



MONITORING & EVALUATION

IPTT Guidelines

**Guidelines and Tools for the
Preparation and Use of Indicator
Performance Tracking Tables**

by Della E. McMillan
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Since 1943, Catholic Relief Services (CRS) has held the privilege of serving the poor and disadvantaged overseas. Without regard to race, creed, or nationality, CRS provides emergency relief in the wake of natural and manmade disasters. Through development projects in fields such as education, peace and justice, agriculture, microfinance, health and HIV/AIDS, CRS works to uphold human dignity and promote better standards of living. CRS also works throughout the United States to expand the knowledge and action of Catholics and others interested in issues of international peace and justice. Our programs and resources respond to the U.S. Bishops' call to live in solidarity—as one human family—across borders, over oceans, and through differences in language, culture and economic condition.

The American Red Cross helps vulnerable people around the world prevent, prepare for, and respond to disasters, complex humanitarian emergencies, and life-threatening health conditions through global initiatives and community-based programs. With a focus on global health, disaster preparedness and response, restoring family links, and the dissemination of international humanitarian law, the American Red Cross provides rapid, effective, and large-scale humanitarian assistance to those in need. To achieve our goals, the American Red Cross works with our partners in the International Red Cross and Red Crescent Movement and other international relief and development agencies to build local capacities, mobilize and empower communities, and establish partnerships. Our largest program is currently the Tsunami Recovery Program, which is improving community health and preventing disease outbreaks, supporting communities as they rebuild their lives and reestablish their livelihoods, and helping affected Red Cross and Red Crescent Societies and their communities develop disaster preparedness capabilities.

Published in 2008 by:

Catholic Relief Services
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Baltimore, MD 21201-3413
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This module was produced by CRS and the American Red Cross with financial support from the United States Agency for International Development (USAID) Food for Peace (FFP) grants: CRS Institutional Capacity Building Grant (AFP-A-00-03-00015-00) and American Red Cross Institutional Capacity Building Grant (AFP-A-00-00007-00). The views expressed in this document are those of the author and do not necessarily represent those of the USAID or FFP.

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Preface

Monitoring and evaluation (M&E) are core responsibilities of American Red Cross and Catholic Relief Services (CRS) program managers and help ensure quality in our programming. The *IPTT Guidelines* module is one in a series of M&E training and capacity-building modules that the American Red Cross and CRS have agreed to collaborate on under their respective Institutional Capacity Building Grants. These modules are designed to respond to field-identified needs for specific guidance and tools that did not appear to be available in existing publications. Although examples in the modules focus on Title II programming, the guidance and tools provided have value beyond the food-security realm.

Our intention in writing the *IPTT Guidelines* module was to help readers get the most out of their routine M&E data by displaying it in an indicator tracking table. Many donors now recommend—or require—that these data be reported in a tracking table format. Yet the guidance on how these tables should be formatted and when they should be updated or modified has been minimal. This module offers a user-friendly resource that can help field teams better understand the preparation and use of an IPTT over the project life cycle. It helps orient staff to basic guidance and gives tips on how to avoid and resolve common problems that can emerge during project design and routine reporting, as well as during mid-term and final evaluations.

Different agencies have different names for tracking tables. This particular module focuses on the design and use of the tracking table that the United States Agency for International Development (USAID) requires for its Title II food security projects, the Indicator Performance Tracking Table or IPTT. Although the module focuses specifically on the Title II IPTT, its general principles can be applied to other types of donor-funded programs.

Please send any comments or suggestions for this module to m&efeedback@crs.org.

Recommended citation: McMillan, Della E., Guy Sharrock, and Alice Willard. 2008. “IPTT Guidelines: Guidelines and Tools for the Preparation and Use of Indicator Performance Tracking Tables.” American Red Cross/CRS M&E Module Series. American Red Cross and CRS, Washington, DC and Baltimore, MD.

Acknowledgements

We wish to acknowledge the contribution of Gilles Bergeron and Victoria Michener of the Food and Nutrition Technical Assistance (FANTA) Project in providing insights into critical FANTA resources that practitioners can consult when developing their IPTTs and for reviewing several drafts of this module. We also wish to thank Bill Feibig (Save the Children/USA), Jim Rugh (formerly with CARE), and Harold Tarver (Africare) for reviewing drafts and providing information on key references that were incorporated into this module. Finally we would like to acknowledge the role of Leah A. J. Cohen, consultant, in preparing [annex I](#) on background references and working with Della McMillan on the first draft. Finally, we would like to acknowledge the work of Dina Towbin (consultant) and Tracy Hightower (formerly with American Red Cross/Washington), whose editorial work helped to shepherd the document through its final stages, and Joe Schultz (CRS) and Jeanne Ivy, who were responsible for the graphic design work.

Acronyms

AIDS	Acquired Immune Deficiency Syndrome
CRS	Catholic Relief Services
CS	Cooperating Sponsor (Title II PVO partner)
CSHGP	Child Survival and Health Grants Program
CSR2	Cooperating Sponsor Results Request or Cooperating Sponsor Resource Request <i>(when USAID/FFP required a combined submission it was referred to as the CSR4 or Cooperating Sponsor Results Report and Resource Request)</i>
DAP	Development Assistance Program
DIP	Detailed Implementation Plan
EM	Evaluation management team or evaluation manager
FANTA	Food and Nutrition Technical Assistance Project
FFP	Food for Peace
FSCCI	Food Security Community Capacity Index
FSIN	Food Security Initiative in Niger
FY	Fiscal year
HDDS	Household Dietary Diversity Score
HQ	Headquarters
IPTT	Indicator performance tracking table
IR	Intermediate result
LOA	Life of activity
M&E	Monitoring and evaluation
MAHFP	Months of Adequate Household Food Provisioning
MYAP	Multi-Year Assistance Program, <i>formerly Development Assistance Program</i>
PMP	Performance management plan
PVO	Private voluntary organization
SAVE USA	Save the Children
SO	Strategic objective
SOW	Scope of work
USAID	United States Agency for International Development

Executive Summary

The IPTT can be used to help staff and partners understand better how the project's M&E data are being used to inform project management and reporting.

