



# GAFSP Monitoring and Evaluation Plan 2022

Adopted by the SC in August 2023

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## ACRONYMS AND ABBREVIATIONS

BIFT	Business Investment Financing Track
CAADP	Comprehensive Africa Agriculture Development Program
CU	Coordination Unit
CSO	Civil Society Organization
DIME	Development Impact Evaluation
FAO	Food and Agriculture Organization of the United Nations
FCS	Food Consumption Score
FCV	Fragility, conflict, and violence
FIES	Food Insecurity Experience Scale
FTE	Full-time equivalent
GAFFSP	Global Agriculture and Food Security
GBFT	Grant-Based Financing Track
ha	Hectare
IE	Impact evaluation
IFAD	International Fund for Agricultural Development
IFC	International Finance Corporation
IFPRI	International Food Policy Research Institute
km	Kilometer
M&E	Monitoring and evaluation
MDD-C	Minimum Dietary Diversity of Young Children
MDD-W	Minimum Dietary Diversity of Women
MMI	Missing Middle Initiative
PO	Producer Organization
QE	Quasi-experimental
RUTF	Ready to Use Therapeutic Food
SC	Steering Committee
SDG	Sustainable Development Goal
SE	Supervising Entity
ToC	Theory of Change
TTL	Task Team Leader
UN	United Nations
WFP	World Food Programme

# 1 OVERVIEW OF THE PLAN AND GAFSP FRAMEWORK

## 1.1 Development and Organization of the Updated M&E Plan

1. **Objectives:** This updated and revised M&E Plan presents an integrated results framework for Global Agriculture and Food Security Program (GAFSP) and its financed projects throughout their results reporting. It outlines the Program’s results chain—from project-level results up to program-level results—based on the GAFSP theory of change (ToC). It serves two main purposes. First, it serves as a manual or guide for GAFSP-financed projects to incorporate GAFSP’s M&E and reporting requirements into the design and implementation of their M&E system, including requirements on project results framework/logical framework. Second, it explains how GAFSP will aggregate results at the program level from data collected by projects financed under GAFSP’s different financing modalities.
2. **Background:** GAFSP’s M&E plan has continued to evolve since it was first approved by the GAFSP Steering Committee (SC) in 2011 (for the Public Sector Window portfolio only). The Private Sector Window (PrSW) adopted its own M&E Framework in 2013. Later, the second M&E Plan was updated in 2017 after SC approval in April 2016, which harmonized M&E functions across the Public and Private Sector Windows to the extent possible. It also explicitly linked the collection of information and reporting of results for GAFSP-supported initiatives to the implementation and accountability framework for the Sustainable Development Goals (SDGs). Changes in the M&E plan are driven by two important factors: learning from experience from the growing and diversified portfolio, and better alignment of GAFSP’s M&E model to approaches used by GAFSP Supervising Entities (SEs).
3. The current version of the M&E plan (2022) is an update of the 2017 version to ensure that it is fit-for-purpose for the GAFSP restructuring process (GAFSP 2.0) and to allow for effective oversight over the forthcoming GAFSP 2.0 portfolio.<sup>1</sup> Moreover, the 2018 independent Program Evaluation assessed GAFSP’s development effectiveness and operational effectiveness and highlighted a critical area for improvement in GAFSP’s M&E function—learning from the data collected to make the most use of the M&E generated results in its decision making.<sup>2</sup> The M&E Plan revision took a two-phase approach that began in 2020: Phase 1 focused on revising Tier 2.2 output and Tier 3 indicators, which were approved by the SC on April 26 and July 10, 2022; and Phase 2 focuses on the rest of the M&E Plan, mainly

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<sup>1</sup> Following the GAFSP Restructuring (GAFSP 2.0) approval by the SC in December 2019, the SC tasked the Coordination Unit (CU) to review the GAFSP 2017 M&E Plan to ensure its continued relevance under the GAFSP 2.0 portfolio. Specifically, GAFSP 2.0 will operate under a dual-track funding model with three funding modalities: (i) The Grant-Based Financing Track (GBFT) that will fund

Country-led and Producer organization-led (PO) proposals (akin to the current Public Sector Window and Missing Middle Initiative (MMI) pilot projects); and (ii) the Business Investment Financing track (BIFT) to support business-led private sector blended financing (akin to the PrSW, currently delivered through IFC). The PrSW will continue to operate alongside the GAFSP 2.0 dual tracks. Currently (as of July 2023), the BIFT is still under development.

<sup>2</sup> [https://www.gafspfund.org/sites/default/files/2020-](https://www.gafspfund.org/sites/default/files/2020-10/GAFSP%20Program%20Evaluation%20Final%20Report%20%26%20SC%20Response_0%20%281%29_0.pdf)

[10/GAFSP%20Program%20Evaluation%20Final%20Report%20%26%20SC%20Response\\_0%20%281%29\\_0.pdf](https://www.gafspfund.org/sites/default/files/2020-10/GAFSP%20Program%20Evaluation%20Final%20Report%20%26%20SC%20Response_0%20%281%29_0.pdf)

the Tier 1 indicators, the Tier 2.1 outcome indicators, and the ToC, which were approved by the SC on March 15, 2023.

4. **Scope:** This M&E Plan applies across various financing modalities: the Grant-Based Financing Track (GBFT; Country-led and Producer Organization (PO)-led), the Business Investment Finance Track (BIFT), and the PrSW. The 2022 M&E Plan is intended to be used for projects approved under Sixth Call onward (i.e., December 2021) and will not apply to previously approved GAFSP projects retroactively. Parts of this document refer to GAFSP GBFT projects only, where noted, and some sections refer explicitly to the PrSW or BIFT.
5. The remainder of this first section presents the modified ToC, which explains how GAFSP inputs intend to contribute to advance GAFSP goals. Sections 2, 3, and 4 describe the actual indicators that track inputs, outputs, outcomes, and impacts from GAFSP support under the various financing modalities (i.e., Country-led GBFT, PO-led GBFT, BIFT, and the PrSW). To ensure a shared understanding of the terms/concepts used in GAFSP's results reporting in general and to help GAFSP SEs implement the updated M&E guidelines and accurately report on GAFSP required indicators, the indicator reference sheet (Annex 1) provides full details on all the indicators including their definitions and measurement methodologies. Annex 2 summarizes the detailed options on Tier 1 impact evaluation. Annexes 3 and 4 provide GAFSP templates for completion reports (if the project chooses not to use a SE standard format).

## 1.2 Theory of Change

6. In line with the basic rules and principles outlined in the GAFSP Framework Document<sup>3</sup> and based on the 2017 M&E Plan, the organization and objectives of GAFSP business model is captured in the ToC (Figure 1). The ToC is built on the causal chains that lead to achieving the goals of increased rural incomes and improved food and nutrition security through five outcome pillars that were outlined in the GAFSP Framework Documents at the inception of GAFSP.
7. The ToC includes a clear line of accountability that indicates for which parts of the ToC GAFSP holds itself directly accountable as well as parts for which GAFSP contributes to, together with the effort of countries, SEs, and other stakeholders. The section titled GAFSP Delivers in the ToC encompasses activities that fall under the program's direct control, including both inputs and outputs. It also includes the outcomes that the program can still influence, considering the actions of other actors. The area marked "GAFSP contributes" consists of impact areas and goals that are long-term changes beyond the direct control of the program.

### GAFSP Contributes

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<sup>3</sup> [https://www.gafspfund.org/sites/default/files/2020-10/GAFSP%20Framework%20Document%20FINAL%20%28external%29\\_2.pdf](https://www.gafspfund.org/sites/default/files/2020-10/GAFSP%20Framework%20Document%20FINAL%20%28external%29_2.pdf)

8. At the highest level, the ToC presents GAFSP’s ambition to make a significant contribution to Sustainable Development Goals (SDGs), particularly SDG1 on No Poverty and SDG2 on Zero Hunger. This reflects GAFSP’s core business and value proposition.
9. The impact level reflects GAFSP’s ambition that rural communities in the poorest countries improve their income and food/nutrition security status. Specifically, the two impact areas that GAFSP aims to contribute are increased income and improved food and nutrition security. These are country, regional, and global-level development results that are achieved together by GAFSP, national governments, other development partners, and stakeholders. While this impact area is in the “GAFSP contributes” sphere, GAFSP strongly encourages GAFSP-financed projects to collect and report on these impact areas using the GAFSP Tier 1 indicators by including them in the project results frameworks/logical frameworks.

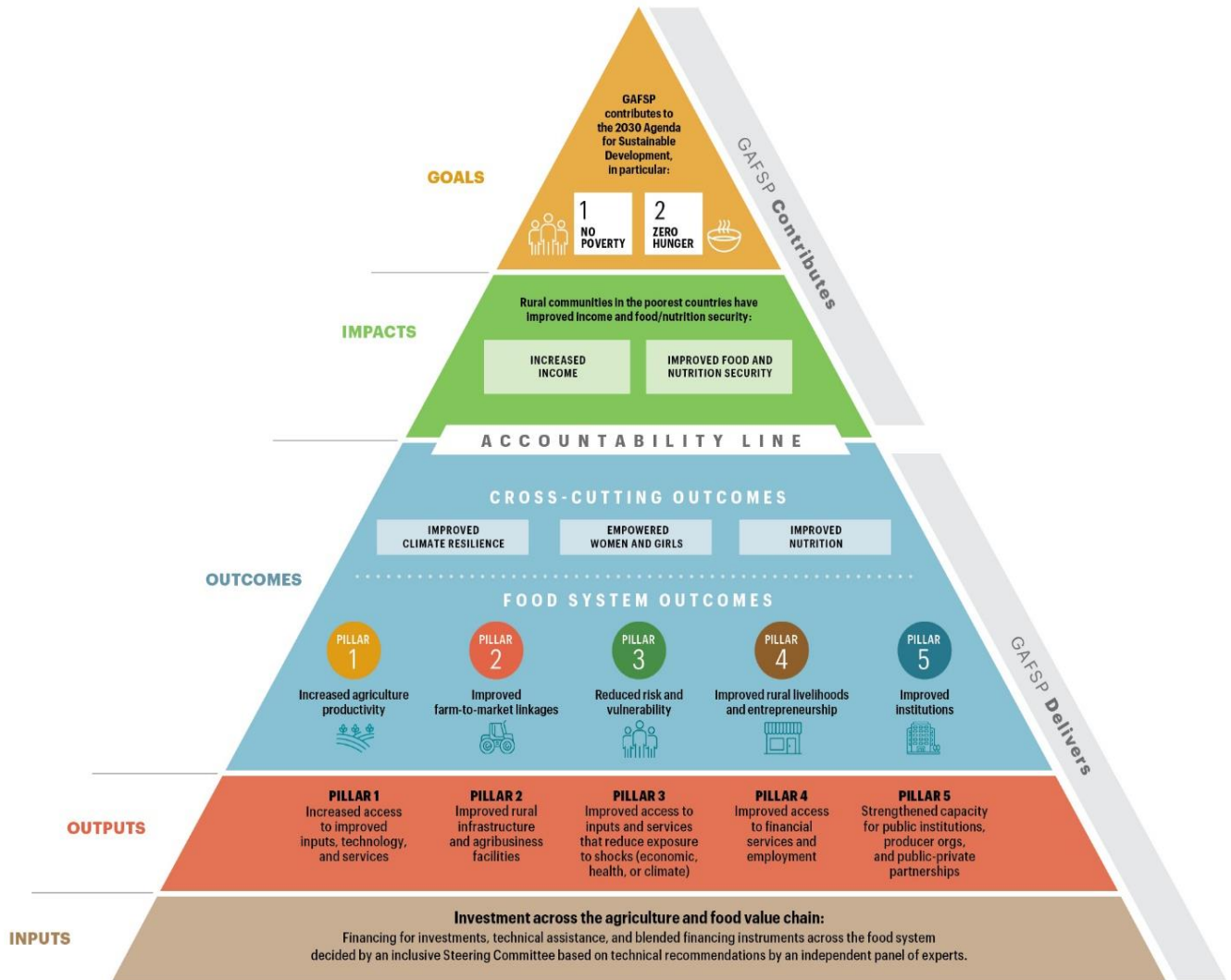
#### **GAFSP Delivers**

10. **At the level of outcomes**, GAFSP defines two types of outcome results:
  - a. **Food system outcomes** according to the five outcome pillars: (1) increased agricultural productivity, (2) improved farm-to-market linkages, (3) reduced risk and vulnerability, (4) improved rural livelihoods and entrepreneurship, and (5) improved institutions.
  - b. **Cross-cutting outcomes** namely improved climate resilience, empowered women and girls, and improved nutrition.<sup>4</sup> Building on current initiatives, GAFSP is committed to increased tracking and results reporting on cross-cutting indicators in its portfolio across different financing modalities.
11. **Outputs:** Outputs are derived from activities implemented by the projects and vary from project to project.
12. **Inputs:** The inputs refer to GAFSP-financed resources that are deployed across the agrofood system. These take the form of investments, technical assistance, and blended financing instruments across GAFSP’s various financing modalities.

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<sup>4</sup> The explicit inclusion of the cross-cutting outcomes is a new feature to the ToC introduced with the 2022 revision. This reflects increased ambition towards mainstreaming the cross-cutting themes into the GAFSP portfolio.

Figure 1 GAFSP Theory of Change



## 2 MEASUREMENT AND EVALUATION OF TIER 1 INDICATORS

### 2.1 Overview

13. The objective of GAFSP is to invest in agriculture to reduce poverty and improve food and nutrition security in low-income countries by increasing agricultural productivity, improving farm-to-market linkages, reducing risk and vulnerability, improving rural livelihoods and entrepreneurship, and improving institutions.
14. GAFSP is a key global partnership for sustainable development. As such, its overall goals focus on improvements in incomes and food and nutrition security among rural households in the world's poorest countries, in support of the SDGs to end hunger and poverty.
15. The Tier 1 indicators capture the intended overall impacts of GAFSP including impacts on income, food security and nutrition that result from the outcomes and outputs (measured by Tier 2 indicators), and program inputs (measured by Tier 3 indicators).

### 2.2 Approach to Measurement and Verification (Tier 1)

16. **At the program-level** GAFSP will broadly *contribute* to achieving the above-mentioned impacts without claiming direct attribution from the GAFSP portfolio. This realistic and transparent approach aligns with the SE's approach to monitoring and reporting of high-level impacts equivalent to GAFSP's Tier 1 indicators. All SEs report Tier 1 indicators at the regional or global level, and the data source of their Tier 1 equivalent outcomes are regional or global datasets (and are *not* derived by aggregating individual project-level data). Tier 1 or equivalent high-level results are understood to be achieved through the collective efforts of countries, development partners, and other stakeholders.
17. **At project level, GAFSP strongly encourages all Country-led GBFT investment projects, a sub-set of PrSW projects<sup>5</sup> and PO-led projects,** to report on the relevant impact indicators to the extent possible by including them in the individual project results frameworks/logical frameworks:
  - **Income** should include from all sources, including agriculture and nonagriculture sources. Agricultural income should be measured through a production-based approach (revenue minus costs), and home-produced food that is not sold but is consumed by the household is valued as income. These approaches are preferred over the use of consumption-expenditure surveys, which are more time consuming, more costly, and less practical.
  - **Food security** should be measured by the Food Insecurity Experience Scale (FIES).

