CARPE REPORTING GUIDANCE

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I. Background and Introduction

Purpose of CARPE Reporting: CARPE Reporting will:

- Allow CARPE Partners and USAID to assess progress toward the Annual Benchmarks.
- Generate data for USAID reports such as Congo Basin Forest Partnership Presidential Initiative On-Line Tracking (OPIN), Global Climate Change, Biodiversity/Tropical Forestry, Presidential Initiative Against Illegal Logging etc.

II. Monitoring and Work Planning Definition of Terms

The columns for the Monitoring side of the matrix are:

USAID PERFORMANCE MONITORING								
USAID PERFORMANCE INDICATOR	Zone	FY11 TARGET	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 IR 1.2. This column provides both the definition of the Indicator, as well as the USAID program-wide target.

Zone*:* 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.

FY11 Target: The 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 will be engaged in the FY11 target.

Baseline:

- **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 standardized slice of the FY11 target, which 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: The size, in ha, or area engaged in the project this year for each benchmark.

Means of Verification (MOV): A tangible, auditable method of verifying and documenting whether the Benchmark (and ultimately the three-year target) has been achieved. The MOV is a synthesis of the tasks executed to reach that benchmark. It could consist of: For a convened zone, a zone's strategy document that describes how the Partner will create a land use plan. For a zone that has begun designing the land use plan, it would include the already-completed strategy document with a notation indicating what proportion of the elements of the strategy has been completed (half, one third, all, etc.) as well as the products of that work The work products could include meeting minutes, workshop outputs, survey results, draft language for laws/politics, media clippings, preliminary approval documents, copy of language posted in a circular, training materials, or outputs of technical training. For zones seeking approval, it would include the plan and the appropriate governing body's (likely the appropriate government level) approval. For a zone that is implementing a plan, the means of verification would include products of the implementation like patrol sheets and data generated from patrols, meeting minutes, etc. The Means of Verification documentation will be submitted with the Annual Report.

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	FY0X Q1	FY0X Q2	FY0X Q3	FY0X Q4

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: Organization that is responsible for this task
Person: Point of contact responsible for this task. Each person listed in this column should make sure that USAID has their contact information (email, telephone, address).

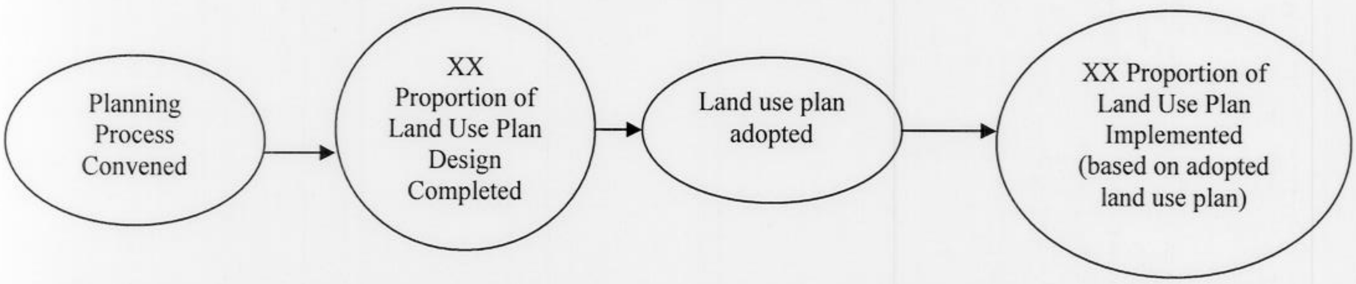
Task Progress: Given in percentages, this section of the matrix will be different for each component of the reporting cycle, Workplan, Semi-Annual Report, and Annual Report. For the Semi-Annual Report and Annual Report, there will be very limited room for the percentage completed and concise text regarding the progress of the task, if it is difficult to give in percentages (binary or needs a brief explanation).

III. 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 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 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 is defined in Intermediate Result 1, Indicator 1 and Indicator 2 in the CARPE Performance Management Plan Indicator Reference Sheets. To reiterate, a land use planning process is "convened" when a "finished, written strategy exists that plans the tasks and responsibilities necessary to produce a land use plan." As described in the USFS guidelines, the strategy 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 there will be either a zonal plan created or the entire landscape will be macro-zoned.

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.

Another important example: The partner may already have a 'strategy document' that describes what, when, and how they will create their land use plan. Their benchmark (the result they are trying to achieve) is to "complete a *specified* portion of the land use plan design phase." This specified portion is verifiable because it is based on specific tasks that are itemized and budgeted in the strategy document. These specific tasks are listed in the "tasks" section of the work planning side of the matrix, and organized by Activity Category (see section V). When the partner sends in their 'benchmark certification,' they will submit the documentation that supports and verifies all of the steps listed in that strategy document. This documentation *does not* require additional work or reporting—it requires only that the partner send the end-product to USAID for the official CARPE files. This could include meeting minutes, photos of equipment purchased, language for a land use plan, survey results, maps, etc.

IV. Activity Based Budgeting

The CARPE matrix is a tool used for internal management, and should record the tasks that are being funded with USAID and designated Partner Cost Share/Matching CARPE funds. Explicit examples are included in the section "Detailed Descriptions and Examples" below.

The tasks listed for each benchmark should be at a fine level of detail. They should not a summary of the Activity Category. For example, under the category *Training/Capacity Building*, the task **should not** be listed as "CSO Capacity Building Activities." Instead, it should list specifically how the capacity building will be accomplished, i.e. technical support given to the CSO, specific type of training given to xx members (disaggregated by gender) of the CSO, a structure built and equipped for the CSO headquarters, etc. Also, all tasks should find a balance between specific detail and concision. The task does not necessarily have to justify itself in the cell (this should be done in the strategy document).

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 all four quarters of the United States Government's fiscal year.*

Behind the reporting sheet, labeled "Reporting Matrix", there is a second sheet, "Budget Workplan." The headings look like this (there will be additional partners listed on the sheet to allow consortia to break out individual costs):

Indicator and Zone Type	Activity Category	Total Budgeted	Total		Partner 1	
			USAID	Match	USAID	MATCH

The goal is to list your resources by **activity category** for each **indicator**, as well as subtotal for that indicator. For IR 1.2, you will list them by specific **zone type**, but you need not to disaggregate further by each zone within that zone type. The figures sum to the left; each partner lists the USAID and match resources requested. The grey **total** area sums each partner of the consortia's **USAID** monies and **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).

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

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, disaggregated by gender, 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.

V. Administration Conventions

Formatting of Excel files

The Demonstration Matrices provided are formatted in the manner required for comparing, downloading and printing. Please maintain the format, which is explicitly described below in the event that 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 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"

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 work plans;
- Provides guidelines on a standardized format for itemizing and submitting MOV;

Background and Information: 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.

Review of the Role of Means of Verification: MOV are defined as "a tangible, auditable method of verifying and documenting whether the Benchmark (and ultimately the three-year target) has been achieved." 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:

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

- 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 Reports
Training protocols the development of which shows progress toward the benchmark	
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	

- 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.
- 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 (disaggregated 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: 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.

Submission Deadlines: The submission dates for MOV will remain as previously stipulated. In order to fulfill reporting requirements and make budget decisions, USAID requests that all available MOV be submitted with the Annual Report. However, USAID recognizes that this deadline may be premature for the types of MOV we require and will continue to expect that all MOV listed in the monitoring matrix be submitted by the first of November each year.