

## **Scope of Work for Baseline Study:**

### **Title II Development Food Aid Programs in Guatemala, Niger, and Uganda**

#### **I. Introduction**

##### **A. Overview**

In FY 2012, USAID's Office of Food for Peace (USAID/FFP) will enter into new awards for Title II development food aid programs in Guatemala, Niger, and Uganda. Subject to the availability of funds and commodities, USAID/FFP anticipates the following funding levels:

- Guatemala – up to two awards for a total of approximately \$15 million annually for up to six years;
- Niger – up to three awards for a total of approximately \$20 million annually for up to five years; and
- Uganda – up to two awards for a total of approximately \$15-20 million annually for up to five years.

USAID/FFP is currently reviewing applications from private voluntary organizations and cooperatives submitted in response to a Request for Applications (RFA) for Title II Development Food Aid Programs.<sup>1</sup> The RFA provided information on funding opportunities for multi-year, development food aid programs that are integrated with USAID strategies to address the underlying causes of chronic food insecurity. USAID/FFP's goal for multi-year development programming is to reduce risks and vulnerabilities to food insecurity and increase food availability, access, and utilization/consumption. USAID/FFP anticipates issuing awards for programs in Guatemala by July 1, 2012, and in Niger and Uganda by August 1, 2012.

Through this solicitation, USAID/FFP seeks a survey firm (referred to in this document as "the Contractor") to conduct a baseline study to determine conditions in the three countries prior to the start of new Title II programs. USAID/FFP requires a quantitative population-based household study focused on the collection of required impact and outcome indicators for Title II programs' intervention areas. The study should also include a qualitative component that will add depth, richness, and context and serve to triangulate information from quantitative findings.

Given that each country has a different agricultural calendar, the baseline study for the three countries will be conducted at different times of the year. The Contractor should strive to conduct baseline surveys during the first year of the program cycle, prior to the start of program implementation, and, when possible, during each country's hunger season. Table 1 provides general dates for the most important hunger season in each of the three countries and the anticipated dates for baseline data

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<sup>1</sup> The FY 2012 RFA for Title II Development Food Aid Programs can be found at [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/ffp/progpolicy.html](http://www.usaid.gov/our_work/humanitarian_assistance/ffp/progpolicy.html).

collection. The Contractor should confirm with USAID/FFP and the respective USAID Mission when data collection will take place.

Table 1. Guatemala, Niger, and Uganda Hunger Seasons and Anticipated Baseline Data Collection<sup>2</sup>

COUNTRY	PEAK HUNGER SEASON	ANTICIPATED BASELINE DATA COLLECTION
Guatemala	March through August	September 2012
Niger	July through October	November – December 2012
Uganda	April through August	December 2012 – January 2013

## B. Objective of Baseline Study

The purpose of the baseline study is to assess the current status of key indicators, have a better understanding of prevailing conditions and perceptions of the programs' populations in the implementation areas, and serve as a point of comparison for future final evaluations. Results will also be used to further refine program targeting and, where possible, to understand the relationship between variables to inform program design. The baseline study is designed as the first step in a two-part evaluation, with the final evaluation as the second step. In order to be comparable, both will be conducted at the same time of the year in each country. The baseline studies will be conducted in 2012 and early 2013, while USAID/FFP expects to conduct final evaluations as close as possible to the end of the program four or five years later, depending on the country.

The specific objectives of the baseline are the following:

- Determine the baseline values of key impact and outcome level indicators, including cross-cutting themes, disaggregated by implementing partner, age, and gender as appropriate;
- Collect data, including demographics in target areas and appropriate independent variables, comparable to what will be collected during the final evaluation to determine the level of change on impact and outcome indicators between baseline and final evaluation;
- Conduct bivariate analysis of impact and outcome indicators with independent variables identified for inclusion in survey as appropriate, with results provided by implementing partner;
- Help establish end-of-project targets for impact and outcome indicators;
- Identify appropriate conditions for criteria-based targeting to inform and refine program design;
- Perform multivariate analysis to deepen implementing partners' understanding of the causes of food insecurity and malnutrition and inform program design; and
- Collect and analyze qualitative data through the use of focus groups, key informant interviews, and observation to triangulate with quantitative data and shed light on potential causes of food insecurity and malnutrition to inform program design.

<sup>2</sup> The FEWSNET Seasonal Calendar for Food Security and Assistance Planning for peak hunger season provides estimates in each country of study:

<http://www.fews.net/docs/Publications/Food%20Sec%20%20Assist%20Calendar%2011-17-08.pdf>.

While the baseline study will be externally designed, led, and reported on by the Contractor, staff from USAID/FFP and the USAID Missions of Guatemala, Niger, and Uganda will provide input and be involved during all the stages of the study. Title II awardees will also be involved throughout the process to maximize learning opportunities for staff and better acquaint them with the target areas and potential issues or challenges that may arise during the program. The Contractor will consult with Title II awardees to understand their program description and theory of change, obtain context information to properly develop a sampling frame for the household survey, and prepare the quantitative survey instrument to collect data on the set of USAID/FFP Standard Indicators (see Section III) and a limited number of USAID Mission and Title II awardee-specific indicators.