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<sup>5</sup> For PrSW, the sub-set of projects to report on Tier 1 indicators have been selected to reflect the diversity of the portfolio. This includes considering geographic location, types of clients (e.g., financial institutions, joint ventures, etc.), and thematic areas such as gender and fragility, conflict, and violence [FCV]). A similar approach will continue.



- **Nutrition** should be measured by the Food Consumption Score (FCS) to track progress on improving dietary diversity of households or, for individuals, using the Minimum Dietary Diversity of Women/Young Children (MDD-W/C). Annex 1 (indicator reference sheet) further defines these Tier 1 indicators with detailed examples and methodological guidance for each indicator.

## 2.3 Approach to Tracking Tier 1 Impact Indicators

18. **At the project level**, Tier 1 indicators are expected to be measured by impact evaluations (IEs). Box 1 summarizes the key requirements for tracking impact indicators (including Tier 1 indicators, for those projects that have included them into their individual project results frameworks/logical frameworks) for projects across different financing modalities.

### Box 1 Summary of operational requirements for tracking Tier 1 indicators at project-level

#### Tier 1 evaluations for Country-led projects (see also Annex 2):

- ✓ If Country-led projects have included the above Tier 1 indicators into their project results frameworks/logical frameworks, they are encouraged to carry out an assessment or impact evaluation of some form (Annex 2 presents the various forms of IE suggested for GAFSP-supported operations) using the project's M&E budget or additional budget mobilized by the SE itself.
- ✓ It is recommended to apply experimental (i.e., randomized control trials) or quasi-experimental methods. At minimum, a "rapid" assessment, as defined in Annex 2, should be applied for meaningful Tier 1 impact indicator data collection.
- ✓ For a "rapid" assessment, although there is no methodologically well-defined counterfactual group, a clear definition of a comparison group is strongly recommended whenever possible. In addition, experience has shown that rapid assessments conducted by well-qualified local/regional firms tend to produce higher quality assessment than those carried out by individual consultants hired by the project.
- ✓ Under all design scenarios, the research entity should start engaging with the project as soon as possible, starting in the project preparation phase to ensure that proper baseline data are collected; conduct periodic field visits as necessary; and carry out the actual IE upon completion of the project.
- ✓ **TA projects** are not expected to report on Tier 1 indicators through their project evaluations given that they are part of larger Country-led projects.
- ✓ **PO-led** projects are encouraged to report on Tier 1 indicators, but given the small grant size, these projects are more likely to be affected by confounding external factors, and limited capacity in conducting M&E activities. As such, a "rapid" assessment will suffice the requirements in most cases.

#### Tier 1 evaluations for BIFT and PrSW projects:

- ✓ **PrSW:** IFC will undertake IEs and poverty assessments on a sample of its investment portfolio. FIES and Simple Poverty Scorecard are used in all these evaluations. Criteria for selecting the projects for IEs were agreed by PrSW donors in 2015 and remains valid.
- ✓ Nutrition-related indicators will be tracked by PrSW projects that have nutrition as a specific objective.
- ✓ Monitoring procedures for the BIFT will be developed once the BIFT is operational.

19. **At program level**, portfolio-wide technical evaluations or studies will be commissioned to analyze how GAFSP has *contributed* to the outcome, impact, and goals as defined in the ToC through the GAFSP portfolio. GAFSP's contribution to impact will be assessed on the realization of the impact pathways described in the ToC (e.g., five outcome pillars to the three

impacts and the SDGs). Such evaluation will focus on select operational or thematic areas. The exact scope of the commissioned studies will be determined based on consultations with the SC and relevant stakeholders as well as considering the development assistance criteria (DAC) that address issues of program efficiency, effectiveness, relevance, coherence, impact, and sustainability as relevant. The topics/themes selected will likely be common ones that are relevant across multiple countries and different financing tracks unless otherwise determined by the SC. Box 2 lists more details on these program-level technical evaluations or studies.

#### Box 2 Summary of the cross-portfolio evaluation or studies at the program level

- ✓ **Objective:** The objective of the program-wide evaluations/studies is to assess the development effectiveness of GAFSP and to enhance cross-portfolio learning. Such evaluation will focus on select operational or thematic areas, including the Tier 1 impact goals/indicators and other strategic topics. This is to strengthen the learning loop across SEs and financing tracks, facilitate internal adaptive learning, better leverage M&E functions to improve GAFSP’s strategic decision-making, strengthen GAFSP’s value proposition, and improve results-based portfolio management.
- ✓ **Methodology:** The specific methodological approach to be selected for each evaluation will be identified in the initial stage of the work (i.e., through an approach paper) and will rely on elaborate mixed methods designs that usually combine synthetic analyses at the overall portfolio level with in-depth analyses at country, project, or other levels of analysis. The multilevel nature of the portfolio requires a multilevel design with multiple methods applied at various levels of analysis. Each evaluation/study will analyze the underlying theories regarding how they are intended to work and contribute to processes of change.
- ✓ **Process:** The SC will determine the topics of the evaluation or studies, but priorities may be identified through the annual Portfolio Review, which assesses the health and common challenges of the GAFSP portfolio. Each evaluation/study would start with a desk-based portfolio analysis that identifies key priorities and specific outcome dimensions that are central for GAFSP to achieve its overarching objectives. The operational details for each study will be summarized in the form of a Terms of Reference to be prepared by the CU and require approval by the SC.

## 3 MONITORING AND REPORTING OF TIER 2.1 OUTCOME AND TIER 2.2 OUTPUT INDICATORS

### 3.1 Overview

20. GAFSP utilizes two kinds of **Tier 2 indicators** to separately capture project-level results at the outcome and output levels. **Tier 2.2 output indicators** measure the tangible goods or services produced of an intervention, which are within the control of the project implementer, for example, the number of farmers that *received* productivity enhancement support. These can simply be **counted** and are under the direct control of the project. **Tier 2.1 outcome indicators** on the other hand measure the effects of goods and services provided to the targeted beneficiaries in terms of change on attitude, practice, behavior, or knowledge, as well as material improvements of the ultimate beneficiaries that solve development problems. This is not under complete control of the project but can be significantly influenced by the project activity. For example, the increase of agriculture productivity is a possible outcome that may result from a project activity such as providing improved inputs. Additionally, many output results can be reported on a six-monthly basis cumulatively once the related activity begins. On the other hand, outcome results measure changes that take time to take place and, thus, are usually not readily observable and measurable in the early stages of a project.
21. For the **output** level, GAFSP has developed a set of 15 indicators (Tier 2.2 output indicators) that the projects are expected to include in their project results frameworks/logical frameworks if they are relevant to the project activities. Projects must use the *exact wording* of the Tier 2.2 output indicators (verbatim) as presented in Table 2 to allow for aggregation at the portfolio level. For the **outcome** level, GAFSP has developed a set of six *reference* indicators (Tier 2.1 outcome indicators, see Table 1) that the projects are expected to modify to fit the project context and include into their project results frameworks/logical frameworks if they are relevant to the project outputs and development objectives. For these outcome indicators, projects should use wording to adjust to the project context and are *not* expected to use the indicators in Table 1 in a verbatim fashion.
22. Individual projects are not expected to include *all* Tier 2.1 outcome or Tier 2.2 output indicators in their project results frameworks/logical frameworks. However, they are expected to report on **all indicators that are applicable to the projects' underlying ToC**. It goes without saying that individual projects will also track additional outputs and outcome indicators that are relevant to their projects' ToC.

### 3.2 Tier 2.1 Outcome Indicators

23. As defined in the Framework Document, GAFSP consists of five outcome pillars: (1) increased agricultural productivity, (2) improved farm-to-market linkages, (3) reduced risk and vulnerability, (4) improved rural livelihoods and entrepreneurship, and (5) improved

institutions. GAFSP will report progress towards the five outcomes pillars through (a) monitoring of corresponding Tier 2.2 output indicators within each outcome pillar (presented in Table 1), and (b) monitoring six reference *outcome* indicators that projects can customize to fit its specific context. GAFSP will not attempt to aggregate the Tier 2.1 outcome indicators at program-level given that the indicators will be customized to individual project contexts. Thus, GAFSP will report out on (a) Tier 2.2 output indicators aggregated at the portfolio level and (b) Tier 2.1 outcome indicators from projects organized by outcome pillar but not aggregated at the portfolio level.

**Table 1 GAFSP Outcome Pillars and Measurement Indicators**

Outcome pillars	GAFSP Tier 2.1 outcome indicators (to be customized by each project)	GAFSP Tier 2.2 output indicators (to be used verbatim by project)
<b>Across all five pillars</b>	N/A	1. Number of people receiving direct benefits (person)
<b>Increased agricultural productivity</b>	Agricultural productivity, calculated as a measure of crop production weight (in kg or tons) per area of land under cultivation (in hectares).	2. Land area receiving improved production support (hectare)
		3. Smallholder producers/processors receiving productivity enhancement support (persons)
<b>Improved farm-to-market linkages</b>	Percentage of agricultural production sold on domestic and regional markets (%)	4. Roads constructed or rehabilitated (km)
		5. Number of processing, storage, and market facilities constructed and/or rehabilitated (facility)
		6. Farmers supported in accessing improved marketing opportunities (farmer)
<b>Reduced risk and vulnerability</b>	Number of farmers whose livelihood has become more resilient to shocks (farmer) <sup>6</sup>	12. People receiving improved nutrition services and products (person)
		13. Farmers receiving inputs or services on climate resilient or sustainable agriculture practices (farmer)
		14. Land area where climate resilient or sustainable agriculture practices are implemented (hectare)
		15. Agribusiness companies/enterprises/POs adopting climate-resilient or sustainable agriculture interventions in their operations (organization)
	Direct employment provided or generated <sup>7</sup>	7. Persons supported by the project in rural areas accessing financial services (person)

<sup>6</sup> A reference definition is the Resilience Capacity Score (RCS) that measures anticipatory capacity, absorptive capacity, transformative capacity, and adaptive capacity ([Resilience Capacity Score \(RCS\)—Data Analysis—WFP VAM Resource Centre; https://resources.vam.wfp.org/data-analysis/quantitative/resilience/resilience-capacity-score-rcs](https://resources.vam.wfp.org/data-analysis/quantitative/resilience/resilience-capacity-score-rcs)).

<sup>7</sup> Direct employment can be either an outcome or output indicator. In the case where generating temporary employment is part of a primary project objective (e.g., cash for work as a social protection program), employment provided is considered an output; while in the case where a rural enterprise is established, employment generated will be considered an outcome.

<b>Improved rural livelihoods and entrepreneurship</b>		8. Direct employment provided (full-time equivalent)
<b>Improved institutions</b>	Institutional capacity of supported organizations measured by capacity index (to be defined by the project)  Policy products adopted with project’s support related to agriculture, natural resource management, or food system resilience	9. Producer-based organizations supported (organization) 10. Persons receiving capacity development support (person) 11. Number of policy products completed with project support related to agriculture, natural resource management, and food/nutrition security (product)

### 3.3 Tier 2.2 Output Indicators

24. Table 2 lists Tier 2.2 output indicators that will be measured at project level consistently, which provides aggregable data to measure the whole program’s efforts and how GAFSP contributes to achieving higher level impacts. **Reporting will take place on a six-monthly basis for the Country-led and PO-led GBFT track, and annually for the PrSW.**<sup>8</sup> Most of these indicators are relevant across all financing modalities. Table indicates their applicability to each financing modality, their linkages to SDGs, and their relevance to thematic areas of interest, such as climate resilience, gender equality and women’s empowerment, and improved nutrition. The 15 Tier 2.2 output indicators listed in Table 2 are defined in detail in the indicator reference sheet (Annex 1).

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<sup>8</sup> BIFT reporting frequency will be determined once it’s fully developed.

Table 2 Tier 2.2 Output Indicators for GAFSP Projects

Number	Tier 2.2 output indicator, <i>mandatory breakdowns</i> <sup>†</sup> (unit)	Type of fund			
		Country-led track	PO-led track	BIFT	PrSW
1	Number of people receiving direct benefits (person) <b>Disaggregation:</b> Of which, number of females	•	•	•	•
2	Land area receiving improved production support (hectare) <b>Disaggregation:</b> Area provided with new/improved irrigation or drainage services (hectare)	•	•	•	•
3	Number of smallholder producers/processors receiving productivity enhancement support (person) <b>Disaggregation:</b> Of which, female producers/processors	•	•	•	•
4	Roads constructed or rehabilitated (km)	•			
5	Number of processing, storage, and market facilities constructed and/or rehabilitated (facility)	•	•	•	•
6	Farmers that are supported in accessing improved marketing opportunities (farmer) <b>Disaggregation:</b> Of which, number of females	•	•	•	
7	Persons supported by project in rural areas accessing financial services (person)+++ <b>Disaggregation:</b> Of which, number of females	•	•	•	•
8	Direct employment provided (full-time equivalent) <b>Disaggregation:</b> Of which, number of jobs are provided to females	•	•	•	•
9	Number of producer-based organizations supported (organization)	•	•	•	•
10	Persons receiving capacity development support (person) <b>Disaggregation:</b> Of which, number of females	•	•	•	•
11	Number of policy products completed with project support related to agriculture, natural resource management, and food/nutrition security (knowledge product).	•			
12	<b>[Nutrition]</b> People receiving improved nutrition services and products (person) <b>Disaggregation:</b> Of which, number of females	•	•	•	•

Number	Tier 2.2 output indicator, <i>mandatory breakdowns</i> <sup>†</sup> (unit)	Type of fund			
		Country-led track	PO-led track	BIFT	PrSW
13	<b>[Climate resilient indicator]</b> Number of farmers receiving inputs or service on climate resilient or sustainable agriculture practices (farmer) <sup>††</sup> <b>Disaggregation:</b> Of which, female farmers <b>Disaggregation:</b> Of which, number of farmers adopting technologies or practices received	•	•	•	•
14	<b>[Climate resilient indicator]</b> Land area where climate-smart agriculture practices are implemented (hectare) <sup>††</sup>	•	•	•	•
15	<b>[Climate resilient indicator]</b> Agribusiness companies/enterprises/POs adopting climate resilient or sustainable agriculture interventions in their operations or in their supply chains (organization) <sup>††</sup>	•	•	•	•

† Reporting on the indicator requires reporting all mandatory breakdowns for the indicator.

†† Climate resilient or sustainable agriculture are practices and interventions defined as consistent with each Supervising Entity's climate definitions, including climate smart agriculture (as per the FAO definition<sup>9</sup>) and agroecology (as per FAO's 10 elements<sup>10</sup>)

††† IFC will continue to report on the prior indicator "volume of agricultural production processed by post-harvest facilities established with GAFSP support, by food group (tons)"

<sup>9</sup> <https://www.fao.org/climate-smart-agriculture-sourcebook/en>

<sup>10</sup> <https://www.fao.org/agroecology/home/en/>

## 3.4 Approach to Tracking Tier 2.1 Outcome and Tier 2.2 Output Indicators

25. To monitor the Tier 2.1 outcome and Tier 2.2 output indicators, projects are required to follow the requirements summarized in Box 3.

