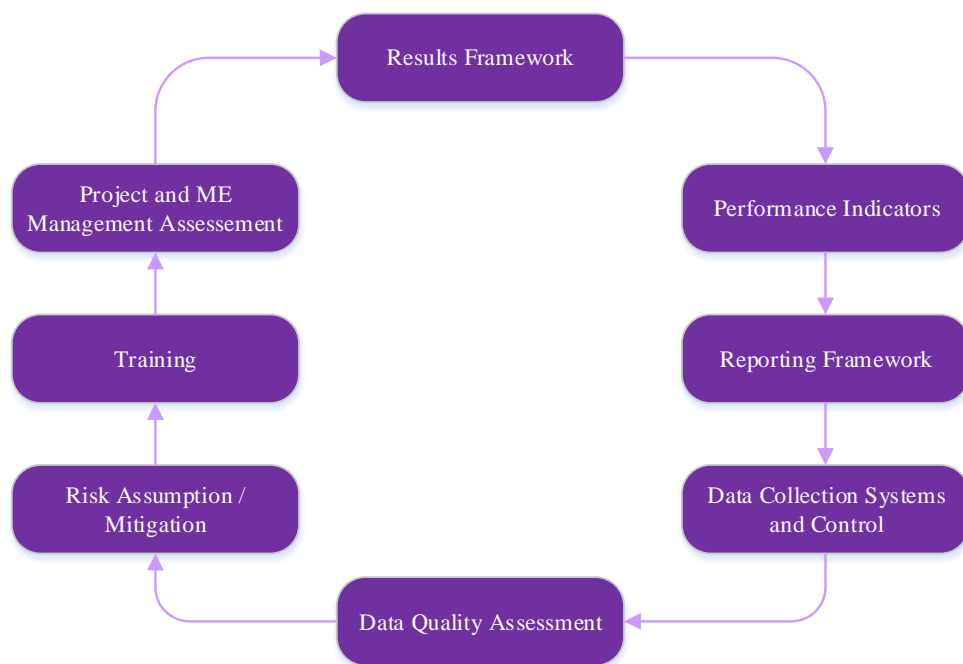


Preliminary Performance Management Plan

The Performance Management Plan (PMP) will serve as a reference document that contains the *targets, definition of each indicator (in the context of the Innovation Lab and each project), the methods of data collection and frequency of data collection for each indicator, who will be responsible for collecting the data and how will the collected data be used*. The PMP is a tool for the SIIL Management Entity (ME) to help set up and manage the process of monitoring, analyzing, evaluating and reporting progress toward achieving the program objectives. SIIL PMP will enable operating units to collect comparable data over time.

The overall goal for the Innovation Lab for Sustainable Intensification (SIIL) is directly linked to the Feed the Future (FtF) program initiative to sustainably reduce global poverty and undernutrition, and its two key objectives of inclusive agricultural sector growth and improved nutritional status. The KSU SIIL Management Entity (ME) will be responsible for ensuring that the SIIL related research projects are linked to the research priorities defined at individual focus country level. KSU has a strong infrastructure and expertise to provide necessary means for the SIIL ME to ensure a competent management, monitoring and evaluation, and information knowledge management system which supports real time assessment of project performance and reporting. In addition to tracking the implementation and outcomes of research projects, a stakeholder-based process will be developed and documented to regularly assess and systematically improve the ME's own management performance.

The key elements of the PMP will include:



Results Framework

A results framework will be developed for the 1) research portfolio; 2) Geospatial and Farming Systems Consortium (GFSRC); 3) Appropriate Scale Mechanization Consortium (ASMC); and 4) the management performance of the Management Entity (ME) itself. Results framework for the research portfolio and two consortiums will be aligned to the Feed the Future (FtF) results framework.

The following draft result framework has been developed for the ME to provide a preliminary overview of the management objective, key results and indicator that will be measured.