## **II. Program Background**

### **A. USAID/FFP Strategy and Results Framework**

In 2005, USAID/FFP adopted a new strategy to address the problem of food insecurity in accordance with the Title II program's authorizing legislation. The USAID/FFP Strategic Plan for 2006-2010 establishes a single Strategic Objective (SO)—*Food insecurity in vulnerable populations reduced*—for USAID/FFP<sup>3</sup>. With this strategy, USAID/FFP focuses Title II resources on reducing risk and vulnerability. USAID/FFP framed the new strategic objective in terms of reducing food insecurity, rather than increasing food security, because this formulation puts the focus on those populations already food insecure or vulnerable to food insecurity. The target groups under the strategy are populations who are at risk of food insecurity because of their physiological status, socioeconomic status, or physical security, and/or people whose ability to cope has been temporarily overcome by a shock. The strategy represents a significant change from USAID/FFP's previous strategic framework, which focused primarily on the implementation of programs in the field and had separate objectives for the emergency and non-emergency or development programs.

To achieve the SO, the strategy establishes two Intermediate Results (IRs), which complement and reinforce each other. The first IR is *USAID/FFP's global leadership in reducing food insecurity enhanced*, which adds a major new dimension to the Office's strategic framework and responds to the recognition that USAID/FFP will need the strategic support of a more active and expanded set of partners to reduce food insecurity. The second IR—*Title II program impact in the field increased*—reflects the decision to focus the Title II program on enhancing the ability of individuals, households, and communities to cope with shocks in order to reduce their vulnerability.

As part of the new strategy, USAID/FFP improved the allocation of Title II resources to ensure that the most vulnerable countries and populations are targeted. USAID/FFP developed and implemented a new set of criteria to capture the relative vulnerability of countries, as well as their performance with respect to food utilization, access, and availability. USAID/FFP also endeavored to improve the geographic targeting and timing of food resources within countries. Through this prioritization process, USAID/FFP focused on a smaller set of strategic countries to implement country-specific strategies for enhancing

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<sup>3</sup> The USAID/FFP Strategic Plan for 2006-2010 can be found at [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/ffp/ffp\\_strategy.2006\\_2010.pdf](http://www.usaid.gov/our_work/humanitarian_assistance/ffp/ffp_strategy.2006_2010.pdf).

the impact of programs on reducing food insecurity, in close cooperation and consultation with regional bureaus, USAID missions, cooperating sponsors, and international organizations.

In FY 2012, USAID/FFP selected the following countries to have new Title II development food aid programs: Guatemala, Niger, and Uganda.

## **B. Country-Specific Program Information**

While specific information on each of the countries' programs is not yet available, the Country-Specific Information document for each country provides information on the food security situation and USAID/FFP's programming priorities. Please refer to the FY 2012 Country-Specific Information documents.<sup>4</sup> Program-specific information will be available to the Contractor when the cooperative agreements for Title II development food aid programs are awarded.

## **III. Indicators for Collection and Baseline Evaluation Questions**

### **A. Indicators for Collection**

The Contractor will be responsible for collecting data on all applicable indicators listed below for each of the countries detailed in this scope of work, plus a limited number of additional indicators for each Title II development food aid program, including women's status and empowerment indicators. The final list of indicators to be collected will be discussed and agreed upon in consultation with USAID/FFP and each of the FY 2012 Title II awardees.

The USAID/FFP Standard Indicators for Baseline and Final Evaluation Surveys are:

1. Average Household Dietary Diversity Score (HDDS)
2. Household Hunger Scale (HHS): Percentage of households with moderate or severe hunger
3. Percentage of underweight (WAZ < -2) children aged 0-59 months
4. Percentage of stunted (HAZ < -2) children aged 0-59 months
5. Percentage of children 0–5 months of age who are exclusively breastfed
6. Percentage of children 6-23 months of age receiving a minimum acceptable diet
7. Percentage of underweight (BMI < 18.5 kg/m<sup>2</sup>) women of reproductive age (15–49 years)
8. Women's Dietary Diversity Score (WDDS): Mean number of food groups consumed by women of reproductive age (15–49 years)
9. Percentage of households using an improved drinking water source
10. Percentage of households with access to an improved sanitation facility

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<sup>4</sup> The FY 2012 Country-Specific Information documents can be found at [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/ffp/countryspec.html](http://www.usaid.gov/our_work/humanitarian_assistance/ffp/countryspec.html).

11. Percentage of households with children aged 0–23 months that have water and soap or locally available cleansing agent at a hand washing place

12. Percentage of farmers who used financial services (savings, agricultural credit, and/or agricultural insurance) in the past 12 months

13. Percentage of farmers who practiced the value chain activities promoted by the project in the past 12 months

14. Percentage of farmers who used at least [a project-defined minimum number of] sustainable agriculture (crop/livestock and/or NRM) practices and/or technologies in the past 12 months

15. Percentage of farmers who used at least [a project-defined minimum number of] improved storage techniques in the past 12 months

16. Women’s status and empowerment indicator(s), depending on country and/or implementing partner gender objectives as identified in the results frameworks<sup>5</sup> (Note: USAID/FFP is interested in considering the cost of including the Feed the Future’s (FTF) Women’s Empowerment in Agriculture Index (WEAI) in the population-based household survey for each country. As such, offerors should provide the level of effort and cost required to include the WEAI as a separate line item in the budget.)

The Contractor will closely follow the guidance on the USAID/FFP Standard Indicator Handbook for indicator definition, collection, and analysis for the indicators listed above.<sup>6</sup> In several instances, the Contractor will have to refer to the source documents used to develop the USAID/FFP Standard Indicator Handbook for instructions on adapting questionnaires to the local context, as well as other important details on data collection and tabulation. The Contractor will also have to work closely with USAID/FFP, the USAID Mission in the country, and Title II awardees to develop questionnaires and tabulation instructions for the agriculture indicators (#12-15), program-specific gender indicator(s), and any additional indicator(s) not specified in the Handbook.

