will employ a system of continuous adaptive management and therefore will audit data on a systematic basis before input into the project's ePORT. For each data point report to USAID, supporting documentation will be identified and reviewed using the process outlined in Appendix B as a guide. The M&E Specialist will ensure that each data point is supported with documentation and that data are assessed against data integrity standards as outlined in the ADS 203.3.5.
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING
Data Analysis: The M&E Specialist will review changes in OCAT scores over time and report findings to the team on an annual basis. Quantitative findings will be triangulated with qualitative data (observations from the Adaptation TA from the facilitation process). **Presentation of Data:** Quantitative and Qualitative, scoring matrix **Review of Data:** The M&E Specialist will review data on a rolling basis as data comes in from the Adaptation TA, and annually by DCOP before submission on the Annual Report. Full audit of all data described above. **Reporting of Data:** Annual Reports.

OTHER NOTES			
Notes on Baselines/Targets: Prerequisite work (assessment of roles and responsibilities, consensus building on key capacity areas and targets) must be conducted before annual targets can be established. In addition, a baseline assessment (scheduled for Quarter 2, 2013) will be conducted prior to any capacity building activities. These initial activities scheduled for Quarter 2 will inform the development of the customized OCAT and annual targets, which will be included in the next iteration of the PREPARED PMP. **Other Notes:**			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
2013	0		The Project not approved by EAC Sectoral Council, so the baseline assessment was not conducted until mid-December 2013; after which the annual targets were established.
2014	5%		
2015	10%		
2016	20%		
2017	30%		
LOP	30%		Increase above baseline score.
THIS SHEET LAST UPDATED ON: February 24, 2014			

Performance Indicator Reference Sheet
Program Area: Component 1, Climate Change INDICATOR TITLE: 1.3 (FACTS 4.8.2-14) Number of institutions with improved capacity to address climate change issues as a result of USG assistance
DESCRIPTION
Precise Definition(s): Institutions with improved capacity will be better able to govern, coordinate, analyze, advise, or make technical decisions or to provide inputs to decision making related to climate resilience. This includes capacity to engage local communities to ensure that policies, plans, budgets and investments reflect local realities and ensure that local communities benefit from climate change investments in adaptation. Relevant institutions might include public sector entities (ministries, departments, working groups, etc.), private sector entities, community groups (women's groups, CBOs or NGOs, farmers' or fishing groups), trade unions, or others. Some examples of ways to enhance capacity could include ***participating in assessment or planning exercises***, ***receiving relevant training***, or ***gaining new equipment or inputs necessary for planning***, ***assessment and management***. ***Technical exchanges, certifications, or trainings*** could improve the capacity of an institution to engage with climate change adaptation. ***Changes to the institutional or policy environment***, for example, ***facilitating collaboration between scientists and policymakers***, or ***workshops or planning processes*** across sectors or themes (e.g., agriculture, environment, forestry, energy, and water) may also enhance capacity. This indicator counts toward ***any*** institution receiving capacity building assistance under PREPARED, not just the CCCU. The OCAT does not need to be used to measure changes in institutional capacity under this indicator. An institution may only be counted once in the project life, even if the institution receives more than one training in a given year or even throughout the project period. Data documentation (see data sources below for examples) should include a brief explanation of how the activity, plan, etc. contributed to the improved capacity of the institution. **Unit of Measure:** Number of institutions **Disaggregated by:** Name and type of institution and capacity building initiative **Justification & Management Utility:** Good governance related to climate change is a precondition for successful adaptation. **Baseline Value:** 0.
PLAN FOR DATA ACQUISITION
Data Collection Method: Data will be collected by partners (CIESIN, GCAP, ICPAC, RCMRD). Climate Change Specialist and Adaptation TA will be responsible for monitoring and reporting on data for this indicator. **Method of Data Acquisition by the Project:** The Adaptation TA and Climate Change Specialist will enter names and descriptions of capacity building activities on ePORT as they are implemented. **Data Source(s):** Agendas, sign-in sheets, photos, evaluation forms, copies of policies or plans may be submitted with data as supporting documentation. **Frequency/Timing of Data Acquisition:** Ongoing as capacity building activities are implemented. **Responsible Individual(s) at the Project:** Climate Change Specialist and Adaptation TA; M&E Specialist
DATA QUALITY ISSUES
Date of Initial Data Quality Assessment: June 2014 **Known Data Limitations and Significance (if any):** Provision of training or TA does not necessary translate into increased capacity for the institution. **Actions Taken or Planned to Address Data Limitations:** Data should be accompanied by a brief explanation as to how the training or TA contributes to improved capacity to address climate change issues. **Date of Future Data Quality Assessments:** TBD

Procedures for Future Data Quality Assessments: The project will employ a system of continuous adaptive management and therefore will audit data on a systematic basis before input into ePORT. For each data point reported to USAID, supporting documentation will be identified and reviewed using the process outlined in Appendix B as a guide. The M&E Specialist will ensure that each data point is supported with documentation and that data are assessed against data integrity standards as outlined in the ADS 203.3.5.

PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING

Data Analysis: M&E Specialist will review ongoing achievement of actual progress against targets for this indicator. For institutions undergoing more rigorous capacity building programs these data will be compared against institutional capacity assessment data to ensure that activities are appropriate for each institution's needs, and that activities are contributing to increased institutional capacity over time.

Presentation of Data: Quantitative.

Review of Data: The M&E Specialist will review data on a rolling basis as data comes in from the Climate Change Specialist and Adaptation TA, and quarterly by the DCOP before submission on the Quarterly Report. Full audit of all data described above.

Reporting of Data: Quarterly Reports.

OTHER NOTES

Notes on Baselines/Targets: The same ten institutions will receive capacity building assistance each year of the project throughout the life of the project.

