CARPE REPORTING GUIDANCE

February 25, 2005
Revised May 6, 2005
Revised February 28, 2007
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I. Background and Introduction

The reference document "CARPE 2004 Work Plans: CTO Instructions and Guidance" dated January 12, 2004 is modified according to the instructions in this memorandum. As well as the CTO instructions in this memorandum, all CARPE reporting is consistent with the approved (January 2004) CARPE Performance Management Plan (PMP) and the Standard and Special Provisions of the CARPE Cooperative Agreements.

Working with a small "reference group" of CARPE partners, USAID organized a Performance Management Workshop with both field and headquarter partner participation in Kinshasa from February 10-12, 2005. The workshop facilitators presented and explained in detail the USAID-approved CARPE Performance Management Plan (January 2004). The "Indicator Reference Sheets" which define the indicators and specify CARPE-wide annual and life-of-program Targets were clarified during the workshop. The combination of USAID analysis of the reporting by landscape partners and the PMP workshop discussion has resulted in the changes in CARPE reporting as described in the first version of this memorandum.

Most recently, a CARPE workshop was held February 7-9, 2007 where the CARPE team presented some small updates that were necessary for CARPE reporting. Those updates are reflected in this version of the CARPE Reporting Guidance.

Summary of updates to the CARPE Work Planning and Reporting Matrix made in February 2007:

- Zipped Shapefiles must be sent to dyanggen@usaid.gov within one month of CTO email
- Reporting Guidance will be available in French on CARPE website
- SO-level reporting (not tied to tasks)
- Changes from approved workplan shown in red
- Percentages recorded semi-annually
- No comparison percentages since changes shown in red
- All zones will include zone name, zone id, and country of operation
- Budgets continue Phase IIA format of being broken down by country
- Workplans and Annual Reports are posted on partners' only section of CARPE website
- Selected MOVs will be posted on the public website with partner approval
- Narratives will have a 5,000 word count limit instead of page limit (to accommodate photos)
- Annual report will continue to include USAID-format "Success stories"

II. CARPE Reporting Goals, Tools, and Calendar

Goals of CARPE M&E

There are four main goals of the CARPE M&E system. Primarily, the CARPE M&E system ensures compliance with USG regulations on grant management (provide reference here) and allows the CTO to monitor partners' progress in implementation and identify potential problems. Beyond this basic function, the system provides the CARPE team the information necessary for making budgetary decisions for the landscape performance-based agreements. Information culled from the system is also used to communicate with other stakeholders—primarily USAID/Washington—on CARPE progress. Finally, the information generated from the CARPE system has a broader goal, to add to the body of knowledge on conservation in the Congo Basin and worldwide.

US Grant Management: Per 22 CFR 226 (check reference), xx requirements are for recipients of USG Cooperative Agreements. The suite of tools that comprise the CARPE M&E system collect and organize this information for the relevant CTO.

Performance-Based Agreements: The CARPE M&E system gathers and compiles the following information, which allow for multiple analyses of partners' performance: number and size of zones where active, benchmarks along a standardized "land-use planning continuum," means of verification for benchmarks, numbers of people trained, budgetary information broken down by zone, by activity category, and by partner. More detailed information is available within the tools themselves.

Communication with Stakeholders: In addition to the aforementioned information, the budgets can be roughly broken down by country and specific key words or issues can be singled out when needed. For example, approaches to land use plans for forest concessions or human-elephant conflict mitigation techniques. The primary communication needs for CARPE are to USAID/Washington, regional US Embassies, COMIFAC, other donors, CARPE partners, and the conservation community.

Conservation Knowledge: IUCN will use CARPE information to generate lessons learned, the CARPE monitoring tools are useful for partners to rapidly understand the approach of other landscapes, and the aggregation and harmonization of information for future use by researchers, distributed through the SOF and the CARPE website.

CARPE M&E Tools

The CARPE M&E System has a suite of powerful tools designed to gather information from partners within the following parameters:

- Respect the boundaries of the Cooperative Agreements substantial involvement, specifically focusing on the elimination of additional information requests
- Reduce the reporting burden on CARPE partners

- Generate useful information to satisfy the goals of the CARPE M&E system in an efficient manner

There are four CARPE M&E tools sent from implementing partners in the region. They are:
- *Annual Workplan:* CARPE matrix and proposed workplan budget page
- *Semi-Annual Report:* The same matrix as the CARPE approved workplan, with any changes in red font, short narrative, and expenditures to date specified in CTO memo
- *Annual Report:* The same matrix as the CARPE approved workplan, with any changes in red font, a longer narrative with success stories, and expenditures for that year of implementation
- *Means of Verification:* Documents/media sent electronically, hyperlinked to CARPE approved workplan

There are additional informative resources at CARPE's disposal, these include:

- A one-time receipt of a GIS polygon for each zone
- Information gathered on site visits, reported in the field visit template
- Ad hoc information and newsletters sent

CARPE Calendar

Per the results of the Yaoundé CARPE workshop, February 7-9, 2007, the following key dates were decided upon:

August 1st:

- Due date for the SAR of that operating year*
- Due date for the Workplan and proposed budget for that fiscal year

December 1st:

- Due date for the Annual Report of that operating year
- Due date for all of the MOV

*The SAR technical and financial performance will cover the period between Oct 1st and June 30th, three quarters of the USG fiscal year.