The Contractor will also collect data for the following indicators:

1. Poverty prevalence (assessed through food and non-food expenditure)
2. Mean depth of poverty (among poor households)

For the poverty prevalence indicator, the Contractor will closely follow FTF guidance for indicator definition, collection, and analysis.<sup>7</sup> For the mean depth of poverty indicator, the Contractor will use the same household level per capita expenditure data used to derive the poverty prevalence indicator. The

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<sup>5</sup> Demographic and Health Survey (DHS) indicators on women’s status and empowerment can be used as reference: <http://www.measuredhs.com/topics/Womens-Status-and-Empowerment.cfm>.

<sup>6</sup> The USAID/FFP Standard Indicator Handbook can be found at [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/ffp/ffpstdindicatorhb.pdf](http://www.usaid.gov/our_work/humanitarian_assistance/ffp/ffpstdindicatorhb.pdf).

<sup>7</sup> For information and guidance on FTF indicators, visit <http://feedthefuture.gov/progress>.

Contractor will have to work closely with USAID/FFP and the Mission in country to develop tabulation and analysis instructions for this indicator.

The Contractor will ensure that rigorous practices are used to collect, tabulate, and analyze the indicator data. Refer to Section IV of this SOW for further information on the required quantitative methodology.

## **B. Evaluation Questions**

The Contractor is expected to help formulate and incorporate evaluation questions into the survey in concert with the implementing partner for each program. The intent is to include additional variables or strata that will add to the formative analysis and help strengthen program design and targeting.

## **IV. Baseline Evaluation Design and Methodology**

### **A. Quantitative Methodology**

The Contractor is expected to take responsibility for all aspects of the baseline quantitative survey, including sampling design, questionnaire instrument development, field work, and data collection, entry, cleaning, treatment, and analysis.

1. **Sampling Design:** Before embarking on designing the sample survey, the Contractor should become familiar with the FANTA Sampling Guide (1997) and addendum (2012)<sup>8</sup>, which provide an overview of the recommended design features for Title II baseline and final evaluation surveys. The 2012 addendum provides important corrections to the guide, which should be followed closely. The quantitative part of the baseline should be a population-based household survey, where the “population” is limited to those living in geographic areas where program implementation is intended to take place.

The Contractor should plan to conduct one survey per country, with each implementing partner area representing one stratum in the survey design. A multi-stage cluster sampling design should be used. Given that USAID/FFP requires that the baseline survey be a performance evaluation (rather than an impact evaluation), the design may be limited to a simple pre-post design without control groups. If the Contractor intends to use a more elaborate design, this should be specified in the proposal.

The Contractor should specify the details of the sampling design in a Sampling Plan document in advance of field implementation. This document should include all of the following elements:

- The principal indicator and associated target group that will drive the sample size calculation for the entire survey. For example, if stunting is the principal indicator, the target group will be children 0-59 months.
- The base sample size for this target group. The Contractor should show the equation used for this calculation and the parameters used in the equation, including the design effect assumed for the principal indicator driving the sample size calculation. The calculation should take into

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<sup>8</sup> The FANTA Sampling Guide can be found at <http://www.fantaproject.org/publications/sampling.shtml>.

account statistical power. The Contractor should carry out sample size calculations separately for each implementing partner and then sum them to obtain the total sample size for the country survey.

- The number of households to be sampled in order to achieve the desired sample size for the target group (assuming that households may contain more than one or no eligible members from the target group). The Contractor should give an indication of how the base sample size will be adjusted to account for the number of households that need to be visited.
- The number of households to be sampled to account for anticipated household non-response. The Contractor should indicate by how much the number of households to be sampled will be pre-inflated to account for household non-response.
- Geographic or other criteria for stratification. The Contractor should specify all stratification criteria and the total number of strata for all criteria. At a minimum, the sample will be stratified by partner in countries where multiple partners are implementing programs. Additional strata are not required.
- The number of stages of sampling to be used.
- Explanation of how the number of clusters and of households per cluster in the sample will be determined.
- Definition of the clusters. Where multiple partners are implementing programs, stratification should be part of the design. In such cases, the implementation zone of each partner should constitute the highest level of stratification. Lower level strata within implementation zones may also be needed. If so, an indication should be provided on how the overall number of selected clusters will be allocated to the various strata within implementing partner zones. The Contractor should use tables to show the number of clusters that will be selected for each stratum.
- Explanation on the source of the information for the sampling frame, e.g. census lists or other national or internationally-sponsored surveys, such as the Demographic Health Surveys (DHS). The Contractor should indicate how reliable and recent the frame information is.
- A Probability Proportionate to Size (PPS) sampling mechanism should be used to randomly select the clusters. The Contractor should use the number of households per cluster as the size measure and include a table of size measure and another showing the final list of selected clusters along with their probabilities of selection.
- Indication that the Contractor will use systematic sampling to select dwellings within clusters. This implies that for the sampled clusters, a list of all households, with household identification and location indicated, within these clusters must be obtained through either a preliminary pass on the cluster prior to interviewing or other existing sources.
- Explanation of how households are defined by the Census office in the country in question. The Contractor should adopt a “take-all-households” approach to treat dwellings with multiple households. The Contractor should specify how polygamous households will be sampled, if applicable.
- The Contractor should adopt a “take-all-individuals” approach to select individuals within households from whom to collect data for each target group.