Other Notes:

PERFORMANCE INDICATOR VALUES

Year	Target	Actual	Notes
2013	0	0	
2014	4		
2015	6		
2016	7		
2017	3		
LOP	20		

THIS SHEET LAST UPDATED ON: February 24, 2014

Performance Indicator Reference Sheet

Program Area: Component 1, Climate Change

INDICATOR TITLE: 1.4 (FACTS 4.8.2-28) Number of laws, policies, strategies, plans, agreements, or regulations addressing climate change adaptation officially proposed, adopted, or implemented as a result of USG assistance

DESCRIPTION

Precise Definition(s): Policies, laws, strategies, plans, agreements and regulations include those developed and formally endorsed by governmental, non-governmental, civil society, and/or private sector stakeholders to address climate change issues. However, if a measure is not yet adopted, it must at least be formally proposed within an official government process to be reported. Legal, regulatory and policy reform has a role to play by incentivizing investment in encouraging lower risk behavior. Depending on the context, regulatory and policy reform might include: zoning regulations to prevent development in flood-prone areas, standards for improved infrastructure, policies to conserve or allocate energy or water more effectively, regulations to encourage the development of renewable energy sources, or trans-boundary agreements related to the use of shared resources, among many others. Policies, laws, strategies, plans, agreements and regulations that address climate change may be integrated in scope (e.g., at a certain spatial scale or political boundary such as municipal, state, or national), or may address certain climate-relevant sectors like water, marine resources, forests, land use and agriculture, energy, and urban development.

For interpretation of this indicator, a qualitative description should be provided to explain what the number represents, particularly:

- What is the title of the measure?
- At what stage is it? (e.g., officially proposed, adopted, or implemented?)
- How does the measure contribute to climate change adaptation?
- What is/are the institution(s) that will be implementing and/or enforcing the measure, and at what scale (e.g., national, state, municipal, community)?

And for each, a copy of the law/policy/strategy/plan/agreement/regulation must be on file.

IMPORTANT NOTE! The FACTS standard definition includes both climate change and biodiversity measures. For PREPARED, ONLY CLIMATE CHANGE MEASURES WILL COUNT TOWARD THIS INDICATOR. Biodiversity measures will count towards indicator 2.2.

Unit of Measure: Number of laws, policies, strategies, plans, agreements or regulations

Disaggregated by: Stage; Implementing/Enforcing institution; Scale

Justification & Management Utility: The formal and informal institutional structures in the form of laws, policies, agreements, and regulations are essential aspects of many USAID programs because they provide the enabling environment on which actions are built and maintained.

Baseline Value: 0.

PLAN FOR DATA ACQUISITION

Data Collection Method: Monitored by Adaptation TA

Method of Data Acquisition by the Project: Adaptation TA will enter names, descriptions, and disaggregates of measures on ePORT as they are implemented.

Data Source(s): Copies of measures

Frequency/Timing of Data Acquisition: Ongoing, as measures are proposed, adopted, or implemented

Responsible Individual(s) at the Project: Adaptation TA

DATA QUALITY ISSUES

Date of Initial Data Quality Assessment: June 2014

Known Data Limitations and Significance (if any):
Precision: This indicator does not capture progress made along the way in terms of convening stakeholders, drafting, approving, and implementing/enforcing laws, policies and plans. Narrative is critical for interpreting this indicator.
Actions Taken or Planned to Address Data Limitations: A brief narrative may be included to track and report progress toward measures.
Date of Future Data Quality Assessments: TBD
Procedures for Future Data Quality Assessments: The project will employ a system of continuous adaptive management and therefore will audit data on a systematic basis before input into ePORT. For each data point report to USAID, supporting documentation will be identified and reviewed using the process outlined in Appendix B as a guide. The M&E Specialist will ensure that each data point is supported with documentation and that data are assessed against data integrity standards as outlined in the ADS 203.3.5.

PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING

Data Analysis: M&E Specialist will review ongoing achievement of actual progress against targets for this indicator.
Presentation of Data: Quantitative.
Review of Data: The M&E Specialist will review data on a rolling basis as data comes in by the Adaptation TA and quarterly by DCOP before submission on the Quarterly Report. Full audit of all data described above.

OTHER NOTES

Notes on Baselines/Targets: The FACTS standard definition includes both climate change and biodiversity measures. For PREPARED, ONLY CLIMATE CHANGE MEASURES WILL COUNT TOWARD THIS INDICATOR. Biodiversity measures will count towards indicator 2.2.

PERFORMANCE INDICATOR VALUES

Year	Target	Actual	Notes
2013	0	0	
2014	0		
2015	8		
2016	7		
2017	5		
LOP	20		

THIS SHEET LAST UPDATED ON: February 24, 2014

Performance Indicator Reference Sheet
Program Area: Component 1, Climate Change INDICATOR TITLE: 1.5 (FACTS 4.8.2-6) Person hours of training completed in climate change supported by USG assistance
DESCRIPTION
Precise Definition(s): This indicator uses the following equation to express the number of USG-supported training hours that were completed by training participants: ***Hours of USG supported training course x Number of people completing that training course*** **Support from the USG:** This indicator counts training hours that were delivered in full or in part as a result of USG assistance. This could include provision of funds to pay teachers, providing hosting facilities, or other key contributions necessary to ensure training was delivered. This indicator does not automatically count any course for which the USG helped develop the curriculum, but rather focuses on delivery of courses that was made possible through full or partial funding from the USG. **People**: Only people who complete the entire training course are counted for this indicator. **Training:** Training is defined as sessions in which participants are educated according to a defined curriculum and set learning objectives to impart knowledge and information to USAID staff and stakeholders on climate change adaptation. Sessions that could be informative or educational, such as meetings, but do not have a defined curriculum or learning objectives are not counted as training. **Unit of Measure:** Number of person hours of training in each reporting period **Disaggregated by:** • Gender • Nationality **Justification & Management Utility:** Tracking the number of person hours of training provides information about the reach and scale of training and capacity building efforts. Training activities strengthen agency and in-country capacity, as well as promote strategic partnerships. They improve the likelihood that development partners will continue to implement relevant projects after USG support has ended, as well as increase the likelihood that agency staff will program climate change funds effectively, for maximum impact, and in compliance with Congressional earmarks/directives and Agency strategy, as well as integrate climate change considerations into other programs. **Baseline Value:** 0.
PLAN FOR DATA ACQUISITION
Data Collection Method: Monitored by Adaptation TA **Method of Data Acquisition by the Project:** Adaptation TA will enter data and data documentation on ePORT as trainings occur. **Data Source(s)/Documentation:** Training Sign In sheets, agendas, evaluations, curriculum, training report **Frequency/Timing of Data Acquisition:** Ongoing, as trainings occur. Reported quarterly. **Responsible Individual(s) at the Project:** Adaptation TA; M&E Specialist
DATA QUALITY ISSUES
Date of Initial Data Quality Assessment: June 2014 **Known Data Limitations and Significance (if any):** Validity: This indicator addresses only one of the limitations, necessary skills and knowledge that prevent people from taking certain actions to deal with climate change. It may not translate to action unless other issues are also addressed. Precision: Simply knowing the number of people does not reflect the depth of skills and knowledge conveyed, or capacity to act.