Understanding the IPTT

As a result of the United States Agency for International Development's (USAID's) shift to results-based reporting, Title II programs must now report on performance indicators. The official Title II guidance for emergency and non-emergency food aid programs requires that project impacts be presented in the form of an indicator performance tracking table (IPTT). To facilitate cross-referencing between years and between projects, the USAID/Office of Food for Peace (FFP) requires projects to use a standard format that is described in the Title II proposal guidance. A similar model is recommended for the USAID Child Survival and Health Grants Program (CSHGP) and many other donor agencies.

The IPTT is just one, albeit important, element of a comprehensive monitoring and evaluation (M&E) system. The IPTT distills the project's information into a short concise table format. It shows where the project stands with regard to its original and revised indicators and shows progress achieved towards the indicator targets. The IPTT can be used to help staff and partners understand better how the project's M&E data are being used to inform project management and reporting. This, in turn, facilitates donor supervision and reporting. The IPTT is a living document that is regularly updated.

Developing the IPTT

Following the standard format recommended by USAID/FFP in the annual update of its Multi-Year Assistance Program (MYAP) guidance, a draft IPTT is developed and submitted with the project proposal. This same proposal is usually attached to the signed contract between USAID/FFP and the private voluntary organization (PVO) cooperating sponsor (CS), as it details what the PVO is contractually obliged to accomplish. To facilitate comparative reporting, USAID recommends that grant recipients incorporate a number of standardized indicators into the tracking tables.

This module outlines a 7-step process that will help orient staff to various opportunities to use the IPTT more effectively over the project life cycle by helping them understand the following (see table 1 below):

- Why the IPTT is important at each stage in the project implementation and reporting cycle
- What types of best practice guidance and examples should be consulted when using the IPTT at specific phases in the project cycle
- Who is authorized to update and revise the IPTT, as well as when and where the IPTT should be revised.

Each step concludes with a series of recommendations about how project staff can anticipate and respond to special challenges.

Although project IPTT changes are often essential, given the large number of standard project documents, it is important that any revisions be approved and thoroughly documented.¹ The Title II program includes a built-in process for indicator and target review and revisions after completion of the project baseline survey and of the project mid-term evaluation.

Summary Rules of Thumb

This section presents a short list of informal guidelines for IPTT preparation and use that the co-authors have gleaned from practical application of IPTT design and use in various projects.

Tools

Useful tools and references are described in the annexes, including a section on the special challenges associated with consortia (see [annex VIII](#)).

¹ To avoid an excessive number of changes to a project IPTT, a strong emphasis is placed on the IPTT's initial design.

Table 1. Recommended Steps and Responsibilities for the Preparation and Use of a Title II IPTT

Step	Activity	In-Country Staff Support			Outside Technical Support		
		Technical Staff/Project Design team	M&E Specialist	Design or Project Manager	CS HQ	FANTA ²	Consultant
1	Basic donor and CS-specific guidance clarified		X	X	X	X	
2	Draft IPTT developed and included in project proposal (based on needs assessment and standard guidance gathered in Step 1)	X	X	X	X	X	
3	IPTT, Indicator Plan Table, and M&E Plan revised based on results of baseline survey	X	X	X	X	X	
4	IPTT updated as part of routine reporting to donor and partners (FY01 & FY02)	X	X	X			
5	IPTT updated, reviewed, and revised in connection with mid-term evaluation and (if appropriate) survey	X	X	X		X	
6	IPTT and project response to mid-term evaluation recommendations updated as part of routine reporting to donor and partners	X	X	X			
7	Final updating of IPTT based on results of final survey and use of IPTT data to assess results and project impact during final evaluation	X	X	X			X

2 The USAID/FFP-funded FANTA Project office provides technical support to Title II PVO Cooperating Sponsors in the design and execution of their M&E systems.

Purpose of the Module

This module offers a user-friendly resource to help field teams better understand how to prepare, use, and update the IPTT over the project life cycle.

The official Title II guidance for emergency and non-emergency programs requires that the impacts of these programs be presented in an indicator performance tracking table (IPTT). The IPTT is central to all design, M&E, and reporting of Title II programs. To date, however, there has been little formal guidance developed concerning the formulation of the IPTT table or its cross-cutting utility as a management tool. Many of the rules to modify and update the generic IPTT format that USAID/FFP recommends are only learned through direct communication with the donor or from experienced implementation teams. As a result, it is very easy for projects to make errors on the IPTT. If these errors are repeated throughout the project lifecycle, the costs can be enormous, as funding depends on the results contained in the IPTT.

This module offers a user-friendly resource to help field teams better understand how to prepare, use, and update the IPTT over the project life cycle. Since the use and tracking of formal indicators is widespread, this module will also be useful to individuals who design, manage, and evaluate other types of donor- and privately-funded projects. The module is divided into three sections that provide a brief overview of some key issues for the project staff and headquarters and regional staff who supervise these projects.

Section 1

Explains the basic IPTT structure and format and why USAID wants PVOs to incorporate this type of standardized reporting format into their project designs and M&E systems

Section 2

Outlines a 7-step approach to the development and use of an IPTT over the project life cycle and discusses when and how an IPTT can be modified

Section 3

Provides a brief summary of the guidelines or rules of thumb gleaned from the experience of the co-authors for IPTT development and use, including some red flags that experienced PVO supervisors, consultants, and USAID officials often use to alert them to potential problems