2. **Questionnaire Instrument:** USAID/FFP expects the Contractor to develop a questionnaire instrument incorporating modules specified in the USAID/FFP Indicator Handbook (disseminated in December 2011) to respond to the data collection needs of the Title II development food aid programs and USAID. Given the limited time and resources for development, it is recommended that the Contractor limit the instrument to a paper and pencil version. The questionnaire should include an informed consent statement for each respondent and commence with a set of questions to establish a household roster. The questions within the questionnaire should be organized by respondent type<sup>9</sup> and questions should follow international standard format, i.e. DHS, wherever possible. In general, the Contractor should ensure that questions are written following established questionnaire design principles and that rigorous practices are used to collect, tabulate, and analyze indicator data. These practices should include adding identifiers, such as cluster number, household number, and respondent identification number (line number from household roster) to each page of the questionnaire(s) to ensure that pages can be correctly correlated to a given household and respondent if separated and to enable the derivation of household-level sampling weights and a household non-response adjustment to be incorporated into the sampling weights for use in all data analyses.
3. **Field Procedure Manual:** USAID/FFP expects that the Contractor will develop a field manual to be used as part of the training materials for survey enumerators and supervisors and serve as reference material for staff in the field conducting the survey. The field manual should include instructions on how to sample dwellings within clusters, households within dwellings, and select individuals within households. The manual should also give recommended best practices for conducting interviews and dealing with specific challenging situations, e.g. households that refuse to participate, and provide a household and individual respondent non-response follow-up strategy. The manual should also describe the roles and responsibilities of the field staff and contain a detailed explanation of how to properly administer each question in the questionnaire.
4. **Data Treatment and Analysis Plan:** USAID/FFP expects that the Contractor will prepare a data treatment and analysis plan to address the following elements:
  - Indication of how and when data will be entered into the database, as well as the software to be used for data entry. Double-data entry is required;
  - Data quality checks and edits (data cleaning) planned to ensure logical consistency and coherence, as well as an indication of the software to be used;
  - Sampling weights to be included on the data file. The formulae used to calculate the sampling weights should be included as part of a data dictionary document. Different sampling weights will need to be calculated for separate analysis of each implementing partner area and of the

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<sup>9</sup> Note that a respondent is an individual or set of individual(s) identified as most appropriate to respond to a set of questions on behalf of a specific target group. Such respondents can be the actual sampled members of the target group themselves (e.g., adults providing direct responses on behalf of themselves) or can be individuals not part of the target group providing proxy responses on behalf of sampled individuals in the target group (e.g., caregivers on behalf of young children).



aggregate Title II program data for the country. Note that a household non-response adjustment should be made to the sampling weights as part of the final weighting system;

- Indicator tabulation plan. Estimates should be produced for each implementing partner stratum and for the overall level;
- Indication of which sub-groups, if any, for which the Contractor will produce estimators;
- Any other planned data analyses. The Contractor should specify all intended bivariate and multivariate analysis here;
- Indication that confidence intervals associated with the indicators will be produced alongside the indicator estimates and that these will take into account the design effect associated with the complex sampling design. Additional statistical outputs are required for multivariate analysis, but should be provided in an appendix; and
- Software to be used for data analysis and for conversion of anthropometric data into Z-scores.

Note: All variables must be labeled in a clear and consistent manner for all baseline surveys to enable meta-analysis of data from different countries.

### **B. Preparation for Meta-Analysis**

The Contractor will ensure that labeling and architecture of all datasets is consistent to help facilitate meta-analyses of datasets across Title II development programs and countries at a later date. During the period of performance for the baseline study, USAID/FFP will discuss with the Contractor specific details with respect to the requested architecture of the datasets. The meta-analysis of data is not part of this SOW.

### **C. Qualitative Methodology**

The Contractor will undertake a qualitative study as part of the baseline study. The main objective of the qualitative study is to inform USAID/FFP and implementing partners about the overall food security situation in the programs' implementation areas. Qualitative information adds depth, richness, and context and will serve to triangulate information from quantitative findings. Quantitative and qualitative results should be combined to provide a more complete picture to the evaluation results. The qualitative study described in this SOW is not expected to replace any in-depth qualitative assessments or formative research that implementing partners may conduct at the beginning of a program to inform specific aspects of their program design. The qualitative research described in this SOW is expected to shed light on the quantitative survey findings.

A description of the qualitative study should include the following elements:

- Questions the qualitative component will answer;
- Sampling approach for selecting sites, key informants, focus group discussion participants, and direct observation sites for the qualitative component;
- Methods to be used for the qualitative study, e.g., rapid appraisal/participatory rural appraisal, focus groups, key informant interviews, structured/semi-structured interviews, anecdotal evidence, organizational capacity assessments, observations, or seasonal calendars;

- Brief description of the instruments that will be developed and the type of questions to be asked, e.g., key informant interview guides, focus group guides, or organizational capacity assessment questionnaires;
- Budget and timeline constraints for the qualitative component;
- When qualitative data collection will take place, i.e. prior, in parallel, or subsequent to the quantitative survey;
- Expected outputs of the qualitative data analysis;
- How the results of the qualitative study will be combined with the quantitative study; and
- Methods and specific software to be used to analyze qualitative data collected.