III. Monitoring and Work Planning Definition of Terms

The columns for the Monitoring side of the matrix are:

USAID PERFORMANCE MONITORING								
USAID PERFORMANCE INDICATOR	Zone	5 YEAR LANDSCAPE TARGET VALUE	Size (ha)	BASELINE		BENCHMARK	Size (ha)	MOV
				YEAR	VALUE	Annual Target		

USAID Performance Indicator: Include only the appropriate indicators for the reporting matrix, i.e. those that you are working towards using CARPE or match funds. For the Landscape Matrix, this will be IR 1.1 and 1.2. For the Cross-Cutters and Country Matrix, this will be selections among IR 1.32, 2.1, 2.2, and 3.2. This column provides both the definition of the Indicator, as well as the USAID program-wide target.

Zone (*Landscape Matrix only***):** The type of zone in which the partner is working. This column is applicable to IR 1.2 only, and is divided into three use zone categories,

1) **Protected Areas** or PAs
2) **Community-Based Natural Resource Management Zones** or CBNRM Zones,
3) **Extractive Resource Zones** or ERZ

as defined by the Indicator Reference Sheet. For ERZs, partners should also define in this column what type of extraction, i.e. logging concession, mining, oil concession, plantation, etc. For each zone, partners will list the following information:

- Zone name
- Zone id (from CARPE list)
- Country where zone is found

5 Year Landscape Target Value: A semi-standardized target that directly responds to the indicator's program-wide target, found in the Indicator Reference Sheet. Refer to sections III and IV for explicit detail regarding these targets.

Size (*Landscape Matrix only***):** The size, in ha, of the area that is engaged in the 5 year target.

Baseline: Should not change from the original baseline of 2003, before CARPE-funded interventions occurred. As the projects evolve in complexity, new baselines measuring the status of additional components can be added.

Year: Year when baseline was recorded

- **Value:** What is measured, quantified as much as possible. Good examples include the number of personnel, the number/frequency/distribution of patrols, legal status of a use zone, the level of development of the land management plan, the status of the strategy document or draft version of the land management plan, the legal status of the zone, existing data on threats and its quality or anything else that responds to the target.

Benchmark: The annual target, a semi-standardized tranche of the 5 year target that will be achieved during this year of funding. It should directly relate to the targets in the PMP "Indicator Reference Sheet" as listed for that specific year. The benchmark should be verifiable and auditable by the documentation produced and identified under the Means of Verification column. See section III and IV for more details.

Size (*LandscapeMatrix only***):** If the size, in ha, or area engaged in the project is different than that of the 5 year target. If it is the same, either copy the same number into this column or leave it blank.

Means of Verification (MOV): A tangible, auditable method of verifying and documenting whether the Benchmark (and ultimately the five-year target) has been achieved. The MOV is a synthesis of the tasks executed to reach that benchmark. The Means of Verification are submitted by December 1, with the Annual Report, for Benchmark Certification. See Annex I for more information.

The "right-hand side" of the matrix is for work planning, where partners relate the tasks on which they spend USG funds to the anticipated result, the CARPE benchmarks. The SO-level indicators are exempt from linking tasks to the benchmark. The columns for the work planning side of the matrix are:

ANNUAL WORKPLANNING					
Activity category	Tasks	RESPONSIBILITY		TASK PROGRESS- PERCENTAGE TO BE COMPLETED (Percentages only)	
		NGO	PERSON	June 30th	Sept 30th

Activity Category: A standardized, line-item used by USAID for grouping similar Activities for the purposes of budgeting, accounting and research. See explicit directions in Section V.

Tasks: The actions to be taken that will achieve the benchmark. These should be listed at a fine-level of detail, and should be directly related to the benchmark. For example, for IR 1.1 and 1.2, these tasks should be linked to the 'strategy document' after a land use planning process has been 'convened,' or to the 'land management plan' itself after it has been 'adopted.'

Responsibility:

- **NGO:** NGO that is responsible for this task
- **Person:** Point of contact responsible for this task. Contact information (email, telephone, address) should be listed somewhere in the excel file.