Actions Taken or Planned to Address Data Limitations: Training hours will only be one data point used to evaluate increased capacity in climate change. Quantitative data from OCAT assessments and other qualitative data (from training evaluations and assessment observations) will be used to analyze whether trainings are effective and capacity has increased.

Date of Future Data Quality Assessments: TBD

Procedures for Future Data Quality Assessments: The project will employ a system of continuous adaptive management and therefore will audit data on a systematic basis before input into ePORT. For each data point report to USAID, supporting documentation will be identified and reviewed using the process outlined in Appendix B as a guide. The M&E Specialist will ensure that each data point is supported with documentation and that data are assessed against data integrity standards as outlined in the ADS 203.3.5.

PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING

Data Analysis: M&E Specialist will review ongoing achievement of actual progress against targets for this indicator.

Presentation of Data: Quantitative.

Review of Data: The M&E Specialist will review data on a rolling basis as data comes in by the Adaptation TA and quarterly by DCOP before submission on the Quarterly Report. Full audit of all data described above.

Reporting of Data: Quarterly Reports.

PERFORMANCE INDICATOR VALUES

Year	Target	Actual	Notes
2013	560	0	The Project was not endorsed by the EAC Sectoral Council, so the EAC could not support the Project to convene the CCA Technical Working Group, which was slated to be the beneficiary of planned training.
2014	1440		
2015	3000		
2016	2000		
2017	1000		
LOP	8000		

THIS SHEET LAST UPDATED ON: February 24, 2014

Performance Indicator Reference Sheet
Program Area: Component 1, Climate Change INDICATOR TITLE: 1.6 (FACTS 4.8.2-27) Number of days of USG funded technical assistance in climate change provided to counterparts or stakeholders.
DESCRIPTION
Precise Definition(s): The provision of goods or services to developing countries and other USAID recipients in direct support of a development objective-as opposed to the internal management of the foreign assistance program. **Services could include the transfer of knowledge and/or expertise** by way of staff, skills training, **research work** and financing to support quality of program implementation and impact, support administration, management, representation, publicity, policy development and capacity building. Technical assistance includes both human and institutional resources. Technical assistance does not include financial assistance **Note:** training workshops for partner or collaborating institutions will not be counted as technical assistance. **Unit of Measure:** Number of days of technical assistance provided in each reporting period. Rounded up or down into whole numbers. **Disaggregated by:** type of technical support provided, for instance transfer of knowledge and/or expertise by way of staff, skills training, research work, policy development and capacity building **Justification & Management Utility**: Objective 1 of the PREPARED Project is to improve the technical capacity, policy leadership, and action readiness of regional institutions. Tracking the number of days of USG funded technical assistance in climate change provided to counterpart stakeholders will provide useful information about the scale of technical assistance and institutional capacity building efforts, a key goal for long term sustainability. This indicator will also enable the PREPARED Project to effectively track support provided to or with PREPARED Program Partners (including ICPAC, FEWSNET, RCMRD/SERVIR-EA and the EAC). **Baseline Value:** 0.
PLAN FOR DATA ACQUISITION
Data Collection Method: Data collection, monitoring and reporting on data for this indicator will be the responsibility of the Climate Change Adaptation Technical Advisor and the Climate Change Specialist. **Method of Data Acquisition by the Project:** The PREPARED Climate Change Specialist will be responsible for documenting the provision of technical assistance. This documentation will include: information on the beneficiary institution/stakeholder (including the name of institution, type of institution, location—city/country), a narrative description of the specific technical assistance provided, and a summary of any key outcomes. The Climate Change Specialist will be responsible for uploading all indicator-related documentation to ePORT. **Data Source(s):** Project reports. Data documentation may include photographs of technical assistance activities; action plans developed as a result of the technical assistance, reports on the technical assistance provided. **Frequency/Timing of Data Acquisition:** Ongoing as activities are implemented **Responsible Individual(s) at the Project:** Climate Change Adaptation Technical Advisor, Climate Change Specialist; M&E Specialist
DATA QUALITY ISSUES
Date of Initial Data Quality Assessment: June 2014

Known Data Limitations and Significance (if any): This indicator addresses only one of the limitations, exposure to concepts and systems that offer solutions to development problems or institutional gaps that prevent people from taking appropriate actions. Simply knowing the number of person days of technical assistance provided does not provide information about the quality and appropriateness of the technical advice provided

Actions Taken or Planned to Address Data Limitations: A description of the technical assistance provided (name of institution, type of institution, country, and type of technical support) and key outcome(s) will be included with the data point to aid in data analysis and evaluation of impact.

Date of Future Data Quality Assessments: June 2014

Procedures for Future Data Quality Assessments: The project will employ a system of continuous adaptive management and therefore will audit data on a systematic basis before input into the project's ePORT. For each data point report to USAID, supporting documentation will be identified and reviewed using the process outlined in Appendix B as a guide. The M&E Specialist will ensure that each data point is supported with documentation and that data are assessed against data integrity standards as outlined in the ADS 203.3.5.

PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING

Data Analysis: Data will be reviewed quantitatively through assessing progress of actuals versus targets for this indicator

Presentation of Data: Quantitative

Review of Data: The M&E Specialist will review data on a rolling basis as data comes in from the Climate Change Specialist, and quarterly by the DCOP before submission on the Annual Report. Full audit of all data described above.

Reporting of Data: Quarterly Reports.