## **V. Baseline Study Products**

### **A. Deliverables**

The Contractor is responsible for:

- 1) Pertinent permissions, insurance, and other required permits
  - a. Obtaining all the necessary permissions for implementing the baseline data collection.
  - b. Adhering to country and local formalities and obtaining any required permits related to data collection from human subjects and logistics of survey implementation, including any necessary Internal Review Board (IRB) approvals, as well as health and accident insurance, salary, and taxes for all enumerators and supervisors.

**Deliverable: Evidence of insurances and permits for implementing survey and other data collection activities in each country in electronic form**

- 2) Attendance at the USAID/FFP M&E Workshop in each country
  - a. Contractor staff leading the baseline study per country and other key Contractor staff should attend and participate in the workshop that is organized by USAID/FFP's technical advisor, FANTA-III, for new Title II awardees in each country. The workshops will be held in French in Niger, in Spanish in Guatemala, and in English in Uganda. Dates for the workshops are to be determined, but will take place between July and September 2012.
  - b. Understanding of the results frameworks and Indicator Performance Tracking Table (IPTT) for new Title II programs.

**Deliverable: Attendance and participation of key Contractor staff in the USAID/FFP M&E Workshop for new Title II awardees in each country**

- 3) Inception report and detailed survey implementation plan (DSIP)
  - a. Specifying details for methodology, critical tasks, anticipated outputs, date-bound timelines, resource needs, and responsible person(s). Composition of a standard field survey team, including expected tasks and responsibilities of each team member, should also be described.

**Deliverable: Inception report and DSIP reviewed and approved by USAID/FFP**

- 4) Quantitative survey instrument
  - a. Detailing a questionnaire instrument that responds to the elements specified in Section IV A, sub-section 2, above, and any supplemental questionnaire components, such as those that may be required to address the inclusion of gender and partner-specific indicators.

- b. Adapting the questionnaire to the local context.
- c. Translating the approved questionnaire instrument from English into the appropriate local language(s) in which the survey will be administered. Back translating the questionnaire from the local language(s) to English with a second translator to ensure it is accurately translated in the local language(s). Making any necessary changes to the local language questionnaire based on the back translation. Some questionnaire modules might already be provided in local language, thus the Contractor may not have to translate everything.

**Deliverable: Final local language and corresponding English questionnaires reviewed and approved by USAID/FFP**

5) Qualitative study description and guidance

- a. Detailing the methods to be used, general domain of questions to be asked, and instructions and guidance that will be provided to those collecting the qualitative data. The qualitative data collection plan should respond to the elements specified in Section IV C.

**Deliverable: Qualitative study description and guidance reviewed and approved by USAID/FFP**

6) Supervisor and enumerator training curriculum

- a. Developing training materials to address the quantitative and qualitative components of the baseline survey.
- b. Translating training curricula into local language(s), as necessary.
- c. Developing supporting materials and carrying out anthropometric standardization with enumerators.
- d. Pilot testing the quantitative survey instrument during enumerator training with a small number of households that are not included in the sampling frame. It is recommended that each enumerator team have the opportunity to carry out at survey with at least two households during the pilot testing phase.

**Deliverable: Final local language and corresponding English training materials reviewed and approved by USAID/FFP**

7) Sampling plan document

- a. Detailing a sampling plan for the quantitative population-based household survey that responds to the elements specified in Section IV A, sub-section 1.

**Deliverable: Sampling plan reviewed and approved by USAID/FFP**

8) Field procedure manual

- a. Detailing a field procedure plan for the quantitative population-based household survey that responds to the elements specified in Section IV A, sub-section 3.

**Deliverable: Field procedure manual reviewed and approved by USAID/FFP**

9) Data treatment and analysis plan

- a. Detailing a data treatment and analysis plan that responds to the elements specified in section IV A, sub-section 4.

**Deliverable: Data treatment and analysis plan reviewed and approved by USAID/FFP**

- 10) Data set, data dictionary/codebook, edit rules, and syntax for data analysis, including syntax for variable transformations

**Deliverables:**

- a. Raw data set;
- b. Edit rules for cleaning data;
- c. Data dictionary/codebook;
- d. Syntax for all data analysis and variable transformations;
- e. Final data set for each implementing partner that includes cleaned data, sampling weights at each stage, final sampling weights, and all derived indicators; and
- f. Sampling weights used to tabulate the aggregate-level estimates for the USAID/FFP Standard Indicators

- 11) Briefings for the USAID Mission in the country

- a. Presenting findings, conclusions, lessons learned, and recommendations of the baseline study. Mid-term briefings of the baseline study are not required to include a PowerPoint presentation and will be done for the USAID Mission in the country. A formal, final briefing should include a PowerPoint presentation and cover the contents of the study's report, such as findings, conclusions, lessons learned, and recommendations at the overall country level and by implementing partner. The final briefing will be done for both the USAID Mission and USAID/FFP.

**Deliverables:**

- a. Monthly, mid-term, and final briefings to the USAID Mission and USAID/FFP in country

- 12) Draft baseline study report

- a. Not exceeding 50 pages, excluding appendices and attachments. The draft report must be presented in English.
- b. Presenting the estimates and confidence interval for all indicators (impact and outcome) at the overall program level and by implementing partner.
- c. Presenting bivariate and multi-variate analyses by implementing partner.

**Deliverable: Draft baseline survey report reviewed and approved by USAID/FFP**

- 13) Final baseline study report

This report will be a revised version of the draft baseline study report that incorporates the comments of USAID/FFP and the USAID Mission in the corresponding country. The final report must be presented in English for all countries, as well as in French for Niger and Spanish for Guatemala. Any translation costs must be considered in the Contractor's cost proposal. USAID must consider the translation quality to be acceptable before final payment is made.