SIIL ME results framework

Management Objective: Develop a management team, systems, and approaches that support improved management performance in order to deliver project objectives within time, resource and budget constraints		
Intermediate Result 1: Enhance the national programs organizational capacity	Intermediate Result 2: Efficient knowledge-sharing mechanisms are utilized	Intermediate Result 3: ME is managed efficiently and in timely matter with results
Indicators 1.1 Number of SWOT analysis 1.2 Number of short-term trainees 1.3 Number of long-term trainees	Indicators: 2.1 Metrics on website traffic 2.2. Number of documents downloaded 2.3 Number of reprints and publications by ME and funded partners	Indicators: 3.1 Annual team building/self-assessment workshop report 3.2 Stakeholder feedback survey 3.3 OEIE ME performance report

Performance Indicators

A detailed performance indicators will be developed and the indicators will be revised as the program develops to address the emerging needs for data quality and relevance. The ME will use specific FtF indicators to track progress towards key FtF objectives of inclusive agricultural sector growth and improved nutritional status. The following indicators have been tentatively selected:

4.5.1-24: Number of policies/regulations/administrative procedures in each of the following stages of development as a result of USG government assistance in each case: Stage 1: Analyzed; Stage 2: Drafted and presented for public/stakeholder consultation; Stage 3: Presented for legislation/decreed; Stage 4: Passed/approved; Stage 5: Passed for which implementation has begun

4.5.2-6: Number of individual who have received USG supported long-term agricultural sector productivity or food security training

4.5.2-7: Number of individual who have received USG supported short-term agricultural sector productivity or food security training

4.5.2-39: Number of technologies or management practices in one of the following phases of the development: Phase I: under research as a result of USG assistance; Phase II: under field testing as a result of USG assistance; Phase III: made available for transfer as a result of USG assistance.

All funded research projects and consortia will be required to report semi-annually (with disaggregated data by crop, management practice, gender, phase and stage etc) their progress towards common performance indicators.

Reporting Framework

A standardized web based reporting framework has already been developed at KSU and it will be further defined for SIIL for all ME and project reporting on a quarterly basis that aligns to the Feed the Future (FtF) framework and USAID reporting frameworks. The standardized framework of the Division of Financial Services (DFS) at KSU will be used for the financial reporting on a quarterly and real time basis as needed. Quarterly narrative and financial reporting will be submitted in regards to the management performance of the ME itself. This will include monitoring of pre/post award timeframes and measures to assist and improve the output of subgrants. Annual management assessment will be facilitated by the OEIE and the generated reports will also be used to define improvement areas.

Data Collection System and Control

The ME cooperates with Piestar to maintain the SIIL Reporting Hub for project monitoring. The interface includes standardized data and reporting formats to support real time data collection. The web-based platform allows for additional software packages to be added over time to respond to emerging data collection needs. Security is insured and levels of access is password protected. Assistive technology is ensured where needed for persons with disabilities in line with the American's with Disabilities Act (ADA). The ME will have oversight of the system and ensure that data quality is ensured.

Data Quality Assessment

A plan for Data Quality Assessments (DQA) will be developed and presented in the final PMP. DQA will be implemented according to standard protocols to document the validity, reliability, precision, integrity, and timeliness of data. The DQA planning will be strengthened throughout the program cycle based on stakeholder feedback and lessons learned.

Risk: Assumptions and Mitigation

The final PMP will include assessment of critical risks that can impact program implementation and performance. The ME will implement a process together with its stakeholders to document in the final PMP a matrix of risk areas. This will include areas such as country context, human resource changes, program design, and security. Measures that will be taken to mitigate negative outcomes will also be documented in this matrix. The ME will have a strong communication network to regularly monitor the defined risk areas.

Training

A training plan will be developed based on the country level gaps analysis and other baseline information from previous evaluations. During the development of this proposal we conducted SWOT analysis in two of the six focus countries, Bangladesh and Tanzania. This preliminary analysis included assessment of capacity building needs. Further data collection from multiple sources will be conducted in order to determine training needs and to design appropriate training strategy for the SIIL.

Project Management Assessment

The final PMP will include a plan for annual research project assessments which will be done in close collaboration with the EAB and ME management team. Standardized assessments will be developed and the ME will ensure input from a wide range of actors at country level, including USAID missions. Under the leadership of the SIIL Associate Director, and together with regional coordinators and several members of the EAB will implement this process at the country level.

Management Entity Assessment

At the ME level a detailed plan for annual management performance assessments will be developed with external facilitation by the OEIE, and they will develop performance measurement tools / matrix and work with the ME team to apply these tools. The OEIE will also develop a plan for surveys to solicit objective feedback from ME clients and stakeholders which can then be used to improve performance.

Web-based Monitoring, Evaluation, and Progress Reporting Systems (MEPRS).