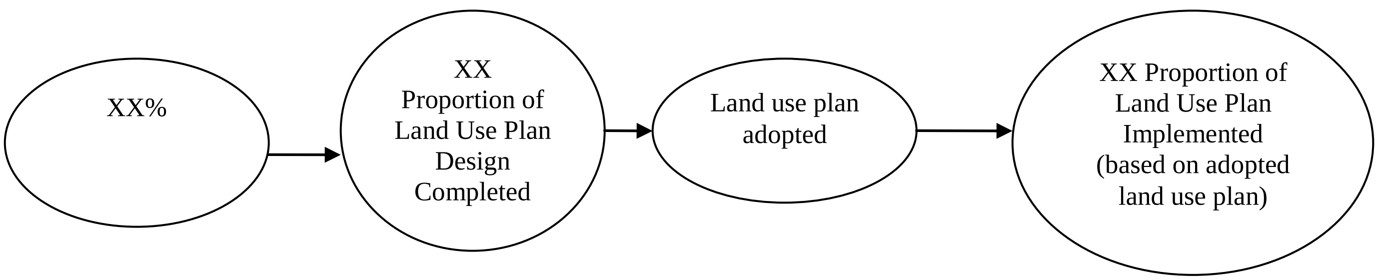
Task Progress: The task progress is estimated in percentages on a semi-annual basis, coinciding with the CARPE reporting cycle. If so desired, concise text regarding the progress of the task can be included to augment the percentages. Program-wide, standardized abbreviations for common terms are listed in Section VI, Administrative Details, and should help limit the size of text.

IV. Landscape Reporting Matrix, Monitoring Component

The Landscape Reporting Matrix has two components, as listed above in the matrix definitions. The Monitoring Component is composed of three important features: the five year target, the benchmark, and the means of verification. Please refer to the CARPE PMP for the precise definitions of these terms for each Indicator.

The PMP-defined targets for the landscape indicators, IR 1.1 and 1.2, are:

Semi-Standardized Targets for Landscape Indicators



These are the results that CARPE is trying to achieve. They are listed at the three year level, and each year one tranche or step towards achieving the three year target is listed as the benchmark.

The definition of convened was discussed during the CARPE Performance Management Workshop (PMP) Workshop in February 2005 and defined in Intermediate Result 1, Indicator 1 and Indicator 2 in the updated Performance Management Plan (revised February 24, 2005) Indicator Reference Sheets. To reiterate, a land use planning process "convened" when a "finished, written strategy document exists that plans the tasks and responsibilities necessary to produce a land use plan." The strategy document will plan for data collection, meetings with stakeholders, and other important steps needed to create a long-term, participatory land use plan for a zone or landscape. It will elaborate a specified timeframe for these steps, and after full implementation of the strategy document for the landscape there will be either a zonal plan created or the entire landscape will be macro-zoned. "Convened" does NOT mean the land use plan is being designed - it is only an assessment of what is needed in order to produce a workable, sustainable land use plan.

After the zone or landscape is convened, the partner must follow the steps of the strategy to produce the land use plan. This might take more than a year, so CARPE has created the interim benchmark of "xx% land use design phase complete." The percentage is based upon an estimate of what share of the strategy will be finished by the end of the fiscal year. If the strategy outlines a 2-year timeframe for collecting data and drafting the plan with stakeholder input, the first year's benchmark would be "50% of land use design phase complete."

USAID will verify the benchmarks by receiving a means of verification from the partner. The means of verification will include documentation or the result of *each component* of the benchmark. For example, if the benchmark is to "convene" a land planning process, the means of verification would be the actual strategy document that the partner produced.

In January 2010, a wildlife population indicator reporting template was added to the CARPE annual report reporting matrix. The purpose of this reporting template is to systematically capture all wildlife monitoring outcomes with a focus on documenting (relative) changes in wildlife populations over time. This new template can be found on the CARPE website with other matrix reporting templates at: http://carpe.umd.edu/Plone/resources/carpemgmttools . This reporting template should document past surveys and be updated with new surveys and be included with each annual report.

Key Aspects of the Wildlife Population Reporting Template:

The key figure that this template seeks to document is (relative) changes in selected wildlife indicator species populations over time. The documentation of (relative) changes in wildlife populations statistics over time should provide important insights into general trends in the status of biodiversity in the Congo Basin, a criteria for assessing the impact of the CARPE program, and monitoring feedback to support an adaptive management approach to conservation.

Because of practical and methodological difficulties of estimating absolute population numbers of wildlife species in humid dense tropical forests, most surveys will report data on signs indicators and the changes in sign indicators over time for given species at a give location in order to estimate a ***relative change*** in the underlying wildlife populations over time.

A significant proportion of wildlife surveys should be designed in order to facilitate follow up surveys that detect relative changes in populations over time. In particular, baseline surveys should clearly document the methodologies used and the area covered in order to permit a comparable future repeat survey. Dates should be programmed for repeat surveys where an initial survey has set a baseline and these dates should be completed in the wildlife population template where repeat surveys are pending.

The confidence interval of the sign or population estimate and the p-value of the relative change estimate should be provided.