Final submission of the report must be in the format required by USAID/FFP Information Bulletin 11-02 (August 11, 2011). USAID/FFP expects that the final report will adhere to the USAID Evaluation Policy's criteria to ensure the quality of the evaluation report (refer to USAID Evaluation Policy, page 11, Appendix 1).

Completed and approved study reports must be submitted to USAID's Development Experience Clearinghouse (DEC) and a cover sheet attached indicating the type of study conducted and design. Each completed study must include a three- to five-page summary of the purpose,

background of the project, main study questions, methods, findings, conclusions, recommendations, as applicable, of the study.

**Deliverable: Final baseline study report reviewed and approved by USAID/FFP and submitted to the DEC**

## **B. Reporting Format**

The format for the baseline study report is as follows:

1. **Cover page, Table of Contents, List of Acronyms;**
2. **Executive Summary** should be a clear and concise stand-alone document that states the most salient findings, conclusions, and recommendations of the study and gives readers the essential contents of the baseline report in two or three pages. The Executive Summary helps readers to build a mental framework for organizing and understanding the detailed information within the report;
3. **Introduction** should include purpose, audience, and synopsis of task;
4. **Methodology** should describe sampling design, study methods, data collection techniques, constraints and limitations of the study process and rigor, and issues in carrying out the study;
5. **Overview of the Current Food Security Situation** should provide a brief overview of the current food security situation in the country related to food availability, access, and utilization; current and anticipated programming and stakeholders;
6. **Tabular summary of results** should present baseline findings in table form for all the indicators by implementing partner area and for the aggregate Title II program area in each country;
7. **Findings** should present findings in response to the study questions. Baseline values must be presented in quantitative format and complemented by descriptive analysis for each implementing partner and at the aggregate country level;
8. **Conclusions and Recommendations** should provide additional analysis of the data and results, drawing out programmatic and organizational recommendations for planning or modifying program design. Recommendations must be relevant to program and context and include concrete and realistic steps for implementing or applying the recommendation.
9. **Issues** should provide a list of key technical and/or administrative, if any, for the Title II programs for which the baseline study was conducted; and
10. **Annexes** should document the study methods, scope of work, schedules, interview lists and tables and be succinct, pertinent, and readable.
  - a. References, including bibliographical documentation, meetings, interviews, and focus group discussions;
  - b. List of stakeholder group with number, type, and date of interactions;
  - c. Data collection instruments in English and the local language, including qualitative protocols developed and used;
  - d. Data sets in electronic format;
  - e. Data dictionary and program files used to process the data in electronic format;
  - f. Baseline study SOW; and
  - g. Other special documentation identified as necessary or useful.

## **VI. Qualifications of Firm or Consortium**

The selected firm/consortium shall possess the following qualifications:

- a. Legal status recognized to work in the country, enabling the organization to perform the above-mentioned tasks;
- b. Demonstrated experience of organizing large-scale population-based household surveys in developing countries within the past five years;
- c. Demonstrated experience of conducting qualitative research and data collection and analyzing results in developing countries within the past five years;
- d. Demonstrated strong capacity and experience in planning and organizing large-scale population-based household survey logistics;
- e. Good network of experienced enumerators, supervisors, and data entry clerks in the country where the field work will be conducted or demonstrated ability to effectively recruit skilled enumerators, supervisors, and data entry clerks in developing countries;
- f. Demonstrated experience to engage and use statistical or evaluation firms and institutions in the country where the field work will be conducted or in developing countries;
- g. Demonstrated strong capacity in sampling, data management, analysis, and statistics;
- h. Strong knowledge in any of the following software programs: CS-Pro, SPSS, Stata, SAS, SUDAAN, or any other analytical software with the capacity to take into account complex survey designs; and
- i. Demonstrated ability to deliver quality written and oral products (evaluation report and PowerPoint briefing).

## **VII. Team Composition and Qualifications**

For planning purposes, the team for this study will consist of key personnel with defined technical expertise, a mix of consultants that will provide varying technical and subject matter expertise, and support staff. The team should include local consultants with expertise, knowledge, and experience in each country. Offerors may propose an alternative personnel configuration to implement the study based on the approach provided in their proposals.

The required areas of technical and subject matter expertise represented on the team should reflect the multi-sectoral nature of Title II food assistance and the expertise required to conduct qualitative research and quantitative population-based household surveys:

- Expertise in food security programming;
- Expertise in agriculture;
- Expertise in maternal and child health and nutrition;
- Expertise in qualitative data collection methods and analysis; and
- Expertise in the design, execution, and analysis of quantitative population-based household surveys. A high-level statistical background is required.