Annex I

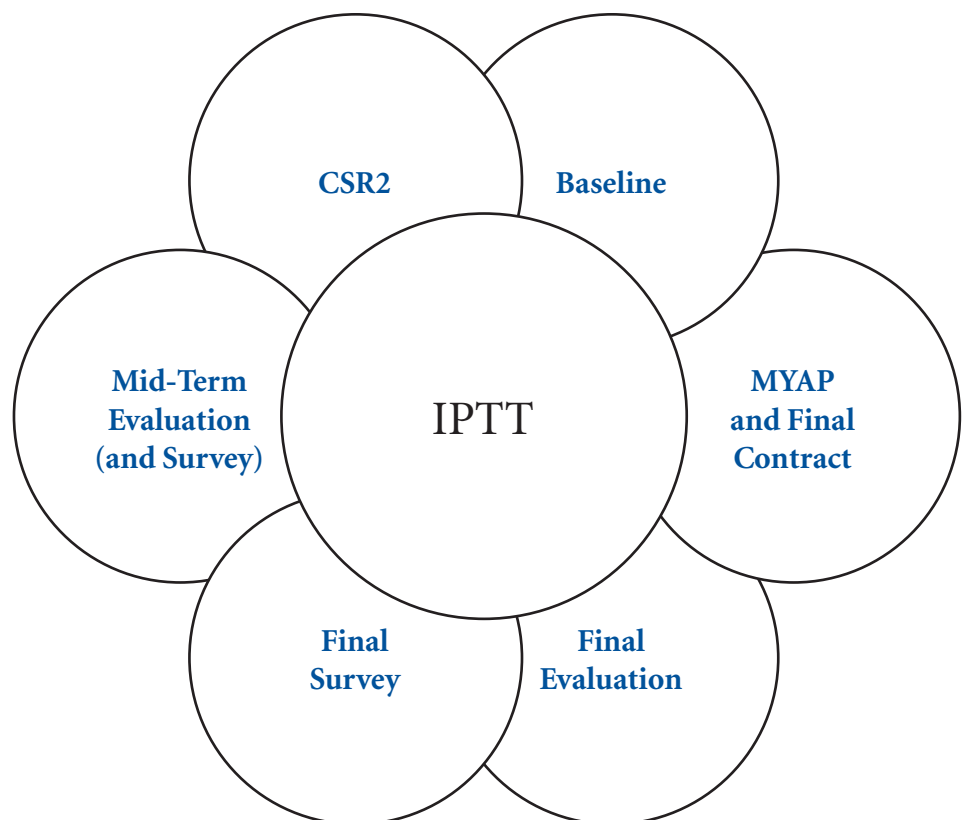
Describes the references cited in the text and a list of summary what to do and what to avoid in IPTT preparation and use

Annex II

Presents an annotated list of Web sites and references that projects can consult for additional assistance

Annexes III–VIII

Presents tools to assist in IPTT development and use



Understanding the IPTT

An IPTT provides a simple standardized way of presenting M&E project data; the IPTT is the table used to track, document, and display indicator performance data.

What is the IPTT?

The IPTT is one, albeit important, element of a comprehensive M&E system. Following USAID's shift to results-based programming, Title II programs were required to report on project impacts and on their progress implementing the activities in their work plan. Each project had to identify performance indicators that could be used to assess progress against a specific completion target (see [annex II](#) for current Title II guidance).

USAID specifies two types of performance indicators, as follows:

- **An impact indicator** measures the project's achievement of the desired impact of a project sub-component—such as the percentage of children classified as stunted or wasted.³
- **A monitoring indicator** measures progress in implementing an activity—such as the number of people enrolled in a growth monitoring program. In general, monitoring indicators are measured more frequently than impact indicators. Many of the impact indicators are now found only on the surveys administered at baseline and endline of the project cycle.

An IPTT provides a simple standardized way of presenting M&E project data; the IPTT is the table used to track, document, and display indicator performance data. Although individual donors may specify the format they want projects to use, most tracking tables include all or some portion of the critical elements that are found in a Title II project IPTT. As detailed in table 2 below, these elements include the following:

- A list of all official project impact and monitoring indicators in column 1
- Baseline measurements of these indicators (i.e., measurements of these indicators before the project started or during the first year) in column 2

³ The USAID/FFP guidelines for MYAPs include a very good concise explanation (two paragraphs) of Results, Performance Indicators and Targets that should be required reading for every Title II staff member. Once staff understand the official guidance, the M&E supervisor can consult other resources for tips on training staff in how to develop objectives and indicators that are SMART (specific, measurable, achievable, relevant, and time-bound). General resources include: Mercy Corps (2005, pp. 14-24); Stetson, Sharrock and Hahn (2004, pp. 108-116); and Gosling and Edwards (1995, pp. 80-87, 338).



- And under each project year (columns for years 1–5):
 - The first (“Exp”) column presents the targets the project hopes to achieve for specific indicators over the lifetime of the project (e.g., Year 1-5)
 - The second (“Act”) column presents achievement indicating actual project progress towards targets (measured annually for monitoring indicators and at mid-term or in the final year of the project for impact indicators)
 - The final (“Ratio”) column compares the percentage of achievement in a given year against the target (e.g., 100% if the project target was fully achieved, 75% if only three-quarters of the target was met, or 125% if the project achieved 25% more than was originally expected).

IPTT Notes

1. Calculating the ratio data: if you expect a decrease in the indicator (e.g., percentage of children with low weight-for height), the column is expected/actual (E/A); if you expect an increase (e.g., percentage of mothers exclusively breastfeeding), the column is A/E. Note that this does not take into account the baseline and therefore does not give information on the amount of progress that is made toward an indicator target. However, USAID’s current expectation is to report only E/A or A/E, depending on the direction of the expected change.
2. The project needs to report on annual monitoring indicators each year, while impact and outcome indicators are only to be reported on in certain years as determined by the Cooperating Sponsor (CS), under the CS’s M&E plans. If the CS adjusts indicators or targets (for example, if targets are set too high or low), a clear explanation should be provided. Explicit FFP approval is required for decreases in the scale of targets. The CS should provide explanations in its annual results report submission and clearly identify proposed indicators and target adjustments in the report narrative and cover page.
3. Clearly specify the fiscal year being reported, (e.g., FY09), as well as the CS name, country, and page numbers on each page of the IPTT.
4. Programs implementing activities to improve health, nutrition, and hygiene behaviors should define the behaviors being measured, such as improved personal, food, water, and environmental hygiene.