An important reference for conducting wildlife population surveys with a program-wide standardized methodology is the CARPE lessons learned article "**Monitoring of Wildlife Populations : Lessons Learned from Central Africa"** which can be found at: http://cmsdata.iucn.org/downloads/lessons_learned_chapter8_case_study4.pdf

Previous SO Wildlife Indicator Reporting

CARPE partners had previously be asked to fill out SO Indicator information on the principal matrix as follows:

INDICATOR 2: Population status for selected biodiversity "indicator" species

USAID TARGET:
FYXX: Give number found within the Landscape, a section of the landscape (please define), or a density found in the Landscape or a section of the Landscape

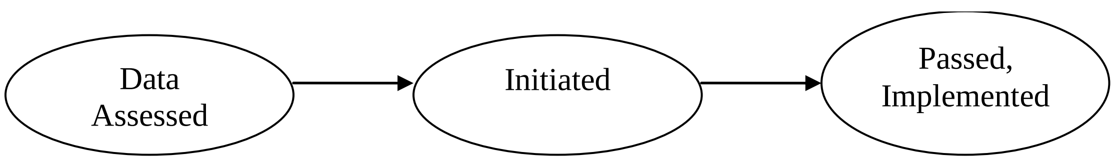
Partners will ***also*** continue to fill out this row on the principal matrix to report ***only new*** survey results. If there are no new survey results then this space can be left blank. This information is requested in both the SAR and AR matrices.

V. Cross Cutting Partners and Country-Level Reporting Matrix, Monitoring Component

The Cross Cutting Partners Reporting and the Country Matrix is homologous to the landscape matrix. This report also has two components as listed above in the Matrix Terms Definitions. The Monitoring Component is composed of three important features: the three year target, the benchmark, and the means of verification. Please refer to the CARPE PMP for the precise definitions of these terms for each Indicator.

The generic PMP-defined targets for the country indicators, IR 2.1, 2.2, and 3.2 are:

Generic Semi-Standardized Targets for Country Indicators



The targets listed above are generic versions of what is found for each indicator, 2.1, 2.2, 3.2, on the PMP Indicator Reference sheets. The specific targets are, briefly:

IR 2.1:
“identify list of new laws/policies,” “prioritize” → “Initiate a law/policy” → “pass a law/policy”

IR 2.2:
“workshop held to plan” → “initiative underway” → “initiative implemented”

IR 3.2:
“regional workshop held” → “Training” → Implemented, via “monitoring for SOF Report”

Like the Landscape indicators discussed in Section III, the benchmarks are a step or tranche towards completing the longer-range three year targets and should relate to the targets in the PMP.

VI. Activity Based Budgeting

Here we remind Partners that Activity Budgeting and Accounting is not an official, auditable financial system, but rather a CARPE convention to assist both USAID and Partners in our work planning and monitoring. The methodology is not, therefore, subject to OMB A-133 audit requirements, or to "usual accounting standards". Partners can use budgeting and accounting methods that suit their specific systems, but the precision should be sufficient for USAID to judge whether the activities being proposed are adequately funded and that the Results anticipated are commensurate with the resources provided or requested. All budgets should be for one fiscal year.

Partners will note the new format for reporting funds. Behind the reporting sheet, labeled "Reporting Matrix", there is a second sheet, "Budget Workplan." The headings look like this (there is an additional partner listed on the sheet for joint submissions):

Indicator and Zone Type	Activity Category	Total Budgeted	Total	
			USAID	Match

The goal is to list resources by **activity category** for each **indicator**, as well as subtotal for that indicator. Activity Categories are explained in detail on the following page. For IR 1.2, resources are also listed by specific **zone type**. Resources do not need to be budgeted for the SO-level indicator. The figures sum to the left; each partner lists the USAID and match resources budgeted for that fiscal year. The grey **total** area sums the **USAID** monies to each partner and each partner of the consortium's **match** monies (this should be done using the Excel "sum" function). Finally, one more summation is made of the USAID and Match funds to get the program total funds at the activity category level, the indicator level, and the IR level (all using the excel "sum" function).

CARPE Workplan proposed budget

Partner x, (country)			
USAID		MATCH	
Ant Pipeline, FYXX	Budget Request, FYXX	Ant Pipeline, FYXX	Budget Request, FYXX

For the CARPE workplan, submitted August 1st of each year, partners will estimate the USG funds that remain at the end of the USG year (September 30), the **Anticipated Pipeline**. The **Budget Request** is the amount requested for next year's budget <u>within</u> the parameters described in a memo from the CTO. The budgets should be disaggregated by partner and by country. The years refer to the fiscal year of operation. For example, activities between Oct 1, 2007 to Sept 30, 2008 would be labeled FY07; between Oct 1, 2008 and Sept 30, 2009 they are FY08; etc.

CARPE Semi-Annual Report Expenditures

Partner x, country	
USAID	**MATCH**
Expenditures between Oct 1st and June 30th	Expenditures between Oct 1st and June 30th

The amounts represented here are not cumulative. CARPE must track results against each year of funding.