### **Key Personnel:**

1. Baseline Study Team Leader – This individual will serve as team leader in a full-time position for the duration of the study and in all the countries. S/he will be the primary point of contact between USAID and the baseline study team and have responsibility for the overall compilation of the final baseline study reports. The incumbent must:
  - Have 10 years of food security programming in senior management positions;
  - Have managed or participated in at least two food security evaluations;

- Have a Master's or PhD degree in development studies, development evaluation and management, or other relevant field of study;
  - Have excellent writing/organization skills and a demonstrated ability to deliver a quality written product (Evaluation Report and PowerPoint);
  - Have excellent oral communication, presentation, and inter-personal skills;
  - Have the technical and management skills to manage budget resources (dollars and staff) for the study, as well as assist and support the team with field logistics (e.g., coordinating with USAID and/or a government ministry to set up initial appointments for interviews);
  - Have a broad range of subject matter expertise and demonstrated experience in the areas of food security, agriculture development, nutrition, and health, as well as in the USAID/FFP focus countries; and
  - Experience on past Title II evaluations or baseline surveys would be a plus.
2. Senior Evaluation Specialist – This individual will be responsible for designing, managing, and coordinating the evaluation approach. The incumbent must:
- Have eight years of evaluation experience;
  - Have demonstrated experience managing, leading, and coordinating quantitative and qualitative baseline studies or evaluations;
  - Have a Master's degree or PhD in statistics, development studies, development evaluation and management, or other relevant field of study;
  - Have extensive knowledge of sampling and demonstrated experience with designing complex surveys;
  - Have extensive experience with data management and database organization, including developing data entry programs and supervising data entry, cleaning, and quality control;
  - Have experience in various complex data analysis methods and working knowledge of at least one statistical software, such as CS-Pro, SPSS, Stata, SAS, and SUDAAN;
  - Have excellent writing and organization skills and a demonstrated ability to deliver a high-quality written product (evaluation report);
  - Have familiarity with a broad range of subject matter knowledge expertise in the areas of food security, agriculture development, nutrition, and health; and
  - Experience on past Title II evaluations or baseline surveys would be a plus.
3. Qualitative Research Specialist – This individual will be responsible for designing, managing, and supervising qualitative data collection. The incumbent must:
- Have eight years of experience designing and implementing qualitative research studies to illuminate quantitative survey findings;
  - Have experience with a diverse range of qualitative instruments, such as rapid appraisal/participatory rural appraisal, focus groups, key informant interviews, structured/semi-structured interviews, anecdotal evidence, organizational capacity assessments, observations, or seasonal calendars;
  - Have experience with qualitative research in developing countries; and
  - Experience on past Title II evaluations or baseline surveys would be a plus.
4. Field Operation Manager – This individual will be responsible for planning, managing, and supervising survey data collection in-country. The incumbent must:
- Have an undergraduate degree in agriculture, statistics, or economics;

- Have five years of experience supervising large-scale survey field work in developing countries, preferably involving anthropometric data collection;
- Have demonstrated experience hiring, training, and overseeing field supervisors and enumerators; coordinating field logistics, schedules, and equipment; and managing data quality control in the field; and
- Fluency in relevant local languages.

As per the criteria presented above and given the multi-sectoral approach of Title II programs, the Contractor will be expected to involve sectoral experts in the areas of agriculture, livelihoods, livestock, health, and nutrition, as needed. These experts can either be external consultants engaged on a full- or part-time basis or members of the selected firm with the necessary skills. The required skills of the agriculture and health and nutrition experts are outlined below; however, additional sectoral experts may be needed based on the country context and Title II program activities:

**Agriculture Expert** – This expert will provide technical guidance related to agriculture and agribusiness during the evaluation. The incumbent must:

- Have five years of food security implementation experience;
- Have demonstrated experience with agriculture extension, conservation agriculture, input management, post-harvest handling, livestock management, and agricultural marketing;
- Have demonstrated experience and knowledge of quantitative and qualitative evaluations methodologies, processes, and management;
- Have a strong knowledge of Title II programming, with experience on past evaluations of Title II evaluations or surveys is a plus;
- Have a Master's or PhD degree in agriculture, development studies, development evaluation or other relevant field of study;
- Have excellent writing/organization skills;
- Have excellent oral communication, presentation, and inter-personal skills; and
- Have excellent analytical and technical skills.

**Health and Nutrition Expert** – This expert will provide technical guidance related to maternal and child health and nutrition during the study. The incumbent must:

- Have five years of maternal and child health and nutrition expertise;
- Have three years of emergency or development food security implementation experience;
- Have a strong knowledge of health and nutrition indicators, supplementary and vulnerable group feeding practices, positive deviance, care group, and community healthcare methodologies;
- Have demonstrated experience and knowledge of quantitative and qualitative evaluations methodologies, processes, and management;
- Have a strong knowledge of emergency Title II programming, with experience on past evaluations of Title II evaluations or surveys is a plus;
- Have a Master's or PhD degree in international public health, international nutrition, or other relevant field of study;
- Have excellent writing/organization skills;
- Have excellent oral communication, presentation, and inter-personal skills; and
- Have excellent analytical and technical skills.

Other team members:



The offeror will need to consider and budget accordingly to what extent the team will require junior or mid-level support (e.g., to assist in collecting, analyzing, and cleaning data, and preparing tabular or graphic materials).

As per the USAID Evaluation Policy, all baseline study team members will provide a signed statement attesting to a lack of conflict of interest or describing an existing conflict of interest relative to the program being evaluated.