Table 2. USAID/FFP Recommended IPTT Format

INDICATOR	Base Line	YEAR 1			YEAR 2 Mid Term Evaluation			YEAR 3			YEAR 4 Final Evaluation			YEAR 5		
		Exp	Act	Ratio	Exp	Act	Ratio	Exp	Act	Ratio	Exp	Act	Ratio	Exp	Act	Ratio
Impacts (Data only available for Baseline, Mid-Term and Final Evaluation Years)																
Maize yields (kg/ha)	850				1275	900	71%				1,700	1,400	88%			
Outcomes (Data only available for Baseline, Mid-Term and Final Evaluation Years)																
% farmers scoring at least 3 on Improved Practices Score Index	12%				60%	15%	25%				80%	82%	102%			
% of farmers' plots where improved maize practices were adopted	7%				60%	65%	108%				75%	60%	80%			
Repayment rate among agricultural credit borrowers	75%				85%	91%	107%				95%	97%	102%			
Outputs (Data available yearly)																
Number of farmers trained in Maize Improved Practices	0	400	485	121%	500	620	124%	600	630	105%	600	591	98%	600	650	108%
Number of model farmers completing course	0	25	25	100%	20	25	125%	20	20	100%	20	20	100%	20	20	100%
Number of farmers completing credit applications	0	400	185	46%	500	210	42%	600	430	72%	600	520	67%	600	550	92%

Sources: USAID Office of Food for Peace/FANTA, M&E Workshop, August 2007; Personal Communication with Alison Tamilowicz Torres, FANTA project, August 2008.

Note: Exp = expected; Act = actual.

The IPTT's Pivotal Role in Title II Project Documentation

The IPTT's pivotal role in Title II project design, reporting, and evaluation should help all involved in achieving their objectives.

The first step in developing the IPTT is to review the project documents that USAID/FFP requires from each project. These documents all contain an IPTT. Each document has a slightly different purpose, containing either a copy of or providing data for revisions of the IPTT. Specifically:

- A **draft IPTT** is presented in the project proposal or MYAP.
- **The baseline survey** is designed to provide baseline measures and to contribute to the development of targets for the project's chosen indicators.
- Based on the baseline survey results, **the M&E plan** shows how the project proposes to calculate the different indicators presented in the IPTT (including data collection and analysis methods).
- The **first and second year Cooperating Sponsor Results Report (CSR2)** show how the project is progressing, based on monitoring indicators tracked in the IPTT and other qualitative evidence for project level effects.
- When a **mid-term survey** is conducted,⁴ it is used to determine whether the methods used to measure project impact and the monitoring indicators are appropriate, the likelihood of the project achieving its original targets, and the need to adjust original targets upward or downward.
- Although **third and fourth year CSR2s** use the same guidance as the first and second year CSR2s, they are expected to also report in the M&E section on how the project is responding to recommendations from the mid-term evaluation on problem areas in the project monitoring and impact indicator values or calculation methods.
- The **quantitative final survey** is used to determine final measures for impact indicators that are then added to the IPTT, providing the basis for:
 - The final external project evaluation
 - The final annual report (CSR2) to USAID/FFP.

The IPTT's pivotal role in Title II project design, reporting, and evaluation should help all involved—project management, partners, as well as funding agencies—in achieving their objectives.

⁴ Although no longer required, a small, focused quantitative mid-term survey is still used by many Title II programs to determine the mid-term measurements of the project's major impact indicators. This is especially important when projects are executed by a consortium.

IPTT: Project Perspectives

The IPTT Provides a simple system for managing and tracking indicators.

The IPTT benefits the PVO in several ways, namely it:

- Provides a simple system for managing and tracking indicators
- Clearly outlines to key government partners and community organizations the project objectives and ways of assessing achievement so as to enhance their understanding of the project structure and why it cannot respond to new issues and intervene in areas outside the official project areas (see box 1)
- Focuses the evaluation on impact indicators rather than the implementation of categories or specific activities so project managers can adjust activities if they do not appear to be adding up to the desired impact
- Clarifies the PVO's contractual and reporting obligations to the donor and to local PVO and government partners; this, in turn, helps facilitate collaboration within a project area
- Provides a means of resisting local government or donor (USAID/FFP) requests to achieve additional results using the same resources.

Box 1. IPTT's Role in Clarifying PVO Obligations to the Donor

To prepare its staff for a mid-term evaluation and build their overall M&E capacity, the Africare headquarters office dispatched a consultant to Goundam, Mali. Staff meetings to prepare for the evaluation were disrupted by several notes calling the project manager to the prefect's (chief provincial administrative officer's) office for a meeting. As the only PVO program still active in the region at the time, the prefect looked to Africare whenever there was an emergency. His concern at the time was to improve one of the roads within Goundam town that was prone to flooding. The tone and urgency of the requests escalated to the point that the project manager and her administrative officer were officially convoked to the administrator's office. The consultant accompanied them to the meeting to better understand what was going on. As it turned out, the team arrived at the meeting with two extra copies of the IPTT. When it was clear that the administrative officer thought that the staff either did not understand the road problem or was intentionally blocking it, the project manager and consultant used the IPTT to illustrate the following three major points.

1. Africare had signed an agreement with the U.S. government to conduct a project with three main objectives and a specific set of indicators to guide project activities.
2. If Africare attempted to add the roads component to their contract, they would not have been able to achieve the three agreed-on objectives to the contract specifications (i.e., the IPTT).
3. If the three contracted objectives were inadequately addressed due to undertaking an additional activity on roads, the external evaluator representing USAID would declare the project a failure and they might not be awarded grants in the future.

The chief provincial administrative officer agreed that adding in the roads component would not be in the project's best interest or in the interest of future development activities in the area. The next day, the chief provincial administrative officer and one of his assistants came to the Africare office unannounced to express their gratitude to the project manager and consultant. The external evaluator, who arrived a month later, was surprised at how knowledgeably the chief provincial administrative officer could discuss what he saw as the project's strengths and weaknesses based on the project's M&E data in the IPTT.