CARPE Annual Report Expenditures

Partner x, country	
USAID	**MATCH**
Expenditures between Oct 1st and Sept 30th	Expenditures between Oct 1st and Sept 30th

These amounts will include the expenditures reported in the SAR, up until June 1st, and add the remaining 4 months of the USG fiscal year.

The following pages have detailed explanations and examples for the activity categories, as well as correct examples from the PMP workshop to help guide the amount of text and how to classify activities. These activity categories should be viable for all IRs.

Proposed Activity Categories:

- Data Collection/Assessment
- Stakeholder meetings/Workshops
- Training/Capacity Building
- Policy/Advocacy
- Media/Outreach/Sensitization
- Implementation Activity

Detailed Descriptions and Examples:

Data Collection/Assessment: Tasks that collect, organize, or synthesize data, particularly those that **establish baselines** for use zone. *It is important to note that some tasks are beyond the scope of work required to accomplish CARPE objectives. For example, monitoring biological data on an aggressive schedule in some cases may be linked to biological research rather than an allowable management activity that will lead to achieving CARPE results. Partners are encouraged to reflect on the level of their engagement consistent with CARPE's objectives.* All data collection should fall under this category, with the sole exception of systematic information gathering done on a regular interval (biannual, quarterly) for adaptive management for land use planning. This very specific type of data collection or **compilation** (like in a report) is used to modify the overall strategy (be it an interim land use plan or a formal, adopted land use plan) to respond to changing threats and should be listed as an *implementation activity*. For the country indicators that deal with institutions, collecting data to create draft language or to draw up a list of proposed new or reformed laws would fall under this category.
Key words: Id, Identify, Design, Survey, Establish baseline, inventory, assessment, analysis

Examples include:
- Large mammal survey
- Socioeconomic survey
- Census
- Report incorporating data gathered on or off site
- GIS mapping
- Village needs assessment
- **Assess infrastructure needs: staff, equipment, administration**
- Research Cameroon Forestry code for comparison with ROC

Stakeholder meetings/Workshops: Tasks aimed at participatory land use planning. Stakeholder meetings is rigidly defined as working with local communities, private companies, governments, NGOs, or other partners to gather input which will influence the land management plan. *Please specify the output of the meeting, how it fits in the plan to achieve the benchmark. This is true for all meetings.*
Note the important distinction between this category and the *Media/Outreach/Sensitization* category (defined explicitly below), which sensitizes or alerts stakeholders to the existence, changes, or implementation of a land management plan already in effect.
Key words: Committee, workshop, meeting (with caveat above), contact (with caveat above),
Examples include:
- Plan workshop (w/xx stakeholders) to develop management strategy
- COCOSI meeting
- Park boundary conflict resolution committees
- Identify key stakeholders and establish preliminary contact (only if plan to follow up with party and include them in participatory land management planning):
    - Establish contact with MINEF
    - Establish contact with all communities and community authorities along N-S road

Training/Capacity Building: Tasks that instruct or increase the skills of employees, or increase capacity via technical equipment or infrastructure development. *All tasks in this activity category must include 1) the number of people being trained, and 2) the type of institution training participants work for (public, private, research, NGO.) Both pieces of information are important for USAID's reporting requirements to Congress.*
Key words: Equip, construct, train
Examples include:
- Construct patrol post
- Purchase patrol boat
- Construct office building (be explicit about who will use this building—NP staff? BiNGO staff?)
- Equip bushmeat strategy (purchase goats/fishnets to exchange with guns/snares)
- Train park staff in administration and management techniques
- Train xx eco-guards
- Train xx eco-tourism staff
- Train xx people in sustainable fishing techniques
- Train 15 people in survey techniques

Policy/Advocacy: Land use planning tasks that address **local** policies, laws, and regulations with the intention of bringing about change*, as well as tasks that contribute to the language of a land management plan*. Tasks that relate to policies of national import should be reported under IR 2.1. This category includes work done with the local regulating authorities (traditional leaders and local representatives of national governments), as well as local NGO and CSO advocacy campaigns. Partners should make sure to include the name and type of institution they are working with on policy.

Key words: Recommend, Propose, Advocacy, Recognition, law, policy, legal status
Examples include:

- Encourage “lobbying” or action by local communities, other stakeholders
- Policy language suggestions:
    - Recommend standardized performance based payment system
    - Recommendations for restructuring of guard force
    - Recommendations for implementation strategy of land use regulations
    - Proposals for long-term financing plan
- Advocacy campaigns
- Local governing bodies recognition of a use zone
- Change of the legal status of a use zone (might involve national authorities, but the impact of the change should be local)

Media/Outreach/Sensitization: Tasks that aim to alert stakeholders to problems, issues, and changes of policy in their region. These tasks aim at changing behavior, and are differentiated from *Policy/Advocacy* in that it is the behavior of the stakeholder that is targeted, instead of rallying the stakeholders to push for changes from authorities. This category also differs from stakeholder meetings in that it does not seek “true” approval, consent, or input from communities, but rather informs them of activities or policies beyond their control.
Key Words: Sensitization, media, education, outreach
Examples include:

- Support TV and other national journalists to increase transparency regarding biodiversity conservation
- Sensitization program designed
- Conservation education campaign

Implementation Activity: Tasks that are components of the eventual implementation strategy. *The drafting of the land use plan’s language does not belong here, since this will eventually be recognized by the government and is better understood as “Policy/Advocacy.”* In addition, specific data gathered at regular interval (biannual, quarterly) for adaptive management and used to modify patrolling, laws/policies, or other components of the land use plan to respond to changing threats should be listed here.
Key words: See below – should be linked to strategy document, LMP, or policy
Examples include:
General:

- Undercover intelligence gathering to address changing threats

Protected Areas:

- Demarcation of borders (and maintenance)
- Patrolling
- Develop biannual law enforcement work plans in response to new information on threats

CBNRM Areas:

- Livelihoods Activities
- Health Activities

Extractive Resource Zones:

- Eco-guard patrolling

Country Indicators: Implementing an initiative implies preparation is finished and progress must be maintained. It is hoped that these initiatives will eventually become sustainable without outside funds.

VII. Narratives

The Semi-Annual Report Narrative is due August 1st. It will not exceed 1,500 words and will cover the period of performance from Oct 1st to June 30th, three quarters of the USG fiscal year. The narrative will:

- Identify and justify any change in the Benchmarks
- Assess prospects for achieving Annual Benchmarks
- Request changes in partnering arrangements, budget allocations or other work plan modifications

The Annual Report Narrative is due December 1st with the hyperlinked MOVs. It will not exceed 5,000 words and will cover the entire year of performance, from Oct 1st to Sept 30th. The narrative will:

- Highlight particularly significant accomplishments
- Explain failure to achieve approved Benchmarks
- Describe Lessons Learned
- Document variation from the approved work plan
- Describe any proposed management changes at the Landscape/segment level such as personnel, approaches, strategies, funding etc.

In addition to the Annual Report Narrative, partners are encouraged to submit Success Stories per the standard USAID guidelines. At least one success story is expected of each landscape, each year.

VIII. Administrative Conventions

This section covers three topics: Nomenclature of files, formatting of excel files, and helpful abbreviations.

Nomenclature of files
Please name Excel files and any accompanying Word files with the same names.

Please use this format for both the matrix (.xls) and the narrative (.doc):
Workplan: "*Landscape # and short name, FYXX Workplan"*
Semi-Annual Report: "*Landscape # and short name, FYXX SAR"*
Annual Report: "*Landscape # and short name, FYXX AR"*

Formatting of Excel files
Reading and reformatting your Excel files has consumed hundreds of hours of effort by CARPE staff. The Demonstration Matrices provided on the website and in CTO memos are formatted in a manner that we require for comparing, downloading, exporting the data to a database, and printing. Please maintain the format, which is explicitly described below in case excel removes the matrix formatting. Please check the files before sending to ensure that they are paginated and formatted according to this standard, and that all cells show the text inputted, particularly for the tasks. Also, please ensure that each task and MOV is entered into a separate cell. Non-standard formatted reports will be returned to the Partner without USAID review.

Formatting parameters for reporting matrix:

Page should be set to "Landscape," not portrait
Paper should be "letter" sized
All text cells should be "vertical – top" aligned
Cells should be sized to show all text (*hint: usually this can be done by double clicking the bottom part of the row)*
Text should be 8 pt font, Arial
The column headers should be set to print on each page
Matrices should be 2 pages wide (usually this means the size should be set to about 80%, though this can be tweaked slightly to get the 2 page width)
Margins should be (approximately): 0" for left and right; .5" for top and bottom, .25" for header/footer
Matrix should be centered on page horizontally (not vertically)
First page should include columns up until MOV (*hint: do not change the column widths on the demonstration matrix)*; Second page is from Activity Category to Progress.
Indicators without activities should not be included
The header should show the file name
The footer should have the "page # of #"
Pages should go "Over, then down"

Helpful Abbreviations
Please feel free to use these abbreviations in your matrix. They should help keep your text concise and fit more easily into the formatting.

alternative: alt
biological: bio
biodiversity: biodiv
community: comm
continue: cont
current: curr
develop: dev
economic: econ
education: edu
establish: est
identify: id
information: info
implement: imp

landscape: LS
land management plan: LMP
land use: LU
land use plan: LUP
natural resource: nat res
potential: pot
preliminary: prelim
project: proj
regulations: regs
review: rev
socio-economic: socio-econ
sustainable: sust

VII. Frequently Asked Questions

Below are some questions that we have received from some CARPE Partners that are still relevant in Phase IIB. We hope these FAQs will assist in clarifying some of the issues that have or we believe might arise when you are preparing CARPE reporting.

Q. Why does USAID want financial budgets annually for the Activity Categories in the work plan? Why isn't the "landscape budget" in our CARPE Cooperative Agreement sufficient?

A. According to your CARPE Cooperative Agreement, USAID must approve Annual Work Plans and budgets as part of the "substantial involvement" responsibility. In order for USAID to approve your work plans, USAID must have sufficient information to determine that the tasks and benchmarks proposed by the Landscape/Segment leader are adequate and that the USAID and Matching Cost Share Funds constitute a reasonable resource allocation to carry out the proposed tasks and to achieve the planned Results.

Q. Where can I find all of those reference documents that you say we need to complete the Semi-Annual Report?

A. The CARPE web site (http://carpe.umd.edu) has downloadable files for partners use. Most notably for reporting, these include:

- This guidance memo
- Approved Performance Management Plan with the Indicator Reference Sheets
- Matrix templates for the Workplan, Semi-Annual Report, and Annual Report
- All CARPE partner workplans and annual reports for Phase IIB (without budget page)
- Shapefile guidance

If you cannot locate needed materials, please directly e-mail the CARPE Director (joflynn@usaid.gov) with your specific request. This memo is also accompanied as e-mail attachment the following references:

Q. We have a study of illegal logging in our landscape, yet the matrix and guidance suggests that we are not to report on IR 1.3. Where do I report these activities?

A. IR 1.3's illegal logging "surveillance system" has been defined within the PMP to be at a **national** level. This captures World Resources Institute's work on the Global Forest Watch program. Landscape partners working on illegal logging monitoring should capture this in the activities toward developing a plan for the relevant zone or landscape.

IR 2.2:

Q. We have a series of international journal articles that have been published with data and staff time that were supported by CARPE or cost-share funds. Where do report these efforts?

A. It is important for implementing partners to recognize that the NGOs targeted in IR 2.2 are not international NGOs, but local NGOs, and the focus of the indicator is increasing *local* awareness of problems and local capacity to change these problems. The clippings mentioned within the "Data Quality Issues" of the Indicator Reference Sheet, as well as any plans to issue media articles, should *not* target the international community, but instead the people and policy-makers in the region.

CARPE understands that the activities performed and data collected through USAID projects are valuable to the conservation community at large, and the lessons learned can be communicated in the form of international journal articles. However, these journals should be an ancillary product of work done on the ground, and the time spent penning, editing, and submitting these articles should not be paid for by CARPE as the costs for producing these types of articles do not contribute to the targets of the CARPE Performance Management Plan.

Annex I: Means of Verification (MOV)

This Annex:

- Reiterates and emphasizes the role of MOV in the CARPE monitoring system;
- Provides guidelines for choosing appropriate MOV to update workplans;
- Details recommendations on a standardized format for itemizing and submitting future MOV;
- Provides addressee with feedback on current status of MOV submissions for FY05.

Background and Information: The CARPE Team has extensively reviewed and assessed the Means of Verification (MOV) submitted by each addressee to date. This review has demonstrated the vast amount of remarkable work being accomplished. It has also revealed high levels of inconsistency among submissions and underscores the need for further clarification on (1) the role of MOV in the USAID Strategic Performance Monitoring System and (2) USAID's expectations as they pertain to future designation of MOV and the submission format for MOV.

By providing more detailed guidelines, USAID aims to increase MOV consistency, enhance the function of MOV, and minimize the management burden on both partners and the CARPE Team. USAID understands that final submissions for MOV pertaining to FY05 are due November 1, 2005. At this point, the designation of FY05 MOV is complete and we will continue working to accommodate submissions in diverse formats. However, it is our intention that these guidelines will help refine ongoing submissions and, more importantly, provide direction for updates to FY06 workplans and future MOV submissions.

Review of the Role of Means of Verification: The ongoing review of FY05 MOV has revealed inconsistencies between MOV submissions and the objective of MOV within the USAID Strategic Performance Monitoring System. In the circumstance that these inconsistencies result from a lack of clarity in the definition of the term, the following explanation is included to help improve understanding of the role of MOV.

MOV are defined as "a tangible, auditable method of verifying and documenting whether the Benchmark (and ultimately the three-year target) has been achieved" (28 February, 2005 CARPE Memorandum). It is worthwhile noting that, as defined, MOV are directly concerned with assessing benchmarks and not individual activity categories or tasks. The primary intent of MOV is to serve as status indicators that tangibly demonstrate how the cumulative results of tasks correlate with annual benchmarks. MOV are not used for financial or detailed activity auditing, but rather for the monitoring of achievements.

In order to reduce the reporting burden on partners, USAID also uses MOV as broad activity indicators for USAID reporting requirements to congress and for wide-ranging outreach. These are secondary purposes for MOV and their impact on submission requirements is explained in further detail under the guideline's section "Designating Appropriate MOV".

MOV Guidelines:

Purpose: USAID recognizes that a lack of uniformity in the interpretation of the term MOV and confusion over what constitutes an appropriate MOV has resulted in highly variable submissions. In many cases, submitted MOV correspond suitably to designated MOV and annual benchmarks. However, we have also received copious MOV that are not listed in the monitoring matrix and have minimal use as status indicators. In order to assure MOV fulfill their objective and increase management efficiency for all partners, CARPE has developed more precise guidelines for designating and submitting appropriate MOV.

I. Designating Appropriate MOV: The following recommendations are intended to help partners designate concise and effective lists of MOV.

- Remember the primary purpose of MOV is to assess annual benchmarks, not audit partner activities. USAID does not require MOV for every activity task. We suggest that partners designate MOV by reviewing benchmarks and identifying the most relevant deliverables for that particular benchmark. Try to avoid 'catch all' phrases, such as documents, reports, and photos". In order to facilitate tracking of MOV by partners and USAID, each individual MOV should be contained within an individual cell in the Excel spreadsheet (see Submission Format).
- When feasible, MOV should be 'higher' level documents. The following is a simple table of suggested vs. not useful types of documents for assessing benchmarks.

Suggested*	Not Useful
Strategic Documents	Detailed proof of implementation activities, including:
Signed/Draft Agreements/Accords	Individual mission reports if a compiled report exists
Management Plans	Attendance sheets
Business Plans	Sample Data Sheets
Monitoring Plan/Report	Narrative Texts
Map Products/ Geospatial Information	Questionnaires
Finalized/preliminary reports	Invitations
Photographs (capacity building, trainings)	ToRs
Information on stakeholder mtgs that result in a consensus that demonstrates achievement toward the benchmark	Meeting minutes, general
Training Photos with caption and credit, or Training protocols the development of which shows progress toward the benchmark	Training Reports
Tourism Plan	Numerous MoM
Education Plan with notation to demonstrate achievements to date	Guard patrol logs
Final education/media products	Receipts
	Construction Contracts
	Numerous mission reports
Tabular information on # of EE missions, # of participants, principle topics addressed, only if this clearly demonstrates the higher level benchmark	
Key developments	
Enforcement/Patrol Plan	

Tabular information on encounter rates for infractions, % pursued, % convicted

Compiled patrol reports

Compiled source data

* Note: once the indicators for the State of the Forest Report are finalized, CARPE will re-evaluate the potential for MOV to contribute to the information management necessary for long-term monitoring and will transmit any additional data reporting requirements to all addressees.

- Once the planning process has been convened and managers are following a strategy document, we imagine the strategy document will demonstrate the status of activities and their relevance to broader land use planning benchmarks. At that point, we anticipate a strategy document with notation of progress to date as the primary MOV for most benchmarks.
- It is important that designated MOV are realistic and can be presented in the form of a deliverable within the expected dates. For example, it is unlikely that finalized reports for data collection will be available within the same fiscal year. It may be more practical to list a progress report or demonstrate progress within a strategic document.
- For USAID reporting requirements and outreach, it remains important to highlight success stories within the AR narrative.
- In addition, USAID requires specific tabular information regarding trainings and workshops. This information should be included in training reports and include: type of training, number/hours of training sessions, number of people trained (aggregated by sex), and the broad sector affiliation of each participant (ex. university student, government employee, private sector employee, etc.).

II. Submission Format: The following recommendations are intended to facilitate tracking and access of MOV by all partners and USAID. They are designed to increase uniformity among MOV submission formats and are in accordance with formats suggested and already utilized by several partners.

Steps for submitting MOV:

1) Enumerate and separate MOV in monitoring matrices. MOV listed in matrices should be separated and enumerated according to benchmarks or zones. Each MOV should be contained within its own cell in the Excel spreadsheet (as demonstrated in MOV status matrix attached at the end of this e-mail). Each MOV should also define how many CARPE can expect to receive, and the anticipated title of the document or some other type of identifier so that the CARPE team can easily link the MOV to benchmark when it is submitted.

2) In accordance with the format proposed and utilized by multiple partners, CARPE recommends that MOV be submitted as a hyperlink to the designated MOV in the monitoring matrix. Hyperlinking MOV is significant as it will help to refine submissions and provides the most direct means of organizing, tracking, and auditing submissions.

Bear in mind, MOV submitted to USAID should correspond as closely as possible with MOV detailed in the monitoring matrix. Submitting numerous additional MOV increases the burden on you and the CARPE Team and does little to demonstrate benchmarks.

3) All documents and the matrix should then be burned on to a CD and submitted as electronic files. In the exceptional case where electronic copies are not available or data formats are incompatible with these steps, USAID will continue to accept well organized MOV submitted in alternative formats.

Submission Deadlines: The submission dates for MOV is December 1st. In order to fulfill reporting requirements and make budget decisions, USAID requests that all available MOV be submitted with the Annual Report.