Background

Successful project monitoring and evaluation is often hampered by a lack of user-friendly and well-constructed data collection and reporting tools. However, building a robust system tailored to the needs of a specific project can be time and cost-prohibitive. The SIIL has contracted Piestar to provide this customized web-based monitoring, evaluation, and progress reporting system. Existing system components developed in collaboration with other funded projects will be leveraged and customized.

Project Administration Features

SIIL administrators will be able to monitor and report data in real time. The following components will aid in overall data management and project administration.

- **Award Tracking** – A basic award tracking and management module is available as of August 2015. This component can be customized and enhanced for use with the SIIL to track information related to sub-awards granted
- **Data Management** – The ability to manage data by pre-defined reporting time-frames, emulate other users, and run basic reports is already part of the system's core functionality.
- **Authorization Forms and Approvals** – The SIIL Reporting Hub allows for submitting and tracking travel and equipment requests. Authorizations are handled in the administrative module and feedback is sent automatically via email. Additionally, a travel calendar on the system's home page shows upcoming approved travel for all participants.

The screenshot shows the 'SIIL Reporting Hub' interface. On the left is a sidebar with 'Requests', 'Equipment Requests', and 'Travel Requests' (selected). The main header includes 'Impact Modules', 'Requests', 'Projects', 'Reports', 'Manage', and a user profile 'Molly'. The main content area is titled 'Add Travel Request' with a close button (X). Below the title is a paragraph of introductory text and a preauthorization requirement. A contact information line follows. The form fields include: 'Traveler Name' (filled with 'Molly McKnight'), 'Additional Travelers' (a table with 5 rows of 'Name' and 'Institution' fields), 'Departure Date' (calendar icon), 'Return Date' (calendar icon), 'Originating Country' (dropdown menu with 'United States'), and 'Visiting Countries' (text input with 'Please select...'). A note at the bottom says 'List all countries you will be visiting on this trip.'

SIIL Reporting Hub Impact Modules Requests Projects Reports Manage Molly

Requests
Equipment Requests
Travel Requests

Add Travel Request

The Sustainable Intensification Innovation Lab wants to support you in making your international travel as effective and successful as possible as well as provide any needed assistance in your communications with the USAID Mission.

Preauthorization by the Sustainable Intensification Innovation Lab management entity is required for all international travel at least three (3) weeks prior to the departure date. Please complete all fields indicated below to submit your request.

If you have any questions please contact Molly McKnight at mmcknight@ksu.edu or +1 (785) 532-3586.

Traveler Name Molly McKnight

Additional Travelers

Name	Institution

Departure Date [Calendar Icon]

Return Date [Calendar Icon]

Originating Country United States

Visiting Countries Please select...

List all countries you will be visiting on this trip.

Progress and Impact Reporting Modules

Project PI's and participants will be required to submit reports to this system at least annually. Required components within the SIIL Reporting Hub include:

- **Project Overview** –Displays project information such as the title, budget, areas of inquiry, research objectives, countries, etc. The purpose of this module is to provide a project overview and text descriptions for other communication needs.
- **Annual Operational Plan Progress** –Displays a list of project objectives and associated research results. A yes/no drop-down requests whether or not progress has been made toward each result. For each result in which the PI selects “yes”, the following four progress questions appear and must be answered:
 1. What progress did you make toward this result?
 2. What are the challenges you have encountered?
 3. What activities related to this research result need to be changed or updated, if any?
 4. Is this research result complete? [Yes / No]
- **Success Stories** – Report project success stories including country, context, change, impact, and the ability to upload supporting files.
- **Presentations & Publications** – Report presentations or publications related to work funded by SIIL.
- **Conferences & Meetings** – Report conferences or meetings organized by the PI and related to SIIL.
- **Policy / Indicator 4.5.1-24** – Report counts policy/regulation/administrative procedure with disaggregates by stage (1, 2, 3, 4, 5), country, and value chains.
- **Long-term training / Indicator 4.5.2-6** – Report counts of individuals disaggregated by sex, country of origin, value chain (sorghum, millet), graduate level (Masters, PhD) who have received USG supported long-term agricultural sector productivity or food security training.
- **Short-term training / Indicator 4.5.2-7** – Report counts of individuals who have received USG supported short-term agricultural sector productivity or food security training disaggregated by sex, country of origin, and value chain.
- **Technology transfer / Indicator 4.5.2-39** – Report counts of the number of technologies or management practices, disaggregated by phase (I, II, III), value chain, and country as defined in the indicator handbook.

These reporting modules will be tailored to SIIL project objectives. Additional reporting modules may also be added as needed.