Source: Pre-evaluation Planning Mission to the Africare Goundam Food Security Initiative 2000.

IPTT: Donor Perspectives

Tracking tables, such as the IPTT, provide a simple, efficient, and standardized means for a CS to manage and track its indicators and to report on project status from year to year.

USAID wants projects to use an IPTT for several reasons:

- **Individual project supervision:** Tracking tables, such as the IPTT, provide a simple, efficient, and standardized means for a CS to manage and track its indicators and to report on project status from year to year (see box 2). The IPTT also outlines exactly what the PVO is expected to achieve in exchange for a specified amount of funding or food commodities.
- **Comparative project supervision:** The same standardized tracking tables facilitate comparisons between projects in terms of both their impact and the speed of their activities.
- **Local and national partner coordination (to in-country partners):** By standardizing inter-annual and inter-project comparisons, tracking tables facilitate annual reporting to host governments, as well as to local and national partners.
- **Vertical reporting and accountability:** The same tracking tables help USAID/FFP consolidate information on standard indicators that they use to report on global accomplishments of the Title II program to the U.S. Congress. This accurate, timely, and comprehensive reporting on core indicators is essential to the continuation of development project funding through justification, at the congressional level, of past investments of resources.
- **Contributing to the overarching paradigm on food security and development initiatives:** The M&E information on Title II projects, including IPTT data, contributes to ongoing development debates in USAID and the wider donor community involved in food aid.

The bottom line is that staff need to understand that one of the most effective ways of getting more project funding and resources is to be able to articulate clearly a project's successes and impacts.

Box 2. IPTT's Role in Facilitating USAID/FFP Supervision

The IPTT's critical importance in facilitating USAID/FFP supervision was brought home by a pre-evaluation mission of an Africare project in Burkina Faso. In preparation for the supervision mission, the team developed a pre-supervision briefing book that could also be used to orient the mid-term evaluation, which was scheduled to occur relatively soon after the supervision mission. The supervision document included an updated IPTT and five chapters of text: an introduction to the exercise; a description of the project management structure; and three chapters that explained the project's status with regard to activities and impacts under each strategic objective. The written text was about 100 pages. The supervision mission included both a senior USAID/FFP officer and a USAID Foreign Service National officer from the West Africa regional office, then based in Bamako.

The team was shocked when the two supervisors focused almost all their attention on the IPTT—not the written text. Rather than read the text, the supervisors ran their fingers up and down the IPTT column that listed percentage achievements against targets prior to and in conjunction with each of the sub-team's presentations. It was clear that the supervisors found it useful for quickly obtaining a sense of project progress.

Source: Pre-evaluation Planning to the Africare Zondoma Food Security Initiative 2001.

Developing the IPTT

The first step addresses a common problem among field teams and regional and headquarters M&E staff, namely, their lack of familiarity with Title II guidance on the IPTT, standard USAID indicators, and indicators.

Step 1: Clarify Donor and PVO Guidance

The first step addresses a common problem among field teams and regional and headquarters M&E staff, namely, their lack of familiarity with Title II guidance on the IPTT, standard USAID indicators, and indicators. To address this challenge, project staff should prepare a Project M&E Briefing Book—a three-ring notebook or folder.⁵ To facilitate future reference, the Project M&E Briefing Book should be filed with other critical references associated with the project design, including the following:

1. USAID/FFP Title II MYAP guidance on IPTT format
2. FANTA project indicator guidance and lists
3. Cooperating-sponsor-specific guidance, standard indicators, and examples of IPTT good practices.

USAID/FFP IPTT Guidance: As part of the annual update of official guidance for Title II proposal development, USAID/FFP provides a sample IPTT table that they request all Title II CSs to use in grant applications and reports (see table 2, above). This guidance cross-references the CSs to annex A of the USAID/FFP MYAP guidance. Section F of this annex contains more detailed information on standard indicators that is updated annually. Make sure to use the most recent guidance from USAID/FFP MYAP.

FANTA Project Indicator Guidance and Lists: An extensive literature exists on indicators for different subcomponents of Title II food security programs and measurement methods; it is available on the FANTA Web site (see [annex II](#)). Currently, the minimum indicator requirements for new Title II proposals are as follows:⁶

- The standardized indicator for food utilization (“percentage of children underweight”) and, whenever possible, the previous standardized indicator for food utilization (“percentage of children stunted”)

⁵ The briefing book would complement the project’s M&E Operating Manual (Stetson et al. 2007) or its equivalent.

⁶ If the PVO does not include one of these indicators—either because they do not support activities in health and nutrition or food access or because that program subcomponent is starting later than the others—it is wise to explain this in a cover note and to maintain a copy of the correspondence that authorizes them not to include the indicators for future reference during evaluations and USAID supervisions.

- At least one of the standardized indicators for food access (“months of adequate food provisioning” or “household dietary diversity score”)
- Adoption of the recommended FANTA guidance for each of the indicators.⁷

FANTA’s recently issued standardized annual reporting questionnaire (August 31, 2006) shows how PVOs are expected to transmit information for these standardized indicators to USAID for their annual reports (see [annex VII](#)).

CS-specific Guidance, Standard Indicators, and Examples of IPTT “Good Practice”: Many Title II programs have developed, or are in the process of developing, a core group of CS-specific indicators with internal guidance to help teams collect and analyze data in a standard manner. Project design teams need to communicate with their HQ about which indicators are recommended for particular food security sub-components. It is also a good idea to ask the HQ office to identify several examples of IPTTs that they consider examples of good practice for their programs. These good practice IPTTs will help the design team better understand how past projects have incorporated the recommended indicators into their IPTTs.

Catalog Guidance and Communication: Staff involved in designing a project may not be around to train project staff. It is useful, therefore, to save the key documents that fed into the design of the IPTT and project M&E system. Access to these documents will be helpful in training staff to use M&E data to improve program management and impact.

Step 2: Develop a Draft IPTT for the Proposal

The results of step 2 will be, as follows:

- A draft IPTT that follows the donor’s recommended format⁸
- An appropriate set of monitoring and impact indicators
- A simple IPTT Indicator Methodology Table⁹ or IPTT Measurement Methods/Data Sources Worksheet¹⁰ that summarizes the methodology and will be used to measure each indicator and who will collect the data and when (see [annex IV](#) for a sample format), even if the donor does not require one.

Many PVOs advocate a design process that identifies critical indicators for each of the core project functions.

⁷ The use of FANTA guidance is necessary to ensure comparability between programs.

⁸ For grants that do not have a recommended IPTT format, the USAID/FFP model is a good prototype. Any CS working in Title II needs to refer to the most current guidance for the specific type of grant (e.g., MYAP, Child Survival, and so on) for which they are applying.

⁹ This term is used by Mercy Corps (Mercy Corps 2005, appendix C).

¹⁰ This term is used by CRS for the same table (Stetson, Sharrock, and Hahn 2004, pp. 138–40).

Many PVOs advocate a design process that identifies critical indicators for each of the core project functions. One of the best examples of this is the CRS ProPack (Stetson, Sharrock and Hahn 2004: chapter IV). Several PVO M&E guides provide basic guidance on choosing the right number of indicators (see box 3, below). This guidance focuses on the M&E system as a whole, however, not the IPTT.

Even if an indicator is being tracked by the project M&E system, it may not need to be included in the official IPTT that is reported annually to USAID/FFP. Project staff are advised to select a smaller number of indicators that should include:

- Essential indicators to track project achievements, and
- FANTA standard indicators (identified in step 1) that are relevant to the proposed project activities.

Including too many indicators in an IPTT can completely destroy its value-added benefit as a reporting and management tool. On the other hand, including too few indicators may leave a project vulnerable if one indicator proves difficult to measure or a program sub-component is dropped. Examining examples of good practice is helpful in this regard. When in doubt, use the “necessary and sufficient” rule to determine what a project will monitor in its official IPTT.¹¹ What is important is the link between the indicators and the project’s design (see box 3).

It is best if the initial preparation of a draft list of indicators is done by the M&E specialist on the design team in collaboration with the design or project manager. Projects (or consortia) that try to involve the entire team from the start usually end up with a long unmanageable list of indicators. Once the initial draft is prepared, however, the entire design team should help fine tune the indicators and establish targets. The PVO’s HQ office should provide active technical oversight to ensure that the IPTT is comparative with other programs and complies with the most current guidance.

Develop a draft IPTT structure (without baseline or target values): The M&E specialist working with the design team or project manager should prepare the draft IPTT structure based on the design team’s recommendations and informed by

- Input from senior technical advisors on the design team
- Knowledge of the recommended industry standards for indicators (see step 1, above)
- Best or good practice examples from other Title II projects executed by the PVO.

¹¹ Too many indicators will also have a negative impact on the M&E system as a whole, so this comment applies more generally as well as just to the IPTT element of the system.

Box 3. Advice for Determining an Appropriate Number of Indicators

...the project first mobilizes a set of inputs (human and financial resources, equipment, etc.), which it submits to processes (training sessions, infrastructure building) that generate outputs (e.g., number of people trained; kilometers of road built). Outputs in turn translate into outcomes (e.g., increased knowledge; improved practices) at the beneficiary level—outcomes which, once spread to the rest of the population, result in population-level impacts (reduced malnutrition; improved incomes; improved yields; etc.). The M&E system must reflect this sequence closely, using verifiable indicators. In addition, the M&E system should track external factors such as rainfall, policies, and market prices in order to warn against, and mitigate the possible negative influence of such factors on local conditions. Having data on such external data will also help put the project into context when explaining results....Such a framework, while simple, provides a powerful means not only to assess progress, but also to detect performance bottlenecks and to indicate where to look when obstacles are discovered (Bergeron, Deitchler, Bilinsky, and Swindale 2006, pp. 1–2).

To avoid a long laundry list of indicators (for the project M&E Plan) that are not relevant, go back to the four questions outlined in “What We Really Need to Know—Utilization-Focused M&E:

- What does the project manager need to know in order to judge that the project is on its way to achieving (or has achieved) its objectives;
- What will other stakeholders need to know and why;
- When do the different stakeholders require the data;
- What is the most cost-efficient method for collecting and analyzing what we really need to know?” (Stetson, Sharrock, and Hahn 2004, pp. 118, 135).

Choosing the right objectives and indicators can be difficult. First, we don’t want too many (because measuring them takes time, money, and other resources). However, we don’t want to have so few that we can’t really tell if we’ve made any progress or not. For each possible indicator, think about how difficult it will be to gather the info and whether the level of difficulty (and expense) is justified by the importance of the data. Our intention is to have an “elegant” M&E system that collects enough data to meet our needs, but that does not waste time collecting unnecessary information (Mercy Corps 2005, pp. 20).

To facilitate the staff’s comprehension of the IPTT and the IPTT’s importance in project reporting, the first draft should follow the donor-recommended format. Even grant categories that do not require an official IPTT can benefit from the USAID/FFP-endorsed IPTT format (see table 2).

Prepare a draft IPTT Indicator Methodology Table or IPTT Measurement Methods/Data Sources Worksheet:¹² The team should prepare a draft IPTT Indicator Methodology Table (or IPTT Measurement Methods/Data Sources Worksheet) that describes the project plan for how each indicator will be measured. A prototype table is attached ([annex IV](#)). Many PVO guides include extensive tips on selecting measurement methods and data sources and identifying critical assumptions that can be used to train design teams

¹² This activity usually occurs as part of preparing the project M&E Plan during the first project year.



in preparation of an IPTT Indicator Methodology Table. This table is often included in the proposal annex and referred to in the portion of the proposal text that summarizes the proposed project's M&E Plan. Although the project M&E Plan includes an IPTT, it is much wider in scope. As such, it is the object of a separate module in this series as well as numerous other more specialized PVO and FANTA documents.

Organize a full internal and external review: Once the draft list of indicators is developed by the design team manager and M&E specialist, the full design team and HQ staff need to review the draft M&E Plan, IPTT, and IPTT Indicator Methodology Table. For this review to be informed, the design team needs to explain why they recommended certain indicators over others. To facilitate this process, the design team can suggest that each technical team use the Measurement Methods/Data Sources Worksheet that CRS developed as part of its ProPack planning process (see [annex IV](#)).

Estimate baseline measures and targets: Most donors do not expect the PVO to conduct extensive baseline research to obtain precise baseline figures for the proposal. However, it is important to provide baseline and target estimates for the project indicators in the proposal. These estimates are usually based on:

- Assessments conducted during project design; and
- Data collected on another project in a similar context to the proposed area of intervention or from another source (e.g., government records).

Most donors do not require the PVO to list the basis upon which IPTT estimates were made. For internal purposes, however, it is always wise to indicate these sources with a footnote or endnote on the official IPTT that is submitted with the proposal. This information then becomes part of the official record. If the project is funded, a baseline survey is required to gather more precise baseline measurements.

Contract negotiation: It is not uncommon for donors to review and propose revised indicators in the IPTT. The final set of indicators is usually a carefully negotiated compromise that meets the needs of all responsible parties. This may include the USAID/FFP office, the supervising USAID country or regional office, the international PVO CS executing the project, and partners with whom the PVO is collaborating. The aim is to reach agreement that the proposed indicators and their measurement methods adequately and fairly measure the impacts that are anticipated.

Step 3: Revise the IPTT after Completing the Baseline Survey

One of the best ways to avoid some of the most common problems with baseline surveys is to develop a very detailed SOW.

Once the project is officially launched, project staff will be able to conduct a quantitative baseline survey, which should provide a more accurate picture of the baseline situation than was outlined by the measures provided in the proposal IPTT.

The results of step 3 should be, as follows:

- A revised IPTT
- A revised IPTT Indicator Methodology Table (see [annex III](#))
- A revised M&E Plan for collecting the information needed to update the IPTT as well as the project's other internal indicators and reporting requirements.

Both the revised IPTT and M&E Plan (including the revised IPTT Indicator Methodology Table) should be submitted to USAID/FFP at the end of the first fiscal year (FY01).

Develop a detailed scope of work (SOW): One of the best ways to avoid some of the most common problems with baseline surveys is to develop a very detailed SOW. Since most PVOs prepare multiple proposals in the same category each year, the supervising PVO should develop certain economies of scale in developing SOWs that:

- Identify the most appropriate FANTA references for sampling guidance
- Include an IPTT at baseline
- Clearly explain to consultants and staff the survey's role in providing baseline measurements for the impact indicators.

Revise the M&E Plan: Once the baseline survey is completed, the project needs to revise the draft M&E Plan that was submitted with the original proposal. The revised M&E Plan should include an IPTT indicator methodology table (see [annex III](#)). Often at this stage staff develop an overly detailed M&E Plan that fails to clarify linkages to the IPTT. The opposite extreme is to develop a very vague M&E Plan that makes it difficult for new staff to understand how a particular indicator is calculated. To avoid these problems, take the following steps:

- **Develop a simple M&E Plan focused on the IPTT:** During the first year the M&E Plan should focus on:
 - Collecting data that the project needs for the IPTT
 - Collecting data on any internal indicators that the project chooses to track beyond the IPTT.

- **Ensure key staff and partners understand the link between the M&E Plan and IPTT:** All technical staff, and field staff, when appropriate, and partners need to be familiar with the updated M&E Plan (including the IPTT Indicator Methodology Table and Measurement Methods/Data Sources Worksheet) and its linkage to basic guidance on the IPTT.

Step 4: Update the IPTT for Annual Reporting

It is important to distribute copies of the annual update of the CSR2 and IPTT to project staff and local partners.

Each year, the USAID/FFP office issues a revised guidance for the annual results report of funded CSs (CSR2). In practice, this guidance does not change very much from year to year. The basic guidance always asks for a succinct explanation of a project's results to date that is cross-referenced to the IPTT. The basic guidance also specifies section headings and basic tables that must be included. In recent years, the guidance has also recommended that CSs consider inserting text boxes that illustrate success or learning stories, or special challenges (see the *ShortCuts* entitled *Writing Human Interest Stories for M&E*, and the *Success and Learning Stories* and *Human Interest Stories* modules for more information). Although not formally written in the guidance, various regional FFP officers have recommended that projects also consider adding annexes that provide more detailed information on various project sub-components.

A common problem is that project staff or PVO administrators—and headquarters-based staff who oversee the broader programs—may not be familiar with the standard format that USAID/FFP requests that projects use for annual reporting. This format is described in the MYAP guidance and only alluded to in most cases in the annual report guidance. When this happens it often results in creative reinventions of the IPTT format (e.g., by adding/deleting lines and changing headers) and figures (e.g., by changing the way certain percentages are calculated) in ways that can make it difficult to compare a project's IPTT figures between years.

An associated problem can be that the reporting process is overly centralized. Commonly, project administrators or project M&E specialists in the capital city will ask field staff to submit data that they need for specific indicators and then write the report themselves. This makes it virtually impossible for project staff to understand the full set of indicators being tracked and how this information can be used to orient project activities.

Finally, it is important to distribute copies of the annual update of the CSR2 and IPTT to project staff and local partners. This direction of communication is critical in building the capacity of project staff and local partners to use M&E as a reporting and management tool.

Prepare guidance for CSR2 report writing: Prepare a simple user-friendly explanation of the format that the head PVO office expects project staff to use in preparing their annual CSR2 reports. This should be based on the annual guidance from USAID/FFP. Ideally, the user-friendly guidance should be in the local language.

Draft the CSR2 report and updated IPTT in local language: Encourage field staff to write the initial draft report and updated IPTT for the report in their local language, following the user-friendly guidance.

Finalize the report: HQ staff draft the CSR2 into English and edit it to conform with the USAID/FFP-endorsed format and submit it to USAID/FFP.

Redistribute the final CSR2 report to project staff and partners in the field: One of the best ways of helping staff understand the IPTT's importance is for the PVO HQ offices to disseminate the final approved copy of these reports to the field offices. Even if English is not the working language of the field program, it is good for staff and partners to see the text portion (minus the financial tables) of the official English version.¹³

Use M&E data to make management decisions: Providing the final CSR2 report to project staff and partners in the field is critical. It provides them with an opportunity to review their M&E data and discuss what programmatic changes need to be made to improve results.

Step 5: Revise the IPTT during and after the Mid-term Evaluation

A critical assessment of the IPTT—as well as the impact and monitoring indicators and targets presented within—is one of the central functions of any Title II mid-term evaluation.

The USAID/FFP office no longer requires quantitative mid-term surveys for either three or five year projects; it does, however, still require an external mid-term evaluation to assess the project's results. Many projects still conduct a mid-term survey to have an independent measurement of key mid-term indicators.

A critical assessment of the IPTT—as well as the impact and monitoring indicators and targets presented within—is one of the central functions of any Title II mid-term evaluation. A mid-term survey should also explain reasons for over- or under-achievement of major targets. Based on this analysis, revised targets can be proposed and the project can add or delete certain indicators based on their performance during the first two years.

¹³ When a project has more than one site, reported figures in the IPTT will often be an “average” based on figures from different sites. Staff need to see the final report to understand how M&E data is being used and how their data fed into the report and the M&E system.

The mid-term evaluation should relate project achievements in producing outputs (e.g., training resources, technical assistance, and capacity) to likely successes regarding the project's higher intended results as described in the IPTT. By doing this, project staff can more clearly see the link between the project's ultimate impact and their day-to-day activities.

The following guidelines can be used to revise the IPTT during the mid-term evaluation:

- **Use the IPTT format as a model for mid-term evaluation structure:** Formally structure evaluation chapters so they follow the IPTT.
- **Explicitly focus part of the mid-term evaluation on M&E:** Complete an in-depth review of:
 - Indicators and indicator data collection methods
 - The likelihood of achieving indicator targets and if these targets need to be revised up or down.
- **Document use of previous IPTT:** Include the most recently updated version of the IPTT upon which the mid-term evaluation was based.
- **Include a draft of revised IPTT with proposed changes:** Attach a draft version of the revised IPTT that includes revisions (suggested by the evaluator) for reformulating any of the indicators¹⁴ or targets.¹⁵

The final version of the mid-term evaluation is usually submitted by the Title II FFP administrative office in the PVO headquarters with a cover memo summarizing the principal findings (regarding impact or likelihood of impact) and any recommendations for revising indicators or targets. USAID's official acknowledgement of the mid-term evaluation will usually include some sort of written agreement to any proposed changes to the IPTT that are outlined in the cover memo that accompanies the submission.

The third and fourth fiscal year reports to USAID/FFP are distinguished by the fact that they are expected to:

- Document how the project is following up on recommendations from the mid-term evaluation report (in section B of the CSR2 guidance, which USAID/FFP updates regularly)
- Include a revised IPTT as part of the third fiscal year CSR2 (FY03 CSR2).

¹⁴ Modifying indicators does affect a project's ability to track changes over time, but this option does exist. The changes need to be documented and included in the IPTT. All indicator changes require FFP approval; FFP need to be notified of changes in targets.

¹⁵ The mid-term evaluation team is not required to revise the IPTT. A revised IPTT could be created for the third year fiscal report based on the team's recommendations. Given the high participation levels in a mid-term evaluation, it is not uncommon for the team to present an alternative IPTT model as one of the evaluation's outputs. However, since this is not required, it might even be negatively perceived by some Title II teams and PVOs.

Two of the most common problems that can occur with the FY03 and FY04 CSR2 reports are that they:

1. Do not mention what, if any, follow-up has been done to address issues raised during the mid-term evaluation (including those directly related to the IPTT)
2. Do not document when and why changes were made in the IPTT after the mid-term evaluation.

The lack of documentation makes it difficult for future staff (who may not have been present at the time of the mid-term evaluation) to understand why a particular change was made.

The following guidelines can be used to update the IPTT after mid-term evaluation:

- **Document the mid-term evaluation recommendations and resulting project figures:** Create a simple two-column table that lists major recommendations from the mid-term evaluation, including recommendations for revisions related to the IPTT. This should be included in both the FY03 and FY04 CSR2s.
- **Finalize the IPTT revisions based on the mid-term evaluation recommendations:** Based on the mid-term recommendations that were accepted by the team, develop a revised IPTT with footnotes that explain when and why changes were made. The footnotes are not required, but are useful. Hopefully, these changes will be minimal. If changes are needed, however, it is better to make them at mid-term so that both the mid-term and final evaluation can take them into account. The cover letter that accompanies the FY03 CSR2 to USAID/FFP should briefly explain recommended changes to project targets and indicators. Under normal circumstances no additional changes should be made to the IPTT after the mid-term recommendations are incorporated into the FY03 CSR2. If changes are made to the indicators (but not to the targets), the project must make an official request to USAID/FFP to approve the changes and they must also receive written consent that the changes have been accepted.
- **A careful review of any FY03 CSR2 and IPTT changes by your project manager and CS national office before submission to USAID/FFP:** It is very important that HQ staff consult with project staff before making changes to the IPTT to avoid making changes that reduce the IPTT's comparability between years.

Step 6: Update the Final IPTT following the Endline Survey and the Final Evaluation

In the final evaluation, the focus is on project impact.

Like the mid-term evaluation, the final evaluation is expected to use the IPTT as its point of departure. Most final evaluations include the original IPTT (from the proposal or M&E Plan) and the updated version of the IPTT (with



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Sample IPTT Indicator
Methodology Table

changes based on the mid-term evaluation).¹⁶ While the mid-term evaluation conducts a comprehensive review of specific project indicators with the intent of making recommendations for how project performance and impact can be improved, in a final evaluation the focus is on project impact. The IPTT's impact indicators are thus the main focus of attention.