### Box 3 Summary of requirements for tracking Tier 2.1 outcome and Tier 2.2 output indicators

#### Tier 2 monitoring for Country-led and PO-led projects

- ✓ **At design**, all GAFSP projects under Country-led GBFT and PO-led track GBFT are expected to include all Tier 2.1 outcome and output indicators in their project results frameworks/logical frameworks that are applicable to the projects' underlying ToC (outcome indicators can be modified in their wording from what is presented in the GAFSP M&E plan; output indicators cannot be modified and should be used verbatim). Individual project teams will continue to track additional indicators that are relevant to their projects.
- ✓ **For the six reference Tier 2.1 outcome indicators**, projects are expected to modify relevant indicators to fit the project context and include in their project results frameworks/logical frameworks (using wording to adjust to the project). During CU's due diligence review of the project appraisal/design documents before SC approval, CU will recommend a list of GAFSP Tier 2.1 outcome indicators for incorporation if no customized outcome indicators are included in the results framework/logical framework. If a project chooses not to incorporate any of the recommended indicators, a written justification will need to be provided.
- ✓ **For the fifteen Tier 2.2 output indicators**, projects are expected to include all relevant indicators into their project results frameworks/logical frameworks using the exact wording as in Table 2 (verbatim). During CU's due diligence review of the project appraisal/design document before SC approval, CU may recommend a list of Tier 2.2 output indicators to be included into the results framework/logical framework (same policy applies if the team chooses not to apply any recommended indicators).
- ✓ **For climate resilience indicators**, the task team is required to include at least one of the three climate resilience indicators (Tier 2.2 output indicators 13, 14, and 15) in its results framework/logical framework (same policy applies if the team chooses not to apply any recommended indicators).
- ✓ **During implementation**, on a six-monthly basis, all Country-led and PO-led track projects are required to report to the GAFSP CU on all Tier 2.2 output indicators that are included in its results framework/logical framework or collected through the project M&E system, while Tier 2.1 outcome indicators, at minimum, should be reported during baseline, mid-term, and completion. The six-monthly progress reporting is required throughout the project's duration and enables the CU to report to the SC on the GAFSP portfolio implementation progress on a six-monthly basis.
- ✓ **At closing**, within six months following the project closing date, the SE is required to submit to the SC through the CU a full project closing report. The project closing report may be in the standard format typically used by the SE or where no SE standard format is available, the project can use the closing report template provided by the CU. In the case where the GAFSP grant is cofinanced with other SE-managed funds, and the GAFSP portion is closing more than a year earlier than the rest of the project, the SE is expected to submit a project closing report (using the GAFSP completion report template provided in Annexes 3 and 4).

#### Tier 2 monitoring for BIFT and PrSW projects

- ✓ **PrSW**: Monitoring data are gathered for PrSW projects on a yearly basis at the end of June through its regular monitoring systems.
- ✓ **PrSW**: For Tier 2.1 outcome indicators, data will be collected for the relevant indicator(s) as part of the IEs and poverty assessments undertaken by IFC on a sample of its investment portfolio. Criteria for selecting the projects for IEs were agreed by PrSW donors in 2015 and remains valid.
- ✓ **PrSW**: Continued coordination between the CU and IFC will ensure that there is PrSW input, reporting on PrSW operations for the GAFSP annual report.
- ✓ **BIFT**: Monitoring procedures for the BIFT will be developed once the BIFT is operational.



## 4 MONITORING AND REPORTING ON OPERATIONAL AND ORGANIZATIONAL PERFORMANCE (TIER 3)

### 4.1 Overview

26. The Tier 3 indicators focus on the administrative, program, and financial inputs that enable successful program delivery and management, and achievement of Tier 1 and 2 results for projects across all financing modalities. It is within the CU and PrSW Secretariat's responsibility to collect and report to SC at program-level every six months (projects are not responsible for collecting data on Tier 3 indicators).

### 4.2 Tier 3 indicators

27. Table 3 presents the 25 Tier 3 indicators in 10 dimensions that will be used to measure performance at the operational, organizational, and program management level. The purpose of these indicators is to ensure that GAFSP administrative, human, and financial inputs are adequate for efficient delivery of the program to achieve its goals, as well as to ensure transparent governance of the program. Reporting against Tier 3 indicators will take place on a six-monthly basis.

28. The key performance indicators for Tier 3 displayed in Table 3 will assist the CU and PrSW Secretariat to collect evidence along three related streams of performance assessment.

29. The first stream is on routine portfolio monitoring, focusing on

- Financial/disbursement indicators.
- Efficiency: in terms of the time from approval to first disbursement, the speed of implementation, financial returns, etc. (as applicable to each financing track).
- SE project self-ratings: for the Country-led and PO-led GBFT projects, self-ratings are tracked through the CU-led six-monthly monitoring process. The PrSW's investments are also self-rated for development performance.
- CU-led portfolio analysis for climate resilience, gender equality and women's empowerment, and improved nutrition (for Country-led and PO-led GBFT projects), and CU-led additional tracking on climate, for example, climate cobenefit calculation and greenhouse gas (GHG) emission reporting (for Country-led projects only), and PrSW Secretariat-led analysis.<sup>11</sup>

30. The second stream of operational performance assessment consists of the annual **Portfolio Review**. The CU carries out an annual portfolio review of the Country-led GBFT track (both investments and technical assistance projects) and PO-led GBFT projects. The objective of the annual Portfolio Review is to present a snapshot of the overall health of the GAFSP GBFT (i.e.,

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<sup>11</sup> Thematic portfolio tracking for the BIFT will be developed once the BIFT is operational.

Country-led and PO-led) portfolio to the SC as well as some proposed actions for improvement. The Portfolio Review informs the SC's oversight over the portfolio and identifies entry points for CU interface with SEs and task teams and dialogue on portfolio matters with other GAFSPs stakeholders (donors, regional representatives, CSOs, among others). This will also include other qualitative aspects of performance such as cross-window collaboration and stakeholder engagement (including civil society organizations).

31. The third stream of performance assessment consists of **Communications and Outreach indicators** that build awareness of GAFSP initiatives and results. This will be jointly reported across different financing modalities.

**Table 3 Tier 3 Key Performance/Program Management Indicators**

#	Tier 3 indicator	GBFT	PrSW <sup>12</sup>
<b>1.</b>	<b>Utilization</b>		
	1.1. Number and cost of projects approved	•	•
	1.2. Number and cost of projects committed (PrSW and BIFT only)		•
	1.3. Number and cost of projects disbursed (by SE)	•	•
	1.4. Number of months between approval by the Steering Committee and disbursement by a supervising entity (Country-led and PO-led only)	•	
<b>2.</b>	<b>Financial sustainability and leverage</b>		
	2.1. Leverage ratio, also disaggregated into different funding sources from IFIs, government, private sector, etc.	•	•
<b>3.</b>	<b>Diversification</b>		
	3.1. Regional distribution of projects	•	•
	3.2. Country distribution of projects: percentage of projects in Fragile and Conflict-Affected States	•	•
	3.3. Product distribution of projects: debt, equity, guarantees, advisory services (PrSW and BIFT only)		•
<b>4.</b>	<b>Inclusiveness: Cost of volume of financing that goes to projects that are:</b>		
	4.1. Climate resilient and sustainable agriculture	•	•
	4.2. Gender sensitive	•	•
	4.3. Nutrition related	•	•
<b>5.</b>	<b>Development performance</b>		
	5.1. Percentage of projects rated successful on development outcome <sup>†</sup>	•	•
<b>6.</b>	<b>Collaboration between Country-led, PO-led projects, BIFT, and PrSW entities</b>		
	6.1. Number of joint events	•	•
	6.2. Number of projects across Country-led, PO-led, BIFT and PrSW partnerships, also as percentage of total projects across all tracks/window, respectively	•	•
<b>7.</b>	<b>Stakeholder engagement</b>		
	7.1. Number of routine and ad hoc reports submitted by CU to individual donors in a timely manner	•	•
	7.2. Number of civil society organization representatives participating in key GAFSP activities, e.g., proposal development at country level, Steering Committee meetings, M&E and fundraising events at both headquarters and national levels, project implementation	•	•
<b>8.</b>	<b>Communications</b>		
	8.1. Number of projects with complete and timely updates in the GAFSP Portal	•	•
	8.2. Number of unique visitors and return visitors to GAFSP website	•	•
	8.3. Number of impressions GAFSP campaigns make on social media	•	•
	8.4. Number of external events where GAFSP is represented	•	•
	8.5. Number of external events that GAFSP organizes and hosts	•	•
	8.6. Number of communications products published that are externally facing, including blogs, stories, videos, etc.	•	•
<b>9.</b>	<b>Knowledge sharing and capacity building</b>		
	9.1. Number of knowledge events sponsored	•	•
	9.2. Number of knowledge products published (e.g., GHG report, AR, PR, thematic portfolio assessment, Knowledge Forum and MMI workshop reports)	•	•
<b>10.</b>	<b>Resource management</b>		
	10.1. Percentage of administrative costs relative to portfolio; difference between planned and actual (Country-led and PO-led track projects only)	•	

<sup>†</sup> Development outcome ratings for the Country-led and PO-led track projects are based on a CU-led annual portfolio reviews. IFC carries out periodic portfolio assessments for the PrSW.

<sup>12</sup> The application of relevant indicators to BIFT will be further developed once the BIFT is operational

## 5 IMPLEMENTING THE M&E PLAN

### 5.1 Roles of SC, CU, and SE for GBFT

32. The design of GAFSP stipulates that once investment or technical assistance proposals are approved by the SC with a selected SE partner, the SE's internal policies, guidelines, and procedures will be used for design, appraisal, supervision, implementation, and evaluation. For this reason, M&E of GAFSP projects follows established guidelines that SEs already use.
33. **Role of the SC:** The SC is responsible for the oversight of the M&E plan implementation and results reporting, and provides the strategic guidance based on portfolio-level data. Specific actions that the SC takes related to M&E include:
- 1) Approving the GAFSP M&E Plan and provide strategic oversight on the performance of the GAFSP portfolio.
  - 2) Approving the Terms of Reference for a periodic strategic Program Evaluation.<sup>13</sup>
  - 3) Deciding topics and scope of work for CU-led cross-portfolio evaluation/studies.
  - 4) Reviewing annual reports, strategic program evaluations, annual portfolio review updates, and other cross-portfolio evaluation or studies commissioned by the CU.
34. **Role of the CU:** The overall responsibility for the CU is to review the reported results for completeness and compliance, consolidate results to share with the SC, and disseminate it to the public through the GAFSP website, the GAFSP annual report, and other materials. Specific actions that the CU takes related to M&E include:
- 1) Due diligence review of the draft project appraisal/design document for its alignment with M&E requirements set forth in this document. SEs are encouraged to share the project concept note (or equivalent initial draft project document) with the CU to ensure compliance with GAFSP M&E requirements before the project is fully developed and presented to SC for their approval to facilitate the review process.
  - 2) Designing applicable forms and report templates for SEs to fill in, collect, and aggregate data. This includes the project progress reports at six-month intervals, as well as designing an online portal to automate six-monthly progress reporting.
  - 3) Quality check and assurance of the submitted six-monthly progress report.
  - 4) Reporting on the Tier 2.1 outcome indicators (at project level, categorized by the five GAFSP outcome pillars), Tier 2.2 output indicators (aggregated to portfolio level) output, and Tier 3 indicators to the SC.

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<sup>13</sup> At the program level, a strategic Program Evaluation will be commissioned at regular intervals (about every 5 years) to analyze overall relevance, effectiveness, efficiency, and sustainability of the program and include an analysis on whether GAFSP is adequately governed, operationalized, and resourced to deliver projects that allow it to contribute to these high-level objectives.

- 5) Where specific indicators are new or under development (e.g., the FIES indicator) or if additional support on M&E is requested, CU will provide additional support to SEs for the monitoring and coordinate technical assistance to be offered, if necessary.
35. **Role of SEs:** During project preparation, the SE will prepare and appraise the project according to its own guidelines. It will also support project implementers (i.e., government and POs) in designing an appropriate M&E structure to report on results for the project. Specific actions that the SE takes related to GAFSP M&E requirements include
- 1) Submitting six-monthly project progress updates as requested by the CU and ensuring that submitted M&E data is accurate and clearly presented.
  - 2) Ensuring that all *applicable* Tier 1 indicators, Tier 2.1 outcome indicators (customized to each project), and Tier 2.2 output indicators (exactly as specified by GAFSP in Table 2) are included in the project results frameworks/logical frameworks.
  - 3) Ensuring that an IE is carried out for the project using the project’s M&E resources. This can be an experimental or quasi-experimental IE (options 1 or 2 in Box A2.2, Annex 2) or more “rapid” evaluation/small sample size approach impact assessment (option 3 or small-n/mixed methods design).
  - 4) Completing the project completion report within six months of GAFSP grant closing. In the case where the GAFSP grant is cofinanced with other SE-managed funds, and the GAFSP portion is closing more than a year earlier than the rest of the project, the SE is expected to submit a project closing report (using the GAFSP completion report template provided in Annexes 3 and 4).
36. **Reporting structure:** The CU facilitates communication between the SEs and the SC. SEs will submit to the SC, through the CU, progress reports for each project under preparation and implementation every six months (within a month of June 30 and December 31 of each year) using a template or format specified by the CU. Upon completion of the project, SEs will submit a project completion report to the CU, as well as any independent evaluation carried out by the SE’s independent evaluation unit.

## 5.2 Roles of PrSW Donor Committee and Secretariat for PrSW<sup>14</sup>

37. In accordance with the design of GAFSP, IFC serves as the SE for the PrSW. As investment or technical assistance proposals are approved for the PrSW, IFC's internal policies, guidelines, and procedures will be used for design, appraisal, supervision, implementation, and evaluation.

**38. Role of PrSW Donor Committee:** The PrSW Donor Committee is responsible for providing strategic guidance to IFC for the deployment of PrSW funds based on the basis of eligibility criteria and PrSW Funds Deployment Guidelines. Specific actions that the PrSW Donor Committee takes related to M&E include

- a. Approving the GAFSP PrSW M&E framework and providing strategic oversight on the performance of the GAFSP PrSW portfolio.
- b. Reviewing annual reports, annual plans, and evaluation reports.

**39. Role of the PrSW Secretariat:** Within IFC, the management, promotion, and administration of the PrSW is delegated to a dedicated structure, the PrSW Secretariat. The overall responsibility of the PrSW Secretariat related to M&E is to review the reported results for completeness and compliance, consolidate results to share with the PrSW Donor Committee, and disseminate them to the public through the GAFSP website. Specific actions that the PrSW Secretariat takes related to M&E include

- a. Due diligence review of projects during the design stage for its alignment with agreed M&E requirements.
- b. Coordinating the collection of data on development result indicators from IFC's investments and advisory projects, performing checks to ensure data completion and quality, and aggregating results data for reporting to the PrSW Donor Committee, the CU, and external parties as relevant.
- c. Managing the oversight of impact evaluations conducted by third-party organizations on a sample of projects to allow for a more robust analysis of the impact of select PrSW projects.

**40. Coordination with the CU:** The PrSW Secretariat coordinates closely with the CU on the following items:

- a. Review of the GAFSP M&E plan as relevant to ensure PrSW-specific elements are included. Given the difference in the level of disclosability of data between the Public and Private Sector Windows, IFC has developed an M&E plan, aligned with the overall GAFSP M&E plan but applicable for the Private Sector Window in consultation with the donors to that window.
- b. A member of CU serves as part of the peer review panel during the design phase of impact evaluations for a select sample of PrSW investments. As part of the peer review panel, the CU will review the evaluation methodology and approach

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<sup>14</sup> For BIFT, the role and responsibilities will be defined once the BIFT is operational.

proposed by third-party organization to ensure rigor and quality in the design of the impact evaluation.