#### **VIII. Responsibilities/Tasks**

After the award, the firm contracted to carry out the baseline study will submit to USAID/FFP an inception report and detailed survey implementation plan (DSIP) as a first deliverable. It is anticipated that the baseline study team will need to carry out the following tasks:

- Initial orientation meetings with USAID/FFP in Washington, including the M&E Advisor and the Country Backstop Officers for each country; the USAID Missions in Guatemala, Niger, and Uganda; and new Title II awardees in each country;
- Attendance at the USAID/FFP M&E Workshop to be held in each country;
- Review of project documentation provided by USAID/FFP and the Missions. Documents will be provided after the signing of the contract;
- Identification of any other relevant performance information sources, such as results frameworks, IPTTs, and/or performance monitoring systems;
- More in-depth interviewing of USAID/FFP and Mission staff, new Title II awardees, and stakeholders to confirm indicators to be surveyed and understand each program's results frameworks, planned program implementation, and the country context;
- Preparation of relevant summary tables, graphs, and annexes;
- Monthly and mid-term briefings of the baseline study (without PowerPoint presentation);
- Drafting of Evaluation narrative, including Executive Summary and other content (tables, graphs, and annexes);
- Preparation of a PowerPoint presentation on the study's findings, conclusions, lessons learned, and recommendations for final briefing of the baseline study;
- Final briefing to the USAID Missions;
- Revision of the Evaluation Report drafts to address comments provided by USAID/FFP and the Missions; and

- Submission of the final Baseline Study report in English and local language, data, and supporting information in accordance with the requirements described in USAID/FFP Information Bulletin 11-02 and in line with the USAID Evaluation Policy.

## **IX. Evaluation Management**

### **A. Logistics**

USAID/FFP will provide overall direction to the Contractor, identify key documents, and assist in facilitating a work plan. USAID/FFP staff in Washington and the USAID Missions in the respective countries will assist in arranging meetings with key stakeholders as identified by USAID prior to the initiation of field work. The Contractor is responsible for arranging other meetings as identified during the course of this evaluation and advising USAID/FFP prior to each of those meetings. The Contractor is also responsible for arranging vehicle rental and drivers as needed for site visits and field work. USAID/FFP in Washington and the Missions can assist with hotel arrangement if necessary, but the Contractor will be responsible for procuring its own work/office space, computers, internet access, printing, and photocopying. The Contractor will be required to make its own payments. USAID/FFP and Mission personnel will be made available to the team for consultations regarding sampling, geographical targeting, sources, and technical issues before and during the evaluation process.

### **B. Schedule/ Timeline**

It is anticipated that a timeline will be submitted as part of the Offeror's proposal. The following is provided for illustrative purposes. Please note that USAID requires monthly meetings on the progress of the baseline study.

**Pre Field-Work:** Obtain key documents, make key contacts, and plan for interviews and discussions in the country with USAID, Title II awardees, government officials, food security-related organizations, and others as needed. Most of this work will be done through email or phone. The team may work through USAID to arrange meetings and interviews prior to arrival or start of formal data collection.

**Field Work – Weeks 1 - 2:** The focus will be on meeting with USAID and Title II awardees to negotiate the inclusion of USAID Mission and Title II awardee-specific indicators, gathering and reviewing data not already available, solidifying the Work and Methodology Plan, start recruitment of enumerators, developing or refining sampling frame and data collection methodology and tools (quantitative and qualitative), and arranging plans for site visits as needed.

**Field Work – Weeks 3 - 4:** The focus will be on completing the sampling frame and data collection methodology and tools. Translation of surveys instruments and testing and development of field manual will also be done in this timeframe. The team may also conduct interviews and discussions with Title II awardees, host government officials, USAID staff, food security organizations, and beneficiaries as time permits. The team will also conduct a monthly debriefing to USAID.

**Field Work – Weeks 5 - 6:** The focus will be on finalizing interviews and discussions with Title II awardees, government officials, food security organizations, and beneficiaries and training enumerators for quantitative and qualitative data collection. The team leader will also conduct the mid-term debriefing to USAID.

Field Work – Weeks 7 - 10: The focus will be on quantitative and qualitative data collection through surveys, questionnaires for interviews and discussions with Title II awardees, government officials, food security organizations, and beneficiaries. Data entry and cleaning will begin. The team will also conduct a monthly debriefing to USAID.

Field Work – Weeks 11 - 13: The focus will be on data entry, cleaning, and analysis. The team will also begin preparing sections of the draft analysis.

Post Field-Work: Preliminary debriefings with USAID, final debriefing meetings with USAID and stakeholders, and submission of draft reports. The final report will be submitted no later than two weeks following receipt of final comments from USAID.

### **C. Budget**

A firm bidding on this activity must, in addition to a technical proposal, submit a Budget in Excel showing the projected Level of Effort (LOE) for each proposed full-time and/or short-time member of the Team, including subject matter expertise and administrative (logistical) support. Other costs that should be included are international travel and per diem, in-country costs for data collection and interviewing, communications, report preparation and reproduction, and other costs as appropriate. A six-day work week is authorized when working in country.

### **D. Evaluation Criteria for Proposals**

Offeror proposals will be evaluated on the merit of the proposed approach including the following criteria:

- 1) Technical Approach as illustrated in the description of proposed methodology.
- 2) Timeline reflecting proposed activities, which emphasizes the ability to meet the proposed deadlines.
- 3) Key personnel and composition of the technical team, including CVs and commitment of availability. USAID/FFP would like the Team Leader and key personnel identified as practical. USAID/FFP will also consider the offeror's ability to engage and use local firms.
- 4) Past performance including a sample document (preferably on food security) provided as a writing sample to evaluate this criteria. The offeror should also include in the submission a list of references, preferably in USAID, related to the completion of a baseline study or final evaluation for a Title II or food security project.

### **X. Intellectual property**

USAID shall, solely and exclusively, own all rights in and to any work created in connection with this agreement, including all data, documents, information, copyrights, patents, trademarks, trade secrets or other proprietary rights in and to the work. The Contractor is not allowed to withhold any information related to this agreement, as this will become public information.