PERFORMANCE INDICATOR VALUES

Year	Target	Actual	Notes
2013	0	0	
2014	29		
2015	36		
2016	36		
2017	13		
LOP	114		

THIS SHEET LAST UPDATED ON: February 24, 2014

Performance Indicator Reference Sheet
Program Area: Component 2, Biodiversity INDICATOR TITLE: 2.1 (FACTS 4.8.1-26) Number of hectares of biological significance under improved natural resource management as a result of USG assistance.
DESCRIPTION
Precise Definition(s): "Improved natural resource management" includes activities that promote enhanced management of natural resources for one or more objectives, such as conserving biodiversity, sustaining soil or water resources and/or promoting sustainable agriculture. Management should be guided by a stakeholder-endorsed process following principles of sustainable NRM and conservation, improved human and institutional capacity for sustainable NRM and conservation, access to better information for decision-making, and/or adoption of sustainable NRM and conservation practices. An area is considered under "improved management" when any one of the following occurs: a ***change in legal status*** favors conservation or sustainable NRM; a ***local site assessment*** is completed which informs management planning; ***management actions are designed*** with appropriate participation; ***human and institutional capacity is developed***; ***management actions are implemented***; ongoing ***monitoring and evaluation is established***; ***adaptive management is demonstrated***; or ***on-the-ground management impacts are demonstrated*** (e.g. illegal roads closed, snares removed, no-fishing zones demarcated). Reported as total number of hectares improved during the fiscal year in question, ***which can include maintained improvement in previously reported hectares and/or new, additional hectares.*** **IMPORTANT NOTE!** PREPARED may only report hectares of biological significance. Identification of biologically significant areas (both aquatic and terrestrial) will result from the Ecosystem Profile Assessment. **Unit of Measure:** Hectares **Disaggregated by:** Country; River Basin (Mara/other), New (that year)/Maintained (from previous years of project/Previously Maintained (for example: National Parks) **Justification & Management Utility:** Measures of this indicator demonstrate progress towards sustainable natural resources governance and institutions, and can inform adaptive management of programs. This indicator is a reliable annual measure that demonstrates the magnitude of USG investments in biodiversity conservation. **Baseline Value:** 0.
PLAN FOR DATA ACQUISITION
Data Collection Method: Data will be collected by implementing partners and by the Biodiversity TA. **Method of Data Acquisition by the Project:** Biodiversity Conservation TA will enter data and data documentation on ePORT. **Data Source(s):** Implementing partners report the number of hectares under improved natural resources management annually based on the spatial impact of management improvements which were designed, adopted or implemented, including monitoring and adaptive management practices. Data documentation may include geospatial maps, copies of plans, and photographs of activities. **Frequency/Timing of Data Acquisition:** Ongoing as activities are implemented **Responsible Individual(s) at the Project:** Biodiversity Conservation TA; M&E Specialist
DATA QUALITY ISSUES
Date of Initial Data Quality Assessment: June 2014 **Known Data Limitations and Significance (if any):** Precision is low: "improved management" is a relative term, and narrative is required to explain the quality of this management improved. Equal weight is given to unequal improvements along a continuum: e.g. creating, adopting and implementing management plans may each be an improvement over a baseline. Likewise, a small management improvement across a large area may be as important as a large improvement across a small area. **Actions Taken or Planned to Address Data Limitations:** A description of the improvement will be included with the data point to aid in data analysis and evaluation of impact. **Date of Future Data Quality Assessments:** TBD

Procedures for Future Data Quality Assessments: The project will employ a system of continuous adaptive management and therefore will audit data on a systematic basis before input into the project's ePORT. For each data point report to USAID, supporting documentation will be identified and reviewed using the process outlined in Appendix B as a guide. The M&E Specialist will ensure that each data point is supported with documentation and that data are assessed against data integrity standards as outlined in the ADS 203.3.5.

PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING

Data Analysis: Data will be reviewed quantitatively (through assessing progress of actuals vs. targets) and spatially through GIS mapping.

Presentation of Data: Quantitative, Spatial

Review of Data: The M&E Specialist will review data on a rolling basis as data comes in from the implementing partners and the Biodiversity Conservation TA, and quarterly by the DCOP before submission on the Annual Report. Full audit of all data described above.

Reporting of Data: Annual Reports.

OTHER NOTES

Notes on Baselines/Targets: Targets are cumulative and include hectares maintained over each year of the project.

PERFORMANCE INDICATOR VALUES

Year	Target[2]	Actual	Notes
2013	0 / 0	0 / 0	
2014	0 / 0		
2015	71,996 / 71,996		
2016	175,000 / 246,996		
2017	185,723 /432,719		
LOP	432,719		To establish this target, the Project conducted an assessment of Biologically Significant Areas (BSAs) as part of the Ecosystem profile Assessment. Documentation on the criteria, and process used, are on file.

THIS SHEET LAST UPDATED ON: February 24, 2014

[2] Note: Targets for this indicator are presented, by year, independently and in cumulative.

Performance Indicator Reference Sheet
Program Area: Component 2, Biodiversity INDICATOR TITLE: 2.2 (FACTS 4.8.2-28) Number of laws, policies, strategies, plans, agreements, or regulations addressing biodiversity conservation officially proposed, adopted, or implemented as a result of USG assistance-**BIODIVERSITY ONLY**
DESCRIPTION
Precise Definition(s): Policies, laws, strategies, plans, agreements and regulations include those developed and formally endorsed by governmental, non-governmental, civil society, and/or private sector stakeholders to address biodiversity conservation issues. However, if a measure is not yet adopted, it must at least be formally proposed within an official government process to be reported. Depending on the context, regulatory and policy reform might include: zoning regulations to prevent development in flood-prone areas, standards for improved infrastructure, policies to conserve or allocate energy or water more effectively, regulations to encourage the development of renewable energy sources, or trans-boundary agreements related to the use of shared resources, among many others. Policies, laws, strategies, plans, agreements and regulations that address biodiversity conservation may be integrated in scope (e.g., at a certain spatial scale or political boundary such as municipal, state, or national), or may address certain sectors like water, marine resources, forests, land use and agriculture, energy, and urban development. • What is the title of the measure? • At what stage is it? (e.g., officially proposed, adopted, or implemented?) • How does the measure contribute to biodiversity conservation? • What is/are the institution(s) that will be implementing and/or enforcing the measure, and at what scale (e.g., national, state, municipal, community, transboundary)? And for each, a copy of the law/policy/strategy/plan/agreement/regulation must be on file. **IMPORTANT NOTE!** The FACTS standard definition includes both climate change and biodiversity measures. For PREPARED, ONLY BIODIVERSITY MEASURES WILL COUNT TOWARD THIS INDICATOR. Climate Change measures will count toward indicator 1.4. **Unit of Measure:** Number of laws, policies, strategies, plans, agreements or regulations **Disaggregated by:** • Stage; Implementing/Enforcing institution; Scale **Justification & Management Utility:** An improved enabling environment through legal and policy reform, strategy development and planning is essential for ensuring that efforts and investments in biodiversity have legal and strategic backing and institutional ownership. **Baseline Value:** 0.
PLAN FOR DATA ACQUISITION
Data Collection Method: Monitoring by Biodiversity Conservation TA **Method of Data Acquisition by the Project:** Biodiversity Conservation TA will enter names, descriptions, and disaggregates of measures on ePORT as they are implemented. **Data Source(s):** Copies of measures **Frequency/Timing of Data Acquisition:** Ongoing, as measures are proposed, adopted, or implemented **Responsible Individual(s) at the Project:** Biodiversity Conservation TA; M&E Specialist
DATA QUALITY ISSUES
Date of Initial Data Quality Assessment: June 2014 **Known Data Limitations and Significance (if any):** Timeliness: Preparatory studies may be required prior to proposal, adoption, or implementation of the measure Precision: This indicator does not capture progress made along the way in terms of convening stakeholders, drafting, approving, and implementing/enforcing laws, policies and plans. Narrative is critical for interpreting this indicator.

Actions Taken or Planned to Address Data Limitations: A brief narrative may be included to track and report progress toward measures

Date of Future Data Quality Assessments: TBD

Procedures for Future Data Quality Assessments: The project will employ a system of continuous adaptive management and therefore will audit data on a systematic basis before input into ePORT. For each data point report to USAID, supporting documentation will be identified and reviewed using the process outlined in Appendix B as a guide. The M&E Specialist will ensure that each data point is supported with documentation and that data are assessed against data integrity standards as outlined in the ADS 203.3.5.

PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING

Data Analysis: M&E Specialist will review ongoing achievement of actual progress against targets for this indicator.

Presentation of Data: Quantitative.

Review of Data: The M&E Specialist will review data on a rolling basis as data comes in by the Biodiversity Conservation TA and quarterly by the DCOP before submission on the Quarterly Report. Full audit of all data described above.

Reporting of Data: Data provided by project partners and/or implementers on a quarterly and annual basis through standard reporting procedures. Annual data should be reported.

OTHER NOTES

Notes on Baselines/Targets: The FACTS standard definition includes both climate change and biodiversity measures. For PREPARED, ONLY BIODIVERSITY MEASURES WILL COUNT TOWARD THIS INDICATOR. Climate Change measures will count toward indicator 1.4.

PERFORMANCE INDICATOR VALUES

Year	Target	Actual	Notes
2013	0	0	
2014	0		
2015	5		
2016	6		
2017	4		
LOP	15		

THIS SHEET LAST UPDATED ON: February 24, 2014

Performance Indicator Reference Sheet
Program Area: Component 2, Biodiversity INDICATOR TITLE: 2.3 (4.8.1-29) Number of person hours of training in biodiversity conservation supported by USG assistance
DESCRIPTION
Precise Definition(s): This indicator uses the following equation to express the number of USG-supported training hours that were completed by training participants: ***Hours of USG supported training course x Number of people completing that training course*** **Support from the USG:** This indicator counts training hours that were delivered in full or in part as a result of USG assistance. This could include provision of funds to pay teachers, providing hosting facilities, or other key contributions necessary to ensure training was delivered. This indicator does not automatically count any course for which the USG helped develop the curriculum, but rather focuses on delivery of courses that was made possible through full or partial funding from the USG. **People:** Only people who complete the entire training course are counted for this indicator. **Training**: Training is defined as sessions in which participants are educated according to a defined curriculum and set learning objectives. Sessions that could be informative or educational, such as meetings, but do not have a defined curriculum or learning objectives are not counted as training. Natural resources and biodiversity is defined as conserving biodiversity and managing natural resources in ways that maintain their long-term viability and preserve their potential to meet the needs of present and future generations. Activities include combating illegal and corrupt exploitation of natural resources and the control of invasive species. Programs in this element should be integrated with the Agriculture Area under Economic Growth and Conflict Mitigation and Reconciliation Area under the Peace and Security Objective, when applicable and appropriate. **IMPORTANT NOTE!** ONLY BIODIVERSITY TRAININGS MAY BE COUNTED TOWARD THIS INDICATOR. **Unit of Measure:** Number (of person hours) **Disaggregated by:** Nationality, Institution, Gender **Justification & Management Utility:** Tracking the number of people trained in Biodiversity Conservation provides information about the reach and scale of training and capacity building efforts. **Baseline Value:** 0.
PLAN FOR DATA ACQUISITION
Data Collection Method: Biodiversity Conservation TA will enter data and data documentation on ePORT as trainings occur. **Method of Data Acquisition by the Project:** Training Sign In sheets, agendas, post-training evaluation forms, curriculum, training report **Data Source(s):** Attendance records of implementing partners that conduct training. **Frequency/Timing of Data Acquisition:** Ongoing, as trainings occur. Reported quarterly. **Responsible Individual(s) at the Project:** Biodiversity Conservation TA; M&E Specialist
DATA QUALITY ISSUES
Date of Initial Data Quality Assessment: June 2014 **Known Data Limitations and Significance (if any):** Attendance records may be incomplete or inaccurate, especially in the case of determining whether a participant completed an entire course. **Actions Taken or Planned to Address Data Limitations:** Data and data documentation will be collected electronically using the ePORT system. **Date of Future Data Quality Assessments:** TBD

Procedures for Future Data Quality Assessments: The project will employ a system of continuous adaptive management and therefore will audit data on a systematic basis before input into the project's ePORT. For each data point report to USAID, supporting documentation will be identified and reviewed using the process outlined in Appendix B as a guide. The M&E Specialist will ensure that each data point is supported with documentation and that data are assessed against data integrity standards as outlined in the ADS 203.3.5.

PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING

Data Analysis: M&E Specialist will review ongoing achievement of actual progress against targets for this indicator.

Presentation of Data: Quantitative.

Review of Data: The M&E Specialist will review data on a rolling basis as data comes in from the Biodiversity Conservation TA and quarterly by the DCOP before submission on the Quarterly Report. Full audit of all data described above.

Reporting of Data: Quarterly

OTHER NOTES

Notes on Baselines/Targets: Only biodiversity trainings may be counted toward this indicator.

PERFORMANCE INDICATOR VALUES

Year	Target	Actual	Notes
2013	400	0	The Project was not endorsed by the EAC Sectoral Council, so the EAC could not support the Project to convene the Biodiversity Conservation Technical Working Group, which was slated to be the beneficiary of planned training.
2014	1000		
2015	1000		
2016	1000		
2017	600		
LOP	4000		

THIS SHEET LAST UPDATED ON: February 24, 2014

Performance Indicator Reference Sheet

Program Area: Component 3, WASH

INDICATOR TITLE: 3.1 (FACTS Indicator 3.1.8.1-3) Number of people receiving improved service quality from existing improved drinking water sources

DESCRIPTION

Precise Definition(s): A person is counted for this indicator when:

1) They currently use as their main source an "improved drinking water source", i.e., piped water into dwelling, plot, or yard; public tap/standpipe; tube well/borehole; protected dug well; protected spring; or rainwater collection; but,
2) The quality of "service" they receive from that source or an alternative improved drinking water source is further "improved" as a result of USG assistance in terms of its (a) ease of access, (b) reliability, and/or (c) affordability.

Specifically, "improved service quality" is defined as being achieved if:

a) The ease of access measure, time taken to fetch water from an improved source, is reduced to less than 30 minutes;
b) The reliability of supply improves such that the person's main source is available regularly, i.e. there is no regular rationing of supply or regular seasonal failure of their improved source; and/or,
c) The affordability of their improved drinking water source improves such that the average price they pay for water is no higher than two times the average water tariff for piped water into the dwelling in their country. (This particular measure recognizes the fact that many of the urban poor pay 2-10 times the price for public tap stand or water purchased from neighbors).

IMPORTANT NOTE! As per the REGI Initial Environmental Examination/Environmental Threshold Decision (IEE/ETD) and the PREPARED Environmental Mitigation and Monitoring Plan (EMMP), PREPARED will develop a Water Quality Assurance Plan that describes monitoring criteria, monitoring frequency, and measures for ensuring the safe provision of water to recipients. The Water Quality Assurance Plan shall describe how the PREAPRED partner (grantee or local subcontractor) intends to ensure safe drinking and include an equipment inspection and maintenance plan.

Unit of Measure: Number

Disaggregated by: Location/Country; Service Provider

Justification & Management Utility: To measure progress toward the PREPARED Project's Objective 3: To enhance resilient and stable water supply in the **Lake Victoria Basin** by improving service delivery of water supplies to customers.

Baseline Value: 0.

PLAN FOR DATA ACQUISITION

Data Collection Method: Program records of number of beneficiaries of water supply systems receiving support through the PREPARED Project. This information will be collected by implementing agencies and will include information about accessibility, reliability and affordability. Accessibility will be established by counting the number of individuals living in households within a 10-minute walking radius from the water source; reliability will be established by determining the number of days within each quarter that the source was operational; and affordability will be established by the fees collected from users for different volumes of water sold. A baseline Service Audit will be conducted with each water supply service provider in order to determine the baseline. Annual Quality Service Improvement Program (QSIP) audits will be conducted, with customers and service providers, to determine degree to which services have been improved.

Method of Data Acquisition by the Project: WASH TA will enter data and data documentation on ePORT.

Data Source(s):

Frequency/Timing of Data Acquisition: Baseline and annually.

Responsible Individual(s) at the Project: WASH TA; M&E Specialist

DATA QUALITY ISSUES

Date of Initial Data Quality Assessment: November 2013

Known Data Limitations and Significance (if any): This indicator can be difficult and time-consuming to measure accurately and requires robust data quality assurance on the part of the PREPARED Project/USAID.

Actions Taken or Planned to Address Data Limitations: Annual service improvement customer surveys will be conducted to improve on data quality.

Date of Future Data Quality Assessments: TBD

Procedures for Future Data Quality Assessments: The project will employ a system of continuous adaptive management and therefore will audit data on a systematic basis before input into the project's ePORT. For each data point report to USAID, supporting documentation will be identified and reviewed using the process outlined in Appendix B as a guide. The M&E Specialist will ensure that each data point is supported with documentation and that data are assessed against data integrity standards as outlined in the ADS 203.3.5.

PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING

Data Analysis: Data will be compared with the targets and baseline to determine the net effect of PREPARED support.

Presentation of Data: Quantitative, Spatial

Review of Data: The M&E Specialist will review data on a rolling basis as data comes in from the implementing partners and the WASH Technical Advisor, and quarterly by the DCOP before submission on the Annual Report. Full audit of all data described above.

Reporting of Data: Annual Reports.

OTHER NOTES

Notes on Baselines/Targets: Targets are number of persons with improved access to water supply services annually.

PERFORMANCE INDICATOR VALUES

Year	Target	Actual	Notes
2013	0		
2014	0		
2015	2,800		
2016	3,900		
2017	1,300		
LOP	8,000		

THIS SHEET LAST UPDATED ON: February 24, 2014

Performance Indicator Reference Sheet
Program Area: Component 3, WASH INDICATOR TITLE: 3.2 (FACTS 3.1.8.3-1) Number of new policies, laws, agreements, regulations, or investment agreements (public or private) implemented that promote access to improved water supply and sanitation
DESCRIPTION
Precise Definition(s): Policies, laws, agreements, and regulations include those developed with USG assistance and formed and formally endorsed by government, non-government, civil society and/or private sector stakeholders at the local, national, or international scale, with the intent to strengthen water supply and sanitation service delivery, including quality, access, and sustainability. Laws, regulations and policies are enacted by public sector institutions with responsibility for the water supply and sanitation sector. Utilities, either public or private, also establish policies or enter into agreements to promote improved water supply and sanitation service delivery. Investment agreements will include all public and private investments, both direct investment and the extension of credit to support improved service delivery. Implementation is demonstrated by existence of adequate institutional structure, capacity, and investment necessary to carry out changes. **IMPORTANT NOTE!** ONLY WASH MEASURES WILL COUNT TOWARD THIS INDICATOR. Biodiversity measures will count towards indicator 2.2, Climate change measures will count toward indicator 1.4. **Unit of Measure:** Number of laws, policies, agreements, regulations or investment agreements (public or private) **Disaggregated by:** Country **Justification & Management Utility:** This indicator will contribute to the measurement of stakeholder commitment to improved drinking water and sanitation access and use, an important contributor to the reduction of water borne disease. **Baseline Value:** 0.
PLAN FOR DATA ACQUISITION
Data Collection Method: Monitoring by WASH TA **Method of Data Acquisition by the Project:** WASH TA will enter names, descriptions, and disaggregates of measures on ePORT as they are implemented. **Data Source(s):** Direct count of new relevant policies, laws, agreements, regulations implemented by stakeholders targeted by USG assistance conducted on an annual basis **Frequency/Timing of Data Acquisition:** Ongoing, as measures are proposed, adopted, or implemented **Responsible Individual(s) at the Project:** WASH TA; M&E Specialist
DATA QUALITY ISSUES
Date of Initial Data Quality Assessment: June 2014 **Known Data Limitations and Significance (if any):** This indicator does not capture progress made along the way in terms of convening stakeholders, drafting, approving, and implementing/enforcing laws, policies and plans. Narrative is critical for interpreting this indicator. **Actions Taken or Planned to Address Data Limitations:** A brief narrative may be included to track and report progress toward measures **Date of Future Data Quality Assessments:** TBD **Procedures for Future Data Quality Assessments:** The project will employ a system of continuous adaptive management and therefore will audit data on a systematic basis before input into the project's ePORT. For each data point report to USAID, supporting documentation will be identified and reviewed using the process outlined in Appendix B as a guide. The M&E Specialist will ensure that each data point is supported with documentation and that data are assessed against data integrity standards as outlined in the ADS 203.3.5.
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING
Data Analysis: M&E Specialist will review ongoing achievement of actual progress against targets for this indicator. **Presentation of Data:** Quantitative.

Review of Data: The M&E Specialist will review data on a rolling basis as data comes in from the WASH TA and quarterly by DCOP before submission on the Quarterly Report. Full audit of all data described above.
Reporting of Data: Quarterly Reports.

OTHER NOTES

Notes on Baselines/Targets: Only WASH measures will count toward this indicator. Biodiversity measures will count towards indicator 2.2, Climate change measures will count toward indicator 1.4.

PERFORMANCE INDICATOR VALUES

Year	Target	Actual	Notes
2013	0	0	
2014	1		
2015	5		
2016	6		
2017	3		
LOP	15		

THIS SHEET LAST UPDATED ON: February 24, 2014

Performance Indicator Reference Sheet
Program Area: Component 3, WASH INDICATOR TITLE: 3.3 (Custom Indicator) Number of institutions with improved capacity to address drinking water supply, sanitation, and hygiene issues as a result of USG assistance
DESCRIPTION
Precise Definition(s): Institutions with improved capacity will be better able to govern, coordinate, analyze, advise, or make technical decisions or to provide inputs to decision making related to water supply, sanitation and hygiene. This includes capacity to engage local communities to ensure that policies, plans, budgets and investments reflect local realities and ensure that local communities benefit from WASH investments. Relevant institutions might include public sector entities (e.g., ministries, departments, working groups, public utilities, etc.), private sector entities (private utilities, service providers, etc.), community groups (women's groups, CBOs or NGOs, etc.), or others. Some examples of ways to enhance capacity could include ***participating in assessment or planning exercises***, ***receiving relevant training***, or ***gaining new equipment or inputs necessary for planning***, ***assessment and management***. ***Technical exchanges, certifications, or trainings*** could improve the capacity of an institution to engage in WASH activities. This indicator counts toward ***any*** institution receiving capacity building assistance under the PREPARED Project. The OCAT does not need to be used to measure changes in institutional capacity under this indicator. An institution may only be counted once in the project life, even if the institution receives more than one training in a given year or even throughout the project period. Data documentation (see data sources below for examples) should include a brief explanation of how the activity, plan, etc. contributed to the improved capacity of the institution. **Unit of Measure:** Number of institutions **Disaggregated by:** Name and Type of institution, Capacity Area (water supply, sanitation, hygiene), type of institution (public sector, private sector, community groups etc.) **Justification & Management Utility:** Improving the capacity of local institutions will help meet PREPARED's goal of enhancing resilient and stable water supply, sanitation, and wastewater treatment services. **Baseline Value:** 0.
PLAN FOR DATA ACQUISITION
Data Collection Method: Data will be collected by partners (WEMA Consult, local subcontractors, etc.). WASH TA will be responsible for monitoring and reporting on data for this indicator **Method of Data Acquisition by the Project:** The WASH TA will enter names and descriptions of capacity building activities on ePORT as they are implemented. **Data Source(s):** Agendas, sign-in sheets, photos, evaluation forms, copies of policies or plans may be submitted with data as supporting documentation. **Frequency/Timing of Data Acquisition:** Ongoing as capacity building activities are implemented. **Responsible Individual(s) at the Project:** WASH TA; M&E Specialist.
DATA QUALITY ISSUES
Date of Initial Data Quality Assessment: June 2014 **Date of Future Data Quality Assessments:** TBD **Procedures for Future Data Quality Assessments:** The project will employ a system of continuous adaptive management and therefore will audit data on a systematic basis before input into the project's ePORT. For each data point report to USAID, supporting documentation will be identified and reviewed using the process outlined in Appendix B as a guide. The M&E Specialist will ensure that each data point is supported with documentation and that data are assessed against data integrity standards as outlined in the ADS 203.3.5.
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING
Data Analysis: M&E Specialist will review ongoing achievement of actual progress against targets for this indicator. **Presentation of Data:** Quantitative and Qualitative

Review of Data: The M&E Specialist will review data on a rolling basis as data comes in from the WASH TA, and annually by DCOP before submission on the Annual Report. Full audit of all data described above.
Reporting of Data: Quarterly Reports.

PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
2013	0	0	
2014	1		
2015	9		
2016	9		
2017	4		
LOP	23		
THIS SHEET LAST UPDATED ON: February 24, 2014			

Performance Indicator Reference Sheet
Program Area: Component 3, WASH INDICATOR TITLE: 3.4 (Custom indicator) Number of strategies, agreements and plans implemented to promote improved sanitation services
DESCRIPTION
Precise Definition(s): Strategies, agreements and plans include those developed with USG assistance and formally endorsed by Government, Non-Government, Civil Society and/ or Private Sector stakeholders at the Local, National, or International Scale, with the intent to improve sanitation services. Strategies, agreements and plans can be developed to promote improved sanitation service delivery by one or more of the following stakeholders: public sector institutions, utilities, non-governmental organizations, civil society organizations, and/or private sector stakeholders. Implementation is demonstrated by existence of adequate institutional and legal framework, capacity, and investment necessary to carry out changes. **Unit of Measure:** Number of Strategies, Agreements and Plans (public or private) **Disaggregated by:** Country **Justification & Management Utility:** This indicator will contribute to the measurement of stakeholder commitment to improved sanitation services, and protection of the environment. **Baseline Value:** 0.
PLAN FOR DATA ACQUISITION
Data Collection Method: Monitoring by WASH TA **Method of Data Acquisition by the Project:** WASH TA will enter names, descriptions, and disaggregates of measures on ePORT as they are implemented. **Data Source(s):** Direct count of relevant strategies, agreements and plans implemented by stakeholders targeted by USG assistance conducted on an annual basis **Frequency/Timing of Data Acquisition:** Ongoing, as measures are proposed, adopted, or implemented **Responsible Individual(s) at the Project:** WASH TA; M&E Specialist
DATA QUALITY ISSUES
Date of Initial Data Quality Assessment: June 2014 **Known Data Limitations and Significance (if any):** This indicator does not capture information on access to improved sanitation services. **Actions Taken or Planned to Address Data Limitations:** A brief narrative may be included to track and report progress toward measures **Date of Future Data Quality Assessments:** TBD **Procedures for Future Data Quality Assessments:** The project will employ a system of continuous adaptive management and therefore will audit data on a systematic basis before input into the project's ePORT. For each data point reported to USAID, supporting documentation will be identified and reviewed using the process outlined in Appendix B as a guide. The M&E Specialist will ensure that each data point is supported with documentation and that data are assessed against data integrity standards as outlined in the ADS 203.3.5.
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING
Data Analysis: M&E Specialist will review ongoing achievement of actual progress against targets for this indicator. **Presentation of Data:** Quantitative. **Review of Data:** The M&E Specialist will review data on a rolling basis as data comes in from the WASH TA and quarterly by DCOP before submission on the Quarterly Report. Full audit of all data described above. **Reporting of Data:** Quarterly Reports.
OTHER NOTES
Notes on Baselines/Targets: Only WASH measures will count toward this indicator.
PERFORMANCE INDICATOR VALUES

Year	Target	Actual	Notes
2013	0	0	
2014	1		
2015	1		
2016	2		
2017	1		
LOP	5		
THIS SHEET LAST UPDATED ON: February 24, 2014			

APPENDIX B: DATA QUALITY WORKSHEET (FROM USAID PMP TOOLKIT)

USAID/East Africa **Data Quality Assessment Form**	
Objective:	
Area:	
Element:	
Performance Indicator:	
Is this a Standard or Custom Indicator? If standard make sure the title matches the title from the FAF	___ Standard ____Custom
Data Source(s):	____ Implementing partner reports ____ Monitoring by TA ____ Other (Be Specific)
PREPARED Control over Data:	____ High (PREPARED is source and/or funds data collection) ___ Medium (Implementing partner is data

	source) ____ Low (Data are from a secondary source)
Partner or Contractor Who Provided the Data (if applicable)	
Year or Period for Which the Data Are Being Reported	
Data Assessment methodology	Describe in detail and attach to the checklist**
Date(s) of Assessment:	
Assessment Team Members:	
For Office Use Only DCOP/M&E Specialist approval X_____	

CATEGORY	YES	NO	COMMENTS
VALIDITY			
Is there a direct relationship between the program activity and what is being measured? If not explain connection the result.			
Can the result be plausibly attributed to USG assistance?			
Are the people collecting data qualified and properly supervised?			
Are steps taken to correct known data errors?			
Were known data collection problems appropriately assessed?			
Are steps being taken to limit transcription error?			
Are data quality problems clearly described in final reports?			
RELIABILITY			
Is a consistent data collection process used from year to year, location to location, data source to data source?			
Are there procedures in place for periodic review of data collection, maintenance, and documented in writing?			
Are data quality problems clearly described in final reports?			
TIMELINESS			
Is a regularized schedule of data collection in place to meet program management needs?			
Is data properly stored and readily available?			
PRECISION			
Is there a method for detecting duplicate data?			
Is there a method for detecting missing data?			

INTEGRITY			
Are there proper safeguards in place to prevent unauthorized changes to the data?			
Is there a need for an independent review of results reported?			
IF NO RELEVANT DATA WERE AVAILABLE	**COMMENTS**		
If no recent relevant data are available for this indicator, why not?			
What concrete actions are now being undertaken to collect and report these data as soon as possible?			
When will data be reported?			
SUMMARY	**COMMENTS**		
Based on the assessment relative to the five standards, what is the overall conclusion regarding the quality of the data?			
Significance of limitations (if any):			
Actions needed to address limitations			

Recommendations for Conducting Data Quality Assessments (DQA)

1. Individual (s) conducting the DQA should describe in detail the methodology that will be used to conduct the DQA. This is required for each indicator. This information should be approved before the DQA is conducted.
2. DQ assessor should make sure that they understand the precise definition of the indicator. Please address any issues of ambiguity before the DQA is conducted.
3. DQ assessor should have a copy of the methodology for data collection in hand before assessing the indicator. This information should be in the PMP file for each indicator. Each performance indicator should have a written description of how the data being assessed is collected.
4. Each implementing partner should have a copy of the method of data collection in their files and documented evidence that they are collecting the data according to the methodology.
5. Assessor should record the names and titles of all individuals involved in the assessment.
6. Does PREPARED have documented evidence that they have verified the data that has been reported to USAID? PREPARED must be able to provide USAID with documents (process/person conducting the verification/field visit dates/persons met/activities visited, etc.) which demonstrate that they have verified the data that was reported to USAID. Note: Verification of data by the program should be an ongoing process.
7. The DQA assessor should be able to review the implementing partner files/records against the methodology for data collection laid out in the PMP. Any data quality concerns should be documented.

8. The assessor should verify the partner data at the field level using the PMP methodology. Any data quality concerns should be documented.
9. Storage of data is critical to this process. The assessor should document any and all weakness in the files/record keeping associated with the performance indicator being reviewed.
10. The DQA should include a summary of all weaknesses found; the significance of the weaknesses and recommendations for addressing the findings. A plan of action for addressing the weaknesses should be made as well as a follow-up date for reassessment.

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