- c. Work closely with CU on six-monthly progress report (on Tier 3 indicators), annual report, and other regular or ad-hoc data request to synchronize the data collection and reporting.

## 5.3 Summary of GBFT (Country-Led and PO-Led) Reporting Requirements

Table 4 Summary of the Responsibility, Methods, and Frequency of the M&E Indicators

Indicator	Responsibility	Collection methods	Frequency
<b>Tier 1</b> Income, food security, nutrition (refer to Section 2.2)	<b>SEs</b> are <i>strongly encouraged</i> to include relevant Tier 1 indicators in its results framework/logical framework and report.  <b>CU</b> is responsible to disseminate project-level impact results to SC using various channels (will no longer attempt to report on program-level aggregated impact)	Project-level Impact evaluation  Or project beneficiary household survey	Baseline, midline, and endline
<b>Tier 2.1 outcome</b> 6 reference indicators across five outcome pillars (refer to Table 1)	<b>SE</b> customizes all relevant Tier 2.1 outcome indicators and include in the results framework/logical framework.  <b>CU</b> organizes project-level data by five outcome pillars and report to SC every six months	Project-level Impact evaluation  Or project beneficiary household survey  CU portal	Baseline, midline, and endline
<b>Tier 2.2 output</b> 15 indicators (see Table 2)	<b>SE</b> includes all relevant Tier 2.2 output indicators in the results framework/logical framework. Report every six months using the CU provided templates or data system (i.e., online portal)  <b>CU</b> aggregate and report to SC at program-level every six months	Project progress report  CU portal	Every six months
<b>Tier 3</b> 25 indicators (see Table 3)	Not applicable for SE. CU collects		Every six months



## ANNEX 1: Indicator Reference Sheet (Definition, Measurement Methodologies)

**Introduction:** This reference sheet consists of guidance including definitions, measurement units, required disaggregation for the Tier 1, Tier 2.1 outcome, Tier 2.2 output, and Tier 3 indicators included in the GAFSP M&E Plan (2022).

**Frequency of reporting:** On a six-monthly basis, GBFT SEs will submit to the CU (for aggregation and onward submission to the SC) a completed progress report template, which will include the updated status of the GAFSP Tier 2.1 outcome indicators (at project-level, organized by the five GAFSP outcome pillars; if updated data is available) and Tier 2.2 output indicators (aggregated). The CU will also report on Tier 3 indicators on a six-monthly basis (this information will not be derived from projects). For PrSW projects and BIFT, the reporting will be an annual exercise.

**Selection and use of indicators:** In finalizing the results framework/logical framework, each project should refer to the list of current GAFSP indicators (Tiers 1 and 2 outcome and output) and select from this menu **ALL relevant indicators that are applicable to the project**. The relevant indicators should be included in the project’s results framework/logical framework and progress against the targets reported to the GAFSP CU on a six-monthly basis (for the Country-led and PO-led track projects). While the Tier 2.2 output indicators are expected to report updated data every six months, Tier 1 and Tier 2.1 outcome indicators are not expected to be reported until the project’s mid-term review. For all the indicators, proper baseline data should be collected. Projects will continue to **maintain additional customized indicators** as dictated by their specific project and institutional requirements. For **climate resilient indicators** (indicators 13–15 in Table 2 of the main text of this document), the project is required to include **at least one of the three** climate indicators in its results framework/logical framework.

Indicator	Definition and measurement			
<b>Tier 1</b>				
<b>Prevalence of moderate and severe food insecurity in the population, based on the Food Insecurity Experience Scale (FIES)</b>	<p><b>Definition:</b> The indicator measures the percentage of households that experienced food insecurity at moderate and severe levels during the 12 months prior to data collection. The questions refer to the experiences of the individual respondent or of the respondent’s household as a whole. The severity of the experience of food insecurity is defined as a measurable latent trait (a characteristic that is not directly observable, but can be measured indirectly, for example, by taking into account behavioral and psychological experiences, in this case around food insecurity). This is one of the indicators to track progress on SDG2. The indicator is based on an estimation of the probability that each household belongs to a specific category of food insecurity severity (moderate and severe), as determined by the household’s position on the scale.</p> <p>The inability to access food results in a series of experiences and conditions that are common across cultures and socioeconomic contexts. The FIES global indicator for measuring food insecurity (access) is calculated from answers to a set of eight questions that covers a range of severity of food insecurity. The questions are as follows:</p> <table border="1" data-bbox="418 1713 1386 1791"> <tr> <td data-bbox="418 1713 464 1791"></td> <td data-bbox="464 1713 630 1791">Standard label</td> <td data-bbox="630 1713 1386 1791">Questions</td> </tr> </table>		Standard label	Questions
	Standard label	Questions		

	<table border="1"> <tr> <td data-bbox="406 191 462 306">1</td> <td data-bbox="462 191 630 306">WORRIED</td> <td data-bbox="630 191 1430 306">During the last 12 months, was there a time when you were worried you would not have enough food to eat because of a lack of money or other resources?</td> </tr> <tr> <td data-bbox="406 306 462 422">2</td> <td data-bbox="462 306 630 422">HEALTHY</td> <td data-bbox="630 306 1430 422">Still thinking about the last 12 months, was there a time when you were unable to eat healthy and nutritious food because of a lack of money or other resources?</td> </tr> <tr> <td data-bbox="406 422 462 537">3</td> <td data-bbox="462 422 630 537">FEWFOODS</td> <td data-bbox="630 422 1430 537">During the past 12 months, was there a time when you or others in your household ate only a few kinds of foods because of a lack of money or other resources?</td> </tr> <tr> <td data-bbox="406 537 462 653">4</td> <td data-bbox="462 537 630 653">SKIPPED</td> <td data-bbox="630 537 1430 653">During the past 12 months, was there a time when you or others in your household had to skip a meal because there was not enough money or other resources to get food?</td> </tr> <tr> <td data-bbox="406 653 462 768">5</td> <td data-bbox="462 653 630 768">ATELESS</td> <td data-bbox="630 653 1430 768">Still thinking about the last 12 months, was there a time when you ate less than you thought you should because of a lack of money or other resources?</td> </tr> <tr> <td data-bbox="406 768 462 884">6</td> <td data-bbox="462 768 630 884">RANOUT</td> <td data-bbox="630 768 1430 884">During the past 12 months, was there a time when your household did not have food because of a lack of money or other resources?</td> </tr> <tr> <td data-bbox="406 884 462 999">7</td> <td data-bbox="462 884 630 999">HUNGRY</td> <td data-bbox="630 884 1430 999">During the past 12 months, was there a time when you or others in your household were hungry but did not eat because there was not enough money or other resources for food?</td> </tr> <tr> <td data-bbox="406 999 462 1115">8</td> <td data-bbox="462 999 630 1115">WHOLEDAY</td> <td data-bbox="630 999 1430 1115">During the past 12 months, was there a time when you or others in your household went without eating for a whole day because of a lack of money or other resources?</td> </tr> </table> <p data-bbox="406 1171 1430 1241">The response categories for each of the questions include Yes (1), No (0), and Refused. Cases with Refused as an response are excluded from the analysis.</p>	1	WORRIED	During the last 12 months, was there a time when you were worried you would not have enough food to eat because of a lack of money or other resources?	2	HEALTHY	Still thinking about the last 12 months, was there a time when you were unable to eat healthy and nutritious food because of a lack of money or other resources?	3	FEWFOODS	During the past 12 months, was there a time when you or others in your household ate only a few kinds of foods because of a lack of money or other resources?	4	SKIPPED	During the past 12 months, was there a time when you or others in your household had to skip a meal because there was not enough money or other resources to get food?	5	ATELESS	Still thinking about the last 12 months, was there a time when you ate less than you thought you should because of a lack of money or other resources?	6	RANOUT	During the past 12 months, was there a time when your household did not have food because of a lack of money or other resources?	7	HUNGRY	During the past 12 months, was there a time when you or others in your household were hungry but did not eat because there was not enough money or other resources for food?	8	WHOLEDAY	During the past 12 months, was there a time when you or others in your household went without eating for a whole day because of a lack of money or other resources?
1	WORRIED	During the last 12 months, was there a time when you were worried you would not have enough food to eat because of a lack of money or other resources?																							
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<p data-bbox="203 1262 365 1381"><b>Measurement and data collection of FIES</b></p>	<p data-bbox="414 1262 1422 1514"><b>Data collection method:</b> Data for this indicator need to be collected from a <b>representative sample</b> of project households (i.e., the targeted population where the GAFSP-financed project intends to achieve household- and person-level impacts on poverty, hunger, and malnutrition). To ensure the change can be attributed to the project alone, the assessment requires data collection from a credible and rigorously defined <b>counterfactual group</b> to control for factors other than the project alone that might account for the observed change. FIES data collection can be part of other project data collection efforts or a stand-alone effort.</p> <p data-bbox="414 1535 722 1562"><b>Measurement unit:</b> Percent</p> <p data-bbox="414 1583 1354 1640"><b>Disaggregation:</b> This indicator can be disaggregated by gendered household type: male-headed household and female-headed household.</p> <p data-bbox="414 1661 1390 1759"><b>Data collection responsibility:</b> An independent M&amp;E contractor procured by the project (e.g., survey firm, M&amp;E consulting firm, research organizations). The questions are asked typically in face-to-face interviews, although they may be conducted by telephone as well.</p> <p data-bbox="414 1780 802 1808"><b>Sources of data:</b> Household survey.</p> <p data-bbox="414 1829 1390 1885"><b>Frequency of collection:</b> At a minimum, data should be collected at baseline, midline, and project completion time.</p>																								

	<p><b>Note:</b> Technical assistance in reporting on the FIES is available from the FAO's Voices of the Hungry team through the CU. Please contact the CU to discuss prior- to-baseline collection and end-of-project survey data collection. For further knowledge about FIES, FAO also provides an e-learning course on the collection and analysis of data and on how the information provided by the FIES can be used to inform decisions of policy making, which is available at <a href="https://www.fao.org/in-action/voices-of-the-hungry/using-fies/en/">https://www.fao.org/in-action/voices-of-the-hungry/using-fies/en/</a></p>
<b>Income</b>	<p><b>Methodology:</b> Income should include all sources, including agriculture (crops, poultry, and livestock, fishing and fish-raising, forestry and agroforestry, agricultural labor, and so on) and nonagricultural sources (services, business revenue, pension, scholarships, bank interest, loan interest, remittances, unskilled wage labor/casual labor, self-employment, sale of asset, rentals, cash/gift contributions from relatives, cash support from NGO, and so on).</p> <p>Agriculture income is measured through a production-based approach (revenues minus costs), and home-produced food that is not sold but is consumed by the household is valued as income. The PrSW is also piloting the use of the SWIFT tool, developed by the World Bank, to estimate income. These approaches are preferred over the use of consumption-expenditure surveys, which are more time consuming, more costly, and less practical for the purposes of a mandatory indicator (especially for the 70% of projects that are expected to undertake a "rapid" assessment as per the GAFSP SC decision). The income<sup>15</sup> is estimated equivalent to farmers' gross margin (gross margin = gross income – input costs).</p>
<b>Measurement and data collection of income</b>	<p><b>Data collection method:</b> Data for this indicator need to be collected from a <b>representative sample</b> of project households (i.e., the targeted population where the GAFSP-financed project intends to achieve household- and person-level impacts on poverty, hunger, and malnutrition). To ensure the change can be attributed to the project alone, the assessment requires data collection from a credible and rigorously defined <b>counterfactual group</b> to control for factors other than the project alone that might account for the observed change. Household income data collection can be part of other project data collection efforts or a stand-alone effort.</p> <p><b>Disaggregation:</b> This indicator can be disaggregated by male-headed households and female-headed households</p> <p><b>Sources of data:</b> Household Survey</p> <p><b>Frequency of collection:</b> At a minimum, data should be collected at baseline, midline, and project completion time.</p>
<b>Food Consumption Score (FCS)</b>	<p><b>Definition.</b> Food Consumption Score (FCS) is a score calculated using the frequency of consumption of different food groups consumed by a household during the 7 days before the survey, which is then weighted according to the relative nutritional value of the consumed food groups. The FCS is also able to capture both dietary diversity and food frequency.</p> <p><b>Methodology:</b> The food consumption groups include starches, pulses, vegetables, fruit, meat, dairy, fats, and sugar. If these groups are surveyed in a disaggregated fashion, the consumption frequencies of the different foods in the groups are summed, with the maximum value for the groups capped at 7.</p>

<sup>15</sup> Income is measured through sales, including imputed in-kind consumption and does not include imputed returns for asset.

The formula, based on these groups, with the standard weights, is:  $FCS = (\text{starches} \times 2) + (\text{pulses} \times 3) + \text{vegetables} + \text{fruit} + (\text{meat} \times 4) + (\text{dairy} \times 4) + (\text{fats} \times 0.5) + (\text{sugar} \times 0.5)$ .

WFP advises a recall of 7 days to ensure both good time coverage and “reliability” of respondent’s memory

**Measurement unit:** Weighted sum of frequency of household consumption, a continuous variable with a possible range of 0 to 112

**Sources of data:** Household survey

**Frequency of collection:** At a minimum, data should be collected at baseline, midline, and project completion time.

**Data collection method:** Data for this indicator need to be collected from a **representative sample** of project households (i.e., the targeted population where the GAFSP-financed project intends to achieve household- and person-level impacts on poverty, hunger, and malnutrition). To ensure the change can be attributed to the project alone, the assessment requires data collection from a credible and rigorously defined **counterfactual group** to control for factors other than the project alone that might account for the observed change. Household income data collection can be part of other project data collection efforts or a stand-alone effort.

*Note: This indicator was developed by WFP. More detailed methodology can be accessed from its website ([https://documents.wfp.org/stellent/groups/public/documents/manual\\_guide\\_proced/wfp271745.pdf?\\_ga=2.210180693.111070877.1649765556-1679637594.1646582990](https://documents.wfp.org/stellent/groups/public/documents/manual_guide_proced/wfp271745.pdf?_ga=2.210180693.111070877.1649765556-1679637594.1646582990)).*

**Minimum Dietary Diversity for Women (MDD-W)**

**Definition.** MDD-W is a population-level indicator of diet diversity validated for women aged 15–49 years old. The MDD-W is a dichotomous indicator based on 10 food groups and is considered the standard for measuring population-level dietary diversity in women of reproductive age.

The MDD-W was preceded by the Women’s Dietary Diversity Score (WDDS), which was a validated continuous indicator based on reported intake of 9 food groups. The MDD-W was developed after additional validation using new data sets was carried out and with the objective of creating a dichotomous (easier to interpret) indicator rather than a continuous one ([FAO & FHI, 2016; https://www.fao.org/3/i5486e/i5486e.pdf](#)).

**Methodology:** Data are gathered from a questionnaire administered to a female respondent 15-49 years of age. Respondents are asked to recall the food groups that they consumed over the previous 24 hours using either a list-based method (which asks about consumption of each of the 10 food groups in order), or an open recall (where respondents recall all foods they ate during the previous day and the enumerator determines to which food groups these foods belong). Although the MDD-W guidelines present both recall methods, they recommend the use of the open-recall method ([FAO & FHI, 2016; https://www.fao.org/3/i5486e/i5486e.pdf](#)). The 10 food groups required for the MDD-W are

MDD-W Food Groups	
1.	Grains, roots, and tubers
2.	Pulses
3.	Nuts and seeds
4.	Dairy
5.	Meat, poultry, and fish
6.	Eggs
7.	Dark leafy greens and vegetables

	<table border="1"> <tr> <td>8.</td> <td>Other vitamin A–rich fruits and vegetables</td> </tr> <tr> <td>9.</td> <td>Other vegetables</td> </tr> <tr> <td>10.</td> <td>Other fruits</td> </tr> </table>	8.	Other vitamin A–rich fruits and vegetables	9.	Other vegetables	10.	Other fruits													
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10.	Other fruits																			
<p><b>Minimum Dietary Diversity for Children (MDD-C)</b></p>	<p>The enumerators should record whether the respondent did or did not consume foods within each food group. The total number of food groups consumed is summed, and all foods are equally weighted. The population-level indicator is calculated based on the following formula:</p> $\frac{\text{Women 15-49 years of age who consumed foods from 5 food groups during the previous day}}{\text{Total number of women 15-49 years of age surveyed}}$ <p><b>Sources of data:</b> Household survey</p> <p><b>Frequency of collection:</b> At a minimum, data should be collected at baseline, midline, and project completion time.</p> <p><b>Data collection method:</b> Data for this indicator need to be collected from a <b>representative sample</b> of project households (i.e., the targeted population where the GAFSP-financed project intends to achieve household- and person-level impacts on poverty, hunger, and malnutrition). To ensure the change can be attributed to the project alone, the assessment requires data collection from a credible and rigorously defined <b>counterfactual group</b> to control for factors other than the project alone that might account for the observed change. Household income data collection can be part of other project data collection efforts or a stand-alone effort.</p> <p><i>Note: The tool must be adapted to include culturally relevant examples of foods for each of the 10 food groups. Enumerators must be properly trained to correctly categorize meals containing a mix of different food group, and to record only food groups where more than 15 grams of a food in that group were consumed in order to exclude nutritionally less relevant foods used as condiments or seasonings from the total score. More details can be found on (FAO &amp; FHI, 2016; <a href="https://www.fao.org/3/i5486e/i5486e.pdf">https://www.fao.org/3/i5486e/i5486e.pdf</a>).</i></p> <p><b>Definition.</b> The minimum dietary diversity (MDD) score for children 6–23 months old is a population-level indicator designed by the World Health Organization (WHO) to assess diet diversity as part of infant and young child feeding practices among children 6–23 months old.</p> <p><b>Methodology:</b> Data are gathered from a questionnaire administered to the child’s caregiver. Respondents are asked to indicate whether or not the child consumed any food over the previous 24 hours from each of 8 food groups. The 8 food groups included in the questionnaire are</p> <table border="1"> <thead> <tr> <th colspan="2">MDD Food Groups</th> </tr> </thead> <tbody> <tr> <td>1.</td> <td>Breast milk</td> </tr> <tr> <td>2.</td> <td>Grains, roots, and tubers</td> </tr> <tr> <td>3.</td> <td>Legumes and nuts</td> </tr> <tr> <td>4.</td> <td>Dairy products</td> </tr> <tr> <td>5.</td> <td>Flesh foods</td> </tr> <tr> <td>6.</td> <td>Eggs</td> </tr> <tr> <td>7.</td> <td>Vitamin A–rich fruits and vegetables</td> </tr> <tr> <td>8.</td> <td>Other fruits and vegetables</td> </tr> </tbody> </table> <p>The total number of food groups consumed is summed. The population-level indicator is calculated based on the following formula:</p>	MDD Food Groups		1.	Breast milk	2.	Grains, roots, and tubers	3.	Legumes and nuts	4.	Dairy products	5.	Flesh foods	6.	Eggs	7.	Vitamin A–rich fruits and vegetables	8.	Other fruits and vegetables	
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	<p style="text-align: center;"><i>Number of children 6 – 23 months of age who received foods from 5 or more food groups yesterday during the day or night</i></p> <p style="text-align: center;"><i>Children 6 – 23 months of age for whom data on breastfeeding and diet were collected</i></p> <p><b>Sources of data:</b> Household survey</p> <p><b>Frequency of collection:</b> At a minimum, data should be collected at baseline, midline, and project completion time.</p> <p><b>Data collection method:</b> Data for this indicator need to be collected from a <b>representative sample</b> of project households (i.e., the targeted population where the GAFSP-financed project intends to achieve household- and person-level impacts on poverty, hunger, and malnutrition). To ensure the change can be attributed to the project alone, the assessment requires data collection from a credible and rigorously defined <b>counterfactual group</b> to control for factors other than the project alone that might account for the observed change. Household income data collection can be part of other project data collection efforts or a stand-alone effort.</p> <p><i>Note: For more information on calculating this indicator, refer to the WHO measurement guidelines (WHO, 2010; <a href="https://apps.who.int/iris/bitstream/handle/10665/44306/9789241599290_eng.pdf;jsessionid=861B0300EEBE0F93F462C16E049DE249?sequence=1">https://apps.who.int/iris/bitstream/handle/10665/44306/9789241599290_eng.pdf;jsessionid=861B0300EEBE0F93F462C16E049DE249?sequence=1</a>).</i></p>
<p><b>Tier 2.1 outcome indicators</b> (GAFSP will organize project-level Tier 2.1 outcome indicators by the five GAFSP Outcome pillars)</p>	
<p><b>Agricultural productivity</b></p>	<p><b>Definition:</b> Crop yield is a commonly used indicator of land productivity. Crop yield for any particular crop can be calculated as a measure of crop production weight (in kg) per area of land under cultivation (in hectares). Area under cultivation is defined as “the area that corresponds to the total sown area, including the ruined areas (e.g., due to natural disasters).” It is area under planted, not area under harvest. This definition is adopted since pre-harvest losses can be mitigated by farmer management practices such as climate smart agriculture and sustainable land management practice, which can be within GAFSP’s sphere of influence.</p> <p><b>Measurement unit:</b> kg/hectares, ton/hectares; kg/head.</p> <p>Project can also opt to measure value weighted across crops at the farm level. This unified way of measurement address issues of aggregation of agricultural products across different commodities, fisheries, or livestock, among others.</p> <p><b>Sources of data:</b> Household survey</p> <p><b>Frequency of collection:</b> At a minimum, data should be collected at baseline, midline, and project completion time.</p> <p><i>Note: This indicator will apply only to those projects with explicit productivity gain goals.</i></p>
<p><b>Percentage of agricultural production sold on domestic and regional markets</b></p>	<p><b>Definition</b> This indicator measures the change in percentage of agricultural production sold compared to the total quantity produced during a given period, including both domestic and intraregional market.</p> <p><b>Methodology:</b> To measure this indicator, the project needs to have a meaningful measurement of both the amount of commodity sold and commodity produced. The amount of commodity sold is reported as a weight (e.g., metric tons) and is typically measured by weighing the entire amount sold (whether sold all at once or over a period of time) or comparing the number of units sold (e.g., bags, buckets, pails).</p>

	<p>Sales should include sales of both the primary and value-added product. However, the value-added product must be converted to its harvested form (e.g., maize flour converted to its equivalent in maize grain) and then added to the amount of the primary product sold.</p> <p><b>Measurement unit:</b> Percentage</p> <p><b>Sources of data:</b> Value chain activities are usually implemented through farmers’ or producers’ groups, associations, or cooperatives. Thus, records (e.g., farmer, organizational) often constitute a primary means for collecting farmers’ sales information. Farmer recall is also a common method for collecting sales data and can be quite accurate when collected close to or in conjunction with sales events, though this may require multiple data collection efforts by project units within a single reporting year.</p> <p><b>Frequency of collection:</b> At a minimum, data should be collected at baseline, midline, and project completion time.</p> <p><i>Note: Additional guidance on measuring sales can be found on Measuring Agricultural Sales section in <a href="https://agrilinks.org/sites/default/files/resource/files/FTF_Agriculture_Indicators_Guide_Mar_2015.pdf">Feed the Future</a> (<a href="https://agrilinks.org/sites/default/files/resource/files/FTF_Agriculture_Indicators_Guide_Mar_2015.pdf">https://agrilinks.org/sites/default/files/resource/files/FTF_Agriculture_Indicators_Guide_Mar_2015.pdf</a>).</i></p>
<p><b>Number of farmers whose livelihood has become more resilient to shocks</b></p>	<p><b>Definition:</b> This indicator measures the number of farmers in the three levels (low, medium, high) of the Resilience Capacity Score (RCS), which measures people’s perception of their resilience capacities to generic or country-specific shocks and stressors. The RCS specifically refers to <b>four kinds of resilience capacities</b> (anticipatory, absorptive, adaptive, transformative) and <b>five kinds of livelihood capitals</b> (human, financial, social, political, and informational). It applies to all projects with activities that contribute to the building/restoring/maintaining of household capacity to anticipate, absorb, and/or adapt to shocks and stressors. It also applies to interventions aiming to build livelihood capitals in target communities.</p> <p><b>Measurement unit:</b> Persons (as the unit of measurement for the RCS is “percentage of targeted households with a low, medium or high RCS,” projects should use the number of individuals per household to calculate this indicator).</p> <p><b>Disaggregation:</b> For each level of RCS, disaggregate indicator by total, resilience capacities, livelihood capital, cohort/target group, and sex of household head.</p> <p><b>Sources of data:</b> Household survey</p> <p><b>Frequency of collection:</b> At a minimum, data should be collected at baseline, midline, and project completion time.</p> <p><i>Note: For more information on calculating this indicator, refer to the RCS Methodological Note measurement guidelines (<a href="https://docs.wfp.org/api/documents/WFP-0000140225/download/">WFP, 2022</a>; <a href="https://docs.wfp.org/api/documents/WFP-0000140225/download/">https://docs.wfp.org/api/documents/WFP-0000140225/download/</a>).</i></p>
<p><b>Direct employment provided or generated</b></p>	<p><b>Definition:</b> This indicator measures the additional employment gains (e.g., jobs provided) owing to implementation of the GAFSP-supported project. Direct employment provided considers the provision of contractual, part-time, and seasonal jobs as well. Direct</p>

	<p>employment could, therefore, be estimated through <b>net full-time equivalent (FTE) jobs</b>.<sup>16,17</sup></p> <p>The decision on whether certain jobs should be included will be based on whether generating employment is part of the project theory of change/results chain. Some types of created jobs such as construction workers to build project-financed infrastructure or technical service providers hired to deliver project activities should <b>not</b> be included unless generating temporary employment is part of project objectives (e.g., cash for work as social protection program). PrSW will follow IFC’s definition on job creation.</p> <p><b>Disaggregation:</b> By gender, by youth</p> <p><b>Data collection:</b> Project M&amp;E through regular progress report.</p> <p><b>Frequency of collection:</b> At a minimum, data should be collected at baseline, midline, and project completion time.</p> <p><i>Note: Direct employment can be either an outcome or output indicator. In the case where generating temporary employment is part of a primary project objective (e.g., cash for work as a social protection program), employment provided is considered an output; while in the case where a rural enterprise is established, employment generated will be considered an outcome.</i></p>
<p><b>Institutional capacity of supported organizations measured by capacity index (to be defined by the project)</b></p>	<p><b>Definition:</b> This indicator measures the effectiveness and viability of a producer organization. Projects are required to define in the project results framework/logical framework the methodology used to assess the capacity of the PO institution.</p> <p>An example of capacity index is from GAFSP-financed MMI project in Bangladesh, which assess the PO maturity from the following aspects: (i) frequency of meetings; (ii) the availability of written records of meetings held; (iii) the percentage of all members who attended plenary meetings; (iv) evidence of equal opportunity for women to express themselves and have their priorities taken into account; (v) the percentage of PO office holder positions held by women; (vi) election and problem-free handover of duties from one PO official to another when leadership changes; (vii) separation of responsibilities between treasurers and book-keepers; and (viii) the mobilization of financial or in-kind contributions from members to the PO.</p> <p><b>Sources of data:</b> Survey at the PO level</p> <p><b>Frequency of collection:</b> At a minimum, data should be collected at baseline, midline, and project completion time.</p> <p><i>Note: For an example of a comprehensive list of indicators used to assess the capacity of producer organizations, refer to <a href="https://thecosa.org/producer-organizations-indicators/">Producer Organization Indicators</a> (<a href="https://thecosa.org/producer-organizations-indicators/">https://thecosa.org/producer-organizations-indicators/</a>).</i></p>

<sup>16</sup> The total number of FTE jobs created by a program can be measured by dividing the net additional days of work due to a program intervention by 240. For Private Sector Window projects, it can be measured as the number of FTE employees as per local definition working for the client company or project at the end of the reporting period. This number includes individuals hired directly and individuals hired through third-party agencies, as long as those individuals provide on-site services related to the operations of the client company. Also, this number includes the FTE worked by seasonal, contractual, and part-time employees. Part-time jobs are converted to FTE jobs on a pro rata basis, based on the local definition (for instance, if the working week equals 40 hours, a 24 hr/week job would be equal to a 0.6 FTE job). Seasonal or short-term jobs are prorated on the basis of the portion of the reporting period that was worked (for example, a full-time position for three months would be equal to a 0.25 FTE job if the reporting period is one year). If the information is not available, the rule-of-thumb is that two part-time jobs equal a full-time job. *Note: employment for the purpose of the construction of the client company's hard assets is not to be included in this indicator.*

<sup>17</sup> <http://www.fao.org/3/a-bc270e.pdf>.



<p><b>Policy products adopted with project's support related to agriculture, natural resource management or food system resilience</b></p>	<p><b>Definition:</b> This indicator measures the number of completed and adopted policies, policy studies, strategies, laws, regulations, and sector plans, and instruments that are supported by the GAFSP-financed project and serve to meet or enhance the project's development outcomes related to agriculture and food system.</p> <p><b>Sources of data:</b> Project progress report</p> <p><b>Frequency of collection:</b> At a minimum, data should be collected at baseline, midline, and project completion time.</p>
<p><b>Tier 2.2 output indicators</b> (GAFSP will require an update on progress against Tier 2.2 output indicators every six-months: June and December for GBFT Projects, PrSW projects are reported annually, BIFT reporting frequency to be determined)</p>	
<p><b>1. Number of people receiving direct benefits, gender disaggregated</b></p>	<p><b>Definition:</b> This indicator measures the number of people who <b>directly</b> receive benefits from the activities supported by the project through various asset and service provisions or technical assistance. If data are collected at the household level, the data can be either converted to people by using the locally appropriate household size or reported along with appropriate household size. Do not double count people who have been provided with more than one type of benefit under the project.</p> <p><b>Measurement unit:</b> Persons (if data are collected by households, estimate the number of persons using the average household size and convert)</p> <p><b>Disaggregation:</b> Gender</p> <p><b>Data collection:</b> Project M&amp;E</p>
<p><b>2. Land area receiving improved production support—area provided with new/improved irrigation or drainage services</b></p>	<p><b>Definition:</b> This indicator measures the total land area, measured in hectares, that has benefited from the project's activities, investments, and/or technical assistance. Such activities may include, but are not limited to, areas that have adopted new technologies and sustainable land management practices promoted by the project. Technologies and sustainable land management practices include crop genetics, cultural practices, pest management, disease management, seeds, new practices, mechanizations tools, soil-related fertility and conservation, construction or rehabilitation of irrigation and drainage infrastructure, using climate adaptation and mitigation methods, and use of mechanization in land preparation. Do not double count land area provided with multiple services.</p> <p><b>Measurement unit:</b> Hectare</p> <p><b>Disaggregation:</b> Area provided with new/improved irrigation or drainage services (ha):</p> <p>This disaggregated indicator measures the total land area that has benefited from the project's investments in new or improved irrigation or drainage services. Such activities may include: (i) area provided with new irrigation or drainage services (ha); and (ii) area provided with improved irrigation or drainage services (ha). Irrigation or drainage services refers to the better delivery of water to and drainage of water from arable land, including better timing, quantity, quality, and cost-effectiveness for the water users. New irrigation or drainage services refers to the provision of irrigation and drainage services in an area that has not had these services before. Improved irrigation or drainage services refers to the upgrading, rehabilitation, and/or modernization of irrigation or drainage services in an area with existing irrigation and drainage services.</p>

<p><b>3. Smallholder producers/processors receiving productivity enhancement support, gender disaggregated</b></p>	<p><b>Definition:</b> This indicator measures the number of people who have directly participated in the project’s activities and is expected to be a subset of people receiving direct benefits. Includes technology/technique adoptees, water users with improved services, those who had land rights clarified, people offered new financing/risk management services. Examples include farmers who have adopted improved food production technologies and sustainable management practices being promoted by the project; farmers with access to new or upgraded water infrastructure through the project. This indicator tracks “receipt” of support, not “adoption” of technologies or practice.</p> <p><b>Measurement unit:</b> Smallholder producers/processors</p> <p><b>Disaggregation:</b> Gender of the producers/processors</p> <p><b>Data collection:</b> Project M&amp;E through regular progress report</p>
<p><b>4. Roads constructed or rehabilitated, including feeder roads and access roads</b></p>	<p><b>Definition:</b> This indicator measures the kilometers of all-weather or seasonal roads that enables transportation in rural spaces where rural-based production activities are taking place. The road construction or rehabilitation can directly or indirectly connect farmers with areas where market centers are located. The construction or rehabilitation is expected to ease commercial transportation along the road to provide beneficiaries (farmers, fisheries, communities, and others) with better market access, helping on-farm as well as nonfarm activities.</p> <p><b>Measurement unit:</b> Kilometer</p> <p><b>Data collection:</b> Project is also encouraged to collect geo-referencing data of the road constructed/rehabilitated.</p> <p><b>Geo referencing how to:</b></p> <ul style="list-style-type: none"> <li>▪ Collector: road construction company gives data to project management unit (PMU)</li> <li>▪ Method: Universal Transverse Mercator (UTM) geo-coordinates of the road to be collected every 300 meters along the trajectory of the road. Driving in the middle of the road with a GPS device from the beginning to the end of constructed area.</li> <li>▪ Devices: recorded by GPS</li> <li>▪ Level of accuracy: medium</li> </ul> <p><b>Frequency:</b> Once</p>
<p><b>5. Processing, storage and market facilities constructed and/or rehabilitated</b></p>	<p><b>Definition:</b> This indicator measures the number of facilities constructed or rehabilitated by the project, including postharvest handling centers, collection centers, markets, agro-processing, storage, quality control and other marketing related facilities.</p> <p><b>Market facilities</b> are the structures used to sell produce, such as marketplaces and shading structures. <b>Processing facilities</b> include equipment and machinery that are used for the transformation of agricultural produce (such as mills, hullers, shelters, extractors, and slaughterhouse for livestock) where value is added. <b>Storage facilities</b> include structures used for mid- to long-term storage or preservation of produce. The facilities may be on-farm storage structures such as containers and small silos or village/community facilities such as warehouses, granaries, and large silos.</p> <p><b>Measurement unit:</b> Number of facilities</p> <p><i>Note: Reporting should only concern the infrastructure for which physical works were fully completed by the time of the reporting. Infrastructure for which physical works have started during the past six months, but are not yet complete, will be reported in the next reporting period (or upon completion).</i></p>

	<p><b>Data collection:</b> Project is recommended to collect geo-referencing data of the physical infrastructures of market facilities.</p> <p><b>Geo-referencing how to:</b></p> <ul style="list-style-type: none"> <li>▪ Collector: PMU</li> <li>▪ Method: geolocation at entrance of building recorded</li> <li>▪ Devices: recorded by Global Positioning System (GPS), smartphones, or tablets</li> <li>▪ Level of accuracy: low</li> </ul> <p><b>Frequency:</b> Once</p>
<p><b>6. Farmers that are supported in accessing improved marketing opportunities</b></p>	<p><b>Definition:</b> This indicator measures the total number of farmers that have improved access to market due to project support. This includes an array of services and training provided on marketing, business management, post-harvest handling, value-addition and processing, and facilitation of linkages with off-takers/buyers.</p> <p>Some illustrative (not exhaustive) examples on trainings on technology and practice include</p> <ul style="list-style-type: none"> <li>• Marketing and distribution: e.g., contract farming technologies and practices, productive alliance/partnership, improved commodity sale technologies and practices, improved market information system and practices.</li> <li>• Postharvest handling and storage: e.g., decay and insect control, temperature and humidity control, improved quality-control technologies and practices, sorting and grading, sanitary handling practices.</li> <li>• Value-added processing: e.g., improved packaging practices and materials, food and chemical safety technologies and practices, improved preservation technologies and practices</li> </ul> <p>This indicator is related to indicator 5. This indicator (6) counts farmers who are supported with nonphysical/training support while indicator 5 measures the number of physical installations supported by the project.</p> <p><b>Measurement unit:</b> Farmers/producers</p> <p><b>Disaggregation:</b> Gender</p> <p><b>Data collection:</b> Project M&amp;E through regular progress report</p> <p><i>Notes:</i></p> <ul style="list-style-type: none"> <li>• If the same farmer has been supported by the project on market opportunities for more than one type of service, he/she should be counted only once to avoid double-counting of beneficiaries.</li> <li>• IFC will continue to report on the prior indicator “Annual volume of production and/or processing of a given commodity.”</li> </ul>
<p><b>7. Persons supported by project in rural areas accessing financial services, gender disaggregated</b></p>	<p><b>Definition:</b> This indicator measures the number of persons supported with financial services, which include credit, deposit/saving accounts, mobile money accounts, weather-based crop insurance, agoroinsurance, warehouse receipts, etc. It does not include support that only contribute to people’ access to finance (e.g., financial literacy trainings, organizational support/formalization for group lending, land titling)</p> <p>Financial services vary widely, and project teams should specify the type of services offered by their projects.</p> <p><b>Measurement unit:</b> Persons</p>

	<p><b>Disaggregation:</b> Gender</p> <p><i>Note: PrSW will continue to use loans indicators and estimate number of persons.</i></p>
<p><b>8. Direct employment provided as part of an explicit project objective, female employment and youth employment disaggregated (full-time equivalent)</b></p>	<p><b>Definition:</b> This indicator measures the additional employment gains (for example, jobs provided) owing to implementation of the GAFSP-supported project. Direct employment provided considers the provision of contractual, part-time and seasonal jobs as well. Direct employment could, therefore, be estimated through <i>net full-time equivalent (FTE) jobs</i><sup>18</sup> (for example, the number of FTE jobs generated by the project, both on-farm as well as off-farm through forward and backward linkage employment effects such as those arising from processing, marketing, farm input provision, and related services) <b>or short-term employment</b> supported by the activities of the project. To the degree possible, the CU encourages SEs to follow the principles of Decent Rural Employment and encourages related monitoring.<sup>19</sup> The decision on whether certain jobs be included should be based on whether generating employment is part of the project theory of change/results chain. Other types of created jobs such as construction workers to build project-financed infrastructure or technical service providers hired to deliver project activities should <b>not</b> be included unless generating temporary employment is part of project objectives (e.g., cash for work as social protection program). PrSW will follow IFC's definition on job creation.</p> <p><b>Measurement unit:</b> Full time equivalent jobs</p> <p><b>Disaggregation:</b> By gender, By youth</p> <p><b>Data collection:</b> Project M&amp;E through regular progress report</p>
<p><b>9. Producer-based organizations supported (Number)</b></p>	<p><b>Definition:</b> This indicator measures the number of relevant associations, whether they are formally registered or not, that are either established through or strengthened by the project to achieve or enhance the project development outcomes since project start-up (cumulative reporting). These producer organizations are established or strengthened to enhance agricultural, livestock or fishery production, processing or marketing, and provide services to their members. Such organizations include but are not limited to water user associations, producer organizations, farmer cooperatives, trade and business associations, community-based organizations, and financial cooperatives, Village Saving and Loan Associations (VSLTs).</p> <p><b>Measurement unit:</b> Number of organizations</p> <p><b>Data Collection:</b> Project M&amp;E through regular progress report</p>

<sup>18</sup> The total number of FTE jobs created by a program can be measured by dividing the net additional days of work due to a program intervention by 240. For Private Sector Window projects, it can be measured as the number of FTE employees as per local definition working for the client company or project at the end of the reporting period. This number includes individuals hired directly and individuals hired through third-party agencies, as long as those individuals provide on-site services related to the operations of the client company. Also, this number includes the FTE worked by seasonal, contractual, and part-time employees. Part-time jobs are converted to FTE jobs on a pro rata basis, based on the local definition (for instance, if the working week equals 40 hours, a 24 hr/week job would be equal to a 0.6 FTE job). Seasonal or short-term jobs are prorated on the basis of the portion of the reporting period that was worked (for example, a full-time position for three months would be equal to a 0.25 FTE job if the reporting period is one year). If the information is not available, the rule-of-thumb is that two part-time jobs equal a full-time job. *Note: employment for the purpose of the construction of the client company's hard assets is not to be included in this indicator.*

<sup>19</sup> <http://www.fao.org/3/a-bc270e.pdf>.

<p><b>10. Persons receiving capacity development support, gender disaggregated</b></p>	<p><b>Definition:</b> This indicator counts number of persons who received project technical assistance and capacity development activities. This counts both the capacity development activities to technical staff for project delivery (e.g., training of trainers) and activities to enhance institutional capacities of project-related institutions. The capacity development activities will include not only formal training but all other types of tools such as on the job training, coaching, mentoring, exposure visit, exchange of good practice, peer to peer learning, etc.</p> <p><b>Measurement unit:</b> Persons</p> <p><b>Disaggregation:</b> By gender</p> <p><b>Data Collection:</b> Project M&amp;E through regular progress report</p> <p><i>Note: To avoid double counting, this indicator should not include people who have received direct training (they are captured under other indicators). Training on agricultural productivity or nutrition related training, which should be counted under indicators numbers 3, 12, and 13.</i></p>
<p><b>11. Policy products completed with project support related to agriculture, natural resource management, and food/nutrition security.</b></p>	<p><b>Definition:</b> This indicator measures the number of completed policies, strategies, laws, regulations, and sector plans, and other analytical work that serve to meet or enhance the project’s development outcomes to support agriculture, natural resource management, and food/nutrition security.</p> <p>For TA projects, this indicator will be considered achieved when final draft versions of relevant documents are submitted to the government.</p> <p><b>Measurement unit:</b> Number of pieces of analytical work</p> <p><b>Data Collection:</b> Project M&amp;E through regular progress report</p>
<p>[Cross-cutting theme: Nutrition]</p> <p><b>12. Persons who have received improved nutrition services and products, gender disaggregated</b></p>	<p><b>Definition:</b> This indicator measures the number of people with access to a basic package of nutrition services through a GAFSP-financed project (e.g., provision of Ready to Use Therapeutic Foods (RUTFs), micronutrient supplements, biofortified plant materials, community nutrition education programs). The contents of the basic package are defined by the project and are, therefore, not identical.</p> <ul style="list-style-type: none"> <li>i. <b>Guidance on Ready to Use Therapeutic Food (RUTF):</b> This energy-dense, mineral/vitamin-enriched food is designed specifically to treat severe acute malnutrition. It is equivalent in formulation to Formula 100 (F100), which is recommended by the World Health Organization to treat malnutrition. RUTF is usually oil-based and contains little available water, which means that it is microbiologically safe, will keep for several months in simple packaging, and can be made easily using low-tech production methods. As it is eaten uncooked, it is ideal for delivering many micronutrients that might otherwise be broken down by heat. RUTFs permit community-based therapeutic care (CTC)—treatment at home and in the community—rather than costly and more problematic clinical care. An example of RUTFs is Plumpy’Nut.</li> <li>ii. <b>Guidance on Biofortification:</b> Biofortification improves the micronutrient density of staple food crops. This process helps to reduce the high prevalence of specific nutritional deficiencies, especially of iron, zinc, and vitamin A, which commonly occur in low-income populations. Biofortification differs from ordinary fortification because it focuses on making plant foods more nutritious as the plants are growing, rather than on adding nutrients to foods when they are processed, including</li> </ul>

	<p>fortification. Examples of some foods that have been biofortified are orange flesh sweet potatoes and enriched maize.</p> <p><b>iii. Guidance on Micronutrients:</b> These essential nutrients are needed by the human body in small quantities for it to function normally. Categories of essential nutrients include vitamins, dietary minerals, essential fatty acids, phytochemicals, and essential amino acids.</p> <p><b>Measurement unit:</b> Persons</p> <p><b>Disaggregation:</b> By gender</p> <p><b>Data Collection:</b> Project M&amp;E through regular progress report.</p> <p><i>Note: Do not double count people who have been provided with more than one type of services and products under the project.</i></p>
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**CROSS-CUTTING THEME: CLIMATE INDICATOR**

<p><b>13. Farmers receiving inputs or service on climate-resilient or sustainable agriculture practices</b></p>	<p><b>Definition:</b> This indicator measures the number of farmers who have received inputs or service on resilient or sustainable agriculture practices. Climate-resilient or sustainable agriculture are practices and interventions defined as consistent with each Supervising Entity’s climate definitions, including climate smart agriculture (as per the FAO definition<sup>20</sup>) and climate-resilience–related elements in agroecology (as per FAO’s 10 elements<sup>21</sup>)</p> <p>This includes a broad range of climate-resilient/climate-risk management technologies and practices that are promoted with the explicit objective of reducing risk and minimizing the severity of climate change. Examples include interventions related to (i) developing and introducing management practices or techniques more resilient to climate change in farming system, plant breeding, and livestock breeding; (ii) raising awareness of risks on climate change or/and benefits of adaptation, (iii) recovering degraded areas for crop production through innovative management practices and soil management practices that control soil erosion; (iv) introducing crops or crop mix more suited to climate change, including drought-and flood-resistant varieties, short-duration varieties, adjustment of sowing time; diversification, use of perennial varieties, agroforestry; (v) changing watershed, wetland, and irrigation management systems and practices to reduce vulnerability; (vi) incorporating risks in irrigation/water management planning to reduce climate risks; (vii) changing management practices or techniques to reduce vulnerability to climate change in animal health service, pasture management, fodder production, and storage practices; (viii) restoring or maintaining environmental services; and (ix) increasing farmers’ access to climate services (including weather and climate advisory service, early warning systems) and benefitting from weather-based crop insurance or index-based insurance, and so on.</p> <p>This also includes a broad range of climate mitigation technologies that minimize emission intensities relative to other alternatives (while preventing leakage of emissions elsewhere). Examples include low- or no-till practices, restoration of organic soils and degraded lands, efficient nitrogen fertilizer use, practices that promote methane reduction, agroforestry, introduction/expansion of perennials, practices that promote greater resource use efficiency (e.g., drip irrigation).</p> <p>This also includes a list of CSA practice and technologies that work on both climate adaptation and mitigation.</p>
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<sup>20</sup> <https://www.fao.org/climate-smart-agriculture-sourcebook/en>

<sup>21</sup> <https://www.fao.org/agroecology/home/en/>

	<p><b>Adoption</b> refers to a change of climate-resilient practice or change in use of a technology that was introduced or promoted by the project. Technology includes a change in practices compared to currently used practices or technologies as defined above.</p> <p><b>Measurement unit:</b> Farmers</p> <p><b>Disaggregation:</b> By gender. Of which number of farmers adopting technologies or practices received</p>
<b>14. Land area where climate-resilient or sustainable agriculture are implemented</b>	<p><b>Definition:</b> This indicator measures total hectares of agriculture land areas where resilient or sustainable agriculture is implemented (see detailed description in indicator 13). Specifically, this measures land area where the project has introduced improvements in natural resources (land and water) management planning, strengthened institutional response mechanism, and improved actual management and/or land and water use practices to increase climate resilience.</p> <p>This may include but are not limited to these examples: (1) changes in land use related to cropland, grazing land, and soil restoration, including afforestation/deforestation; (2) area under changed crop growing methods, such as alternate wetting and drying for growing rice- with reduced methane emission; (3) grassland and peatland management; (4) inputs and investments (energy consumption and construction of new infrastructure).<sup>22</sup></p> <p><b>Measurement unit:</b> Hectare</p>
<b>15. Agribusiness companies/enterprises/POs adopting climate-resilient or sustainable agriculture interventions in their operations or in their supply chains</b>	<p><b>Definition:</b> Interventions are defined as interventions involving improvements in energy efficiency, water efficiency, resource efficiency, reduced food losses, and renewable energy solutions.</p> <p><b>Measurement unit:</b> Companies/enterprises/producer organizations</p>

### Tier 3 Indicators: Definitions<sup>23</sup>

<b>Utilization</b>	
<b>1.1 Number and value of projects approved</b>	<b>Definition:</b> It follows the definition of project as defined by respective SE.
<b>1.2 Number and value of projects committed (Private Sector Window and BIFT only)</b>	<b>Definition:</b> Number of projects and their associated dollar volume for which IFC has entered legal agreements that establish IFC's obligation to provide the financial products to clients for those projects.
<b>1.3 Number and value of projects disbursed</b>	<b>Definition:</b> For the Country-led and PO-led projects, this indicator shows the economic efficiency of total dollars invested by tracking the aggregate amount of GAFSP funding disbursed, and the related ratio to the net amount available/allocated. The Private Sector Window will track principal outflow from

<sup>22</sup> Refer to FAO (2021) *Making Climate-Sensitive Investments in Agriculture: Approaches, Tools and Selected Experiences* for more details (<https://www.fao.org/documents/card/en/c/cb1067en/>).

<sup>23</sup> Definitions that are applicable for the BIFT will be developed once the BIFT is operational.

	the implementing entity under the GAFSP fund to client, in accordance with the Investment Agreement.
<b>1.4 Number of months between approval by the SC and disbursement by an SE (Country-led and PO-led projects only)</b>	<b>Definition:</b> This indicator measures the effectiveness of the release of funds.
<b>Financial sustainability and leverage</b>	
<b>2.1. Leverage ratio, disaggregated into different funding sources from development partners, government, private sector, and communities and groups that are used for scaling-up phases of the project</b>	<b>Definition:</b> The term <i>leverage</i> can be used interchangeably with other terms, including <i>mobilizing, catalyzing, cofinancing, and coinvestment</i> . For the Country-led and PO-led projects, cofinancing is considered to be a subset of leverage that helps to achieve a “transformational” impact of the intervention. For all financing modalities, the indicator is calculated as the ratio of non-GAFSP funds over GAFSP funds that are invested in GAFSP-supported operations to reflect the cofinancing component. For the PrSW, this may include funding from IFC and other private sector sources.
<b>Diversification</b>	
<b>3.1. Regional distribution of projects</b>	<b>Definition:</b> Number of approved projects and associated US dollar volume by region.
<b>3.2. Country distribution of projects—percentage of projects in fragile and conflict-affected states</b>	<b>Definition:</b> Number of approved projects and associated US dollar volume in FCV (fragility, conflict, and violence) versus non-FCV countries.
<b>3.3. Product distribution of projects—debt, equity, guarantees, advisory services (PrSW and BIFT only)</b>	<b>Definition:</b> The number of approved projects and associated dollar volume by product.
<b>Inclusiveness—Volume of financing that goes to projects that are</b>	
<b>4.1. Climate smart</b>	<b>Definition:</b> The GAFSP <b>Country-led</b> project currently applies a methodology developed by the World Bank to track engagement in the areas of climate-change adaptation and mitigation. The system is designed to capture the financing of adaptation and mitigation co-benefits in projects across the <b>Country-led track portfolio</b> , even when climate-change adaptation/mitigation is not the main project objective. Specifically, the approach tracks project/grant commitments with climate-change cobenefits at the time of project approval—not the amount of emission reductions or increased climate resilience resulting from the financing associated with each operation. This approach is in line with the emerging SDG indicators for climate. For the <b>Private Sector Window</b> , IFC is scaling up its climate-change mitigation work as well as incorporating adaptation and climate-risk assessment and management into private sector investment through its Investment and advisory services businesses. In September 2016, IFC revised its climate definitions <sup>24</sup> to incorporate and recognize activities and investments that contribute to CSA as an approach to managing landscapes—cropland, livestock, forests, and fisheries—that aims to achieve three “wins”: (1) increased productivity to improve food security and boost farmers’ incomes; (2) enhanced

<sup>24</sup> See “IFC Definitions and Metrics for Climate-Related Activities,” [http://www.ifc.org/wps/wcm/connect/534495804a803b32b266fb551f5e606b/IFC\\_Climate\\_Definitions\\_2013.pdf?MOD=AJPER ES](http://www.ifc.org/wps/wcm/connect/534495804a803b32b266fb551f5e606b/IFC_Climate_Definitions_2013.pdf?MOD=AJPER ES)



	<p>resilience to drought, pests, disease, and other shocks linked to climate-change impacts; and (3) reduced greenhouse gas emissions. IFC, together with its clients and partners, plans to support CSA, including through GAFSP, by providing investments and advisory operations that contribute to one or more of these three CSA “wins.”</p>
<p><b>4.2. Gender sensitive</b></p>	<p><b>Definition:</b> Gender-sensitive investment is investment that directly promotes women’s rights, gender equality and women’s empowerment. For the <b>Country-led and PO-led track</b>, in addition to reporting routinely the percentage of women among the total number of people receiving benefits from GAFSP, the CU reviews all projects for gender inclusion across three dimensions: (1) <b>gender analysis</b> on identifying a gender gap and how project can address the relevant gender gap during project preparation and design; (2) <b>gender-gap informed actions:</b> whether the project design defines specific interventions that contribute to closing gender gaps identified in the analysis. To meet the criteria, operations must propose concrete actions as part of the main components where the expected results (i.e., closing of the identified gender gap) are intended to last beyond the project period; and (3) <b>indicators</b> that measure the outcomes expected to be achieved through the gender-gap-closing activities.</p> <p>For the <b>Private Sector Window</b>, IFC uses gender-sensitive appraisal questions as part of the due diligence for direct agricultural investments as a means of raising awareness of the importance of gender sensitivity in agribusiness projects and business operations with the project sponsors. The analysis involves the disaggregation of quantitative data by sex and highlights the different roles and learned behaviors based on gender attributes. This framework informs company actions and interventions (which can lead to significant business benefits), produces and provides gender-disaggregated evidence for policy making, develops tools and expertise to identify and unlock barriers to women’s participation, ensures gender-inclusive implementation strategies, and makes gender visible and relevant in M&amp;E processes. In particular, IFC applies a flag system, in which the <b>Advisory Services (AS) Gender Flag</b> is a yes/no indication of whether an investment project is designed and implemented with a gender lens. The gender flag is applied if the project/investment includes an analysis in the board paper on gaps between women and men that will be addressed either in the client’s workforce and leadership or among suppliers, customers, leaders, or community stakeholders. Based on the analysis, the board paper needs to spell out at least one gender intervention, which is then reflected in a monitoring indicator. <b>The AS Gender Flag</b> is applied if the project design explains which gender gaps between men and women will be addressed by the project (corporate leadership, suppliers, employees, customers, and so on) and how the project will reduce the gap, highlighting the activities that will be undertaken.</p>
<p><b>4.3. Nutrition related</b></p>	<p><b>Definition:</b> This indicator will collate the GAFSP investments that contribute directly to the improved nutrition of recipient households. SEs are engaged in the global goal for improved nutrition as a priority, especially for women and infants, and have developed implementation plans for increasing these investments. Informed by joint work undertaken by the World Bank Group’s Health, Nutrition, Population, and Agriculture Global Practices, a tool is used to screen all <b>Country-led</b> projects for activities that include direct nutrition nonagricultural activities (those activities addressing immediate determinants of fetal and child nutrition and couched in the health sector) and explicit and implicit nutrition-sensitive agricultural activities (activities addressing underlying</p>

	determinants of fetal and child nutrition, couched in sectors outside health, such as agriculture). On the basis of this screening and review, a dollar amount is assigned across these categories, in order to track the number of projects that contribute to improved nutrition. The CU reports annually on the number of projects and estimated project financing that includes direct nutrition nonagricultural activities and/or explicit nutrition-sensitive agricultural activities only. It does not report on implicit nutrition-sensitive agricultural activities.
<b>Development performance</b>	
<b>5.1. Percentage of projects rated successful on development outcome</b>	<b>Definition:</b> As noted, SE project teams use a self-rating process for assessing development outcomes, but the CU leads an annual portfolio review for projects under the <b>Country-led and PO-led track</b> , and IFC carries out an annual portfolio assessment for the PrSW.
<b>Collaboration between Country-led, PO-led, BIFT, PrSW entities</b>	
<b>6.1. Number of joint events</b>	<b>Definition:</b> These include events for joint strategy planning, lesson-learning during implementation of projects, and evaluation/application of lessons learned in recommendations for the improvement of GAFSP.
<b>6.2. Number of projects across Country-led, PO-led, BIFT, and PrSW partnerships, also as a percentage of total projects across all tracks/windows, respectively</b>	<b>Definition:</b> These are operations that would include joint activities, active collaboration, and/or funding both from the Country-led and PO-led track and PrSW.
<b>Stakeholder engagement</b>	
<b>7.1. Number of routine and ad hoc reports submitted by CU to individual donors in a timely manner</b>	<b>Definition:</b> This includes requests from donors on GAFSP M&E results, portfolio performance, portfolio analysis, among others. This will be tracked systematically with a tracking tool.
<b>7.2. Number of civil society organization representatives participating in key GAFSP activities</b>	<b>Definition:</b> Number of civil society organization representatives participating in key GAFSP activities, e.g., proposal development at country level, Steering Committee meetings, M&E and fundraising events both headquarters and national levels, project implementation
<b>Communications</b>	
<b>8.1. Number of projects with complete and timely updates in the GAFSP Portal</b>	<b>Definition:</b> This includes updates made regarding project status and results. Timely meant it needs to be updated within a week when a request is made to the CU.
<b>8.2. Number of unique visitors and return visitors to GAFSP website</b>	<b>Definition:</b> This indicator measures the number of visitors to the GAFSP website (both users that visit the site once and returning users), measured on a monthly basis, and then aggregate for six-monthly reporting.
<b>8.3. Number of engagements GAFSP campaigns make on social media</b>	<b>Definition:</b> This indicator measures the number of times a social media post appears to users, measured on a monthly basis, and then aggregate for six-monthly reporting.
<b>8.4. Number of external events where GAFSP is represented</b>	<b>Definition:</b> This indicator measures events that lead directly to the dissemination of GAFSP lessons and results and the mobilization of global partnerships for poverty reduction, food security, and nutrition in the poorest countries.
<b>8.5. Number of external events that GAFSP organizes and hosts</b>	<b>Definition:</b> This indicator counts the number of virtual and in-person events that GAFSP organizes and hosts with partners, such as side events during global fora, panel discussions, roundtables, etc.

<p><b>8.6 Number of communications products published that are externally facing, inc. blogs/stories/videos/etc.</b></p>	<p><b>Definition:</b> This indicator includes all public communications materials that are published on the GAFSP website, including annual reports, blogs, stories, news releases, videos, etc.</p>
<p><b>Knowledge sharing and capacity building</b></p>	
<p><b>9.1. Number of knowledge events sponsored</b></p>	<p><b>Definition:</b> This indicator measures the number of technical and nontechnical events and workshops organized by GAFSP in partnership with SEs, partners (such as Development Impact Evaluation, Voices of the Hungry, and so on), civil society organizations, and the PrSW (from M&amp;E plan)</p>
<p><b>9.2. Number of knowledge products published</b></p>	<p><b>Definition:</b> This indicator counts the knowledge products related to technical reports and portfolio assessment that are published to SC and external audience: (e.g., GHG report, annual report, portfolio review, portfolio assessment, thematic portfolio assessment, Knowledge Forum, and MMI workshop reports)</p>

## ANNEX 2: Impact Evaluation in Tier 1 Assessment

### Impact evaluation for Tier 1 assessment

#### 1. Methodology for impact evaluation (IE)

- a. At project level, GAFSP strongly encourages all Country-led GBFT investment projects and a subgroup of PrSW projects and PO-led projects to conduct some form of IEs to rigorously monitor Tier 1 results. Box A2.1 summarizes the basic features of IE.

#### Box A2.1: Basic features of impact evaluations

##### Purpose

- Measuring outcomes and impacts of an activity and distinguishing these from the influence of other, external factors.
- Helping to clarify whether costs for an activity are justified.
- Informing decisions on whether to expand, modify, or eliminate projects, programs, or policies.
- Drawing lessons for improving the design and management of future activities.
- Comparing the effectiveness of alternative interventions.
- Strengthening accountability for results.

##### Advantages

- Provides estimates of the magnitude of outcomes and impacts for different demographic groups, regions, or over time.
- Provides answers to some of the most central development questions: To what extent are we making a difference? What are the results on the ground? How can we do better?
- Systematic analysis and rigor can give managers and policy makers added confidence in decision making.

##### Disadvantages

- Some approaches are expensive and time-consuming. To the extent possible, faster and more economical approaches are also used.
- Difficulties in identifying an appropriate counterfactual if nonrigorous impact evaluation designs are used.
- Can lack precision in deriving the full extent of the impact due to limited assumptions and prior knowledge, making it harder to extrapolate outside the exact context in which it was conducted.

##### Cost

IEs range from US\$200,000–1,000,000 depending on program size, complexity, and frequency of data collection as well as standard costs in the survey country. Simpler and rapid assessments can be conducted for significantly less than US\$100,000, and in some cases for as little as US\$10,000–20,000, although at the cost of considerable rigor.

Sources: Clark, Sarforius, and Bamberger (2004); Deaton and Cartwright (2016).

- a. For evaluating results of GAFSP projects, teams are encouraged to adopt **experimental** or **quasi-experimental designs**. At minimum, a **“rapid” assessment**, as defined in Box A2.2, should be applied for meaningful Tier 1 impact indicator collection, but it is worth emphasizing that these approaches have more limited quantitative validity and additional budget is not offered for these. Given the multicomponent/acidity nature of GAFSP investment, quantitative IE methods may be limited that SE are also encouraged to

triangulate the findings with qualitative assessment. As such, a Mixed Method approach may be needed to assess the whole project impact.<sup>25</sup>

### **Box A2.2: Options for rigorous impact evaluation design**

#### **Option 1: Experimental design**

Experimental design randomly selects the treatment and comparison groups from a potential population of participants such as individuals or communities, among others. On average, at the outset of an intervention, project, or program it can be assured that those who are exposed to the program (treatment) are no different than those who are not (control). Therefore, a statistically significant difference between the groups in the outcomes the program was planning to affect may be attributed to the program with confidence.

**Cost:** Cost can range widely, depending on the size and complexity of the program being studied, but they can reasonably be expected to be in the range of US\$500,000–1,000,000. The wide range in costs is driven by the context in which the intervention is undertaken, such as the scope of the intervention and the variability of household situations, the sample sizes of household surveys that determine precision of comparisons, and the unit costs of surveying rural households in a given country.

#### **Option 2: Quasi-experimental design**

Quasi-experimental (QE) design also tests causal hypotheses, but in contrast with a randomized experiment, the assignment conditions (treatment in relation to control) under QE is done by means of administrative selection or self-selection or both. QE design matches the preintervention characteristics (baseline) of the treatment and comparison group, and any difference in outcomes between the treatment and comparison groups is, therefore, said to be due to the program intervention. Methods of data analysis used in QE designs may be ex-post single difference or double difference, where the latter is also known as difference-in-difference, propensity score matching, regression discontinuity, and instrumental variables. In general, QE involves more assumptions to address counterfactual than randomization involves.

**Cost:** Costs may be similar to those for Option 1.

#### **Option 3: Nonexperimental design (rapid assessment)**

For nonexperimental designs, ex-post comparisons can be conducted between project groups and control groups. Multivariate regression analysis can be used here as one way of estimating the counterfactual, to statistically control some observable characteristics of the sample households of both groups.

**Cost/timing:** Costs will depend on study design features such as sample size and rounds of data collection. The costs will be considerably lower than Options 1 and 2. But for the investment size of GAFSP Country-led project, in general, the cost would be US\$100,000–250,000 for each assessment.

*Sources:* Bamberger (2009), Duflo and Kremer (2003), Sartorius (2013), Gertler et al. (2016).

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<sup>25</sup> Mixed methods carry a number of operational benefits, such as enhancing the interpretation and credibility of the results, using the findings of one method (qualitative or quantitative) to develop the sample or instrument of the other, enhancing its relevance. A balanced mixed method approach can be designed using quantitative methods for sample selection, baseline surveys, and follow-up surveys; using qualitative methods for exploratory research to develop the sample and context of the study and to ensure relevance to the respondent groups; using triangulation to compare results from both qualitative and quantitative methods; and ensuring participation and voice of key stakeholders throughout the assessment/evaluation process. World Bank; Bamberger, M. (2010). Reconstructing baseline data for impact evaluation and results measurement; Bamberger, M. (2012). Introduction of Mixed Method in Impact Evaluation.

2. **Implementing arrangement of IEs:** The IEs for GAFSP-financed projects should be carried out by a recognized research entity with a track record of conducting such studies.<sup>26</sup> Even for rapid assessments, experience has shown that assessment conducted by well-qualified local/regional firms tend to produce higher quality assessment than those carried out by individual consultants hired by the project. For experimental or quasi-experimental IE, the research entity should start engaging with the project as soon as possible, starting in the project preparation phase to ensure that proper baseline data are collected; conduct periodic field visits as necessary; and carry out the actual IE upon completion of the project. Some reference materials are suggested.<sup>27</sup>

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<sup>26</sup> This group could include universities, research organizations such as IFPRI, the World Bank's DIME initiative, Brookings Institution, Center for Global Development, regional technical organizations, or initiatives such as International Initiative for Impact Evaluation (3IE) ([www.3ieimpact.org](http://www.3ieimpact.org)), for example.

<sup>27</sup> The needs vary considerably, so it is not easy to provide general guidance or a small number of overarching models to serve as examples. Even so, a convenient source of guidance and examples of practice is the IFPRI website, which has data and analysis from several surveys in Bangladesh related to nutrition and poverty (<http://www.ifpri.org/publication/contribution-ifpri-research-and-impact-food-education-program-bangladesh-schooling-outco>; <http://www.ifpri.org/dataset/chronic-poverty-and-long-term-impact-study-bangladesh> <http://www.ifpri.org/dataset/impact-evaluation-food-education-program-bangladesh-2000>); a survey and analysis of the nutritional impact of policies in Malawi (<http://www.ifpri.org/publication/analyzing-nutritional-impact-policies-malawi>); and a baseline survey and initial results for the World Bank's Uganda National Agricultural Advisory Services (NAADS) project (<http://www.ifpri.org/publication/assessing-impact-national-agricultural-advisory-services-naads-uganda-rural-livelihoods>), for example.

## ANNEX 3: Interim Project Completion Report—GAFSP Template (Investment Projects)

GAFSP Transfer Agreements between the Trustee and each Supervising Entity require that the **Supervising Entity submit to the GAFSP Coordination Unit a Final Report for each project no later than six months after the closing date (or cancellation of the project)**. Given GAFSP’s policy on utilizing Supervising Entity’s existing policies, a Supervising Entity’s official Project Completion Report will count towards this “final report” requirement. In the case where the Supervising Entity does not have an official Project Completion report-type document—such as with Technical Assistance projects—or when the GAFSP grant of the project’s funding is fully disbursed six months (or more) in advance of the rest of the project’s funding, then projects are requested to complete **this template**.

The main purpose of this document is to provide a summary of (a) how GAFSP funds were spent, (b) what outcomes resulted, (c) whether intended targets were met, (d) what changes were made from the original project design, (e) key lessons learned, and (f) status of other completion reporting or project evaluation work that will be undertaken in the future. This document will be shared with the GAFSP Steering Committee.

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**PROJECT COMPLETION REPORT TEMPLATE**

BASIC INFORMATION
Country:
Project Name (full name and acronym):
Supervising Entity (SE):
Task Team Leader Contact (name and email):

BASIC PROJECT INFORMATION (costs in US\$1,000)	
Total Project Cost	
<i>Of which the GAFSP amount is</i>	
Total Disbursed Amount	
<i>Of which the GAFSP amount is</i>	
Cofinanciers (if any, cost amount for each)	
SE Approval Date	
Project Effectiveness Date	
Date of First Disbursement (of GAFSP funds)	
Official Restructuring Date(s) (if any)	
Closing Date	

1. Project Development Objective (original)	
2. Revised Project Development Objective (if any)	

8. Summary of Project Components and Activities

PROJECT COMPONENTS	ACTIVITIES
Component 1:	
Component 2:	
Component 3:	
Component x:	



9. Project Ratings<sup>28</sup>

Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U)

		RATING	JUSTIFICATION FOR RATING
A	SE self-assessed project ratings towards “the achievement towards <i>own</i> Project Development Objective (PDO)”		

10. Number of **proposed** direct beneficiaries (as stated in the original project document, in persons, disaggregated by gender).

11. Number of **actual** direct beneficiaries reached (at end of project, in persons, disaggregated by gender).

DISAGGREGATED BY GENDER	PROPOSED DIRECT BENEFICIARIES	ACTUAL DIRECT BENEFICIARIES
TOTAL		
Women		

12. Contribution to Crosscutting Themes.<sup>29</sup> Assess Level of Contribution to each of the themes using the following symbols:

- = none planned
- \* = planned but did not achieve planned contribution
- \*\* = planned contribution achieved
- \*\*\* = exceeded planned expectations

	CONTRIBUTION (—, *, **, ***)	BRIEF EXPLANATION
Climate resilient agriculture		
Nutrition		
Gender		
Job creation		

13. Obstacles or challenges faced by the project (this could be operational, political, or other).

14. Sustainability after project completion (list any steps taken to ensure that project outcomes are sustained or any planned follow-on activity).

<sup>28</sup> Any rating in this report should be approved or endorsed by the Supervising Entity’s representative to the GAFSP Steering Committee or taken from Supervising Entity’s official documents such as Implementation Status Reports at the time of grant completion. It should not be the personal assessment of the officer in charge of the project.

<sup>29</sup> It is fully acknowledged that not all GAFSP projects were designed to contribute to these crosscutting themes. Therefore, please feel free to assess the level of contribution using a **dash (—)** for all or any themes that were not part of the project design.

15. Award, acknowledgement, or major media coverage during the life of the project (provide links to any online content or separately submit any relevant material).
16. Lessons learned and recommendations for future operations.

		LESSONS LEARNED	RECOMMENDATIONS (if any)
1	Project design (including process and participation)		
2	Project implementation (including institutional arrangements)		
3	Collaboration (including with government counterpart, CSOs, georeference)		
4	Any GAFSP specific matters		

NOTE: **Please attach Final Results Framework to this report** and submit to the GAFSP Coordination Unit. It must contain baseline, target, and actual value at end of project for **each** indicator, as available at grant closing, or for end of June or end of December for the relevant year/date of grant closing.

**FINAL RESULTS FRAMEWORK**

INDICATOR	BASELINE VALUE	TARGET VALUE	ACTUAL VALUE AT PROJECT COMPLETION
Indicator 1:			
Indicator 2:			
Indicator 3:			
Indicator 4:			
Indicator 5:			
Indicator 6:			
Indicator 7:			
Indicator 8:			
Indicator 9:			

Indicator 10:			
Indicator 11:			
Indicator 12:			
Indicator 13:			

17. Timing of when the Supervising Entity’s official project completion report will be available (please note that the official project completion report, once approved, will be posted on the GAFSP website and shared with the GAFSP Steering Committee).
18. Timing and status of any other project evaluation work that is planned, such as impact evaluations.
19. Feedback to GAFSP Steering Committee or GAFSP Coordination Unit (optional).

## ANNEX 4: Project Completion Report—GAFSP Template (Technical Assistance Projects)

GAFSP Transfer Agreements between the Trustee and each Supervising Entity require that the **Supervising Entity submit to the GAFSP Coordination Unit a Final Report for each project no later than six months after the closing date (or cancellation of the project)**. Given GAFSP’s policy on utilizing Supervising Entity’s existing policies, a Supervising Entity’s official Project Completion Report will count towards this “final report” requirement. In the case where the Supervising Entity does not have an official Project Completion report-type document—such as with Technical Assistance projects—then projects are requested to complete **this template**.

The main purpose of this document is to provide a summary of: (a) how GAFSP funds were spent, (b) what outcomes resulted, (c) whether intended targets were met, (d) what changes were made from the original project design, (e) how the Technical Assistance projects collaborated with the associated investment projects, and (f) key lessons learned. This document will be shared with the GAFSP Steering Committee as well as made public through the GAFSP website ([www.gafspfund.org](http://www.gafspfund.org)).

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**PROJECT COMPLETION REPORT TEMPLATE**

<b>BASIC INFORMATION</b>
Country:
Project Name (full name and acronym):
Supervising Entity (SE):
Task Team Leader Contact (name and email):

<b>BASIC PROJECT INFORMATION (costs in US\$1,000)</b>	
Total Project Cost	
<i><b>Of which the GAFSP amount is</b></i>	
Total Disbursed Amount	
<i><b>Of which the GAFSP amount is</b></i>	
Cofinanciers (if any, cost amount for each)	
SE Approval Date	
Project Effectiveness Date	
Date of First Disbursement (of GAFSP funds)	
Official Restructuring Date(s) (if any)	
Closing Date	

Project context	Provide a brief description of the context in which it was designed and implemented.
1. Project Development Objective (original)	
2. <i>Revised</i> Project Development Objective (if any)	
3. Name and SE of associated GAFSP Investment Project	
4. Project Development Objective of the associated Investment Project	
5. <i>Revised</i> Project Development Objective of the associated Investment Project	

<p>6. Major deviations from Original Project Design and reasons (if any)</p>	<p>Describe any significant changes, including the key outcome targets, key indicators in the results framework, components that were revised through restructuring, along with the date(s) of revision(s).</p> <p>Examples of other changes include scope and scale, implementation arrangements and schedule, funding allocations including counterpart financing and co-financing, Additional Financing, reallocation of funds among components, and cancellation of funds.</p> <p>Describe the rationale for changes and indicate whether changes were formally approved through restructuring.</p>
<p>7. Changes made to the Original Results Framework (if any, on indicators or values)<sup>30</sup></p>	

8. Summary of Project Components and Activities

PROJECT COMPONENTS	ACTIVITIES
Component 1:	
Component 2:	
Component 3:	
Component 4:	

9. Project Ratings<sup>31</sup>

Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU).

		RATING	JUSTIFICATION FOR RATING
A	SE self-assessed project ratings towards “ <b>the achievement towards own Project Development Objective (PDO)</b> ”		The extent to which the development intervention’s objectives were achieved, or are expected to be achieved, and are attributable to the activities or actions supported by the operation, taking into account their relative importance.

<sup>30</sup> A Final Results Framework needs to be submitted together with this template (see remarks at the end of this document).

<sup>31</sup> Any rating in this report should be approved or endorsed by the Supervising Entity’s representative to the GAFSP Steering Committee. It should not be the personal assessment of the officer in charge of the project.

B	SE self-assessed project ratings towards the TA project’s contribution to the <b>“achievement of the PDO of the associated investment project”</b>		
C	SE self-assessed project ratings towards <b>“tangible outcomes arising from collaboration with associated investment project”</b>		

- 20. Number of **proposed** direct beneficiaries (as stated in the original project document, in persons, disaggregated by gender).
- 21. Number of **actual** direct beneficiaries reached (at end of project, in persons, disaggregated by gender).

DISAGGREGATED BY GENDER	PROPOSED DIRECT BENEFICIARIES	ACTUAL DIRECT BENEFICIARIES

22. Contribution to Crosscutting Themes.<sup>32</sup> Assess level of contribution to each of the themes using the following symbols:

- = none planned
- \* = planned but did not achieve planned contribution
- \*\* = planned contribution achieved
- \*\*\* = exceeded planned expectations

	CONTRIBUTION (—, *, **, ***)	BRIEF EXPLANATION
Climate-resilient agriculture		
Nutrition		
Gender		
Job creation		

23. Obstacles or challenges faced by the project (this could be operational, political, or other).

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<sup>32</sup> It is fully acknowledged that not all GAFSP projects were designed to contribute to these crosscutting themes. Therefore, please feel free to assess the level of contribution using a **dash (—)** for all or any themes that were not part of the project design.

24. Sustainability after project completion (list any steps taken to ensure that project outcomes are sustained or any planned follow-on activity).
25. Award, acknowledgement, or major media coverage during the life of the project (provide links to any online content or separately submit any relevant material).
26. Lessons learned and recommendations for future operations.

		LESSONS LEARNED	RECOMMENDATIONS (if any)
1	Project design (including process and participation)		
2	Project implementation (including institutional arrangements)		
3	Collaboration (including with government counterpart, SE of associated investment project, CSOs)		
4	Any GAFSP specific matters		

NOTE: **Please attach Final Results Framework to this report** and submit to the GAFSP Coordination Unit. It must contain baseline, target and actual value at end of project for **each** indicator.

**FINAL RESULTS FRAMEWORK**

INDICATOR	BASELINE VALUE	TARGET VALUE	ACTUAL VALUE AT PROJECT COMPLETION
Indicator 1:			
Indicator 2:			
Indicator 3:			

27. Feedback to GAFSP Steering Committee or GAFSP Coordination Unit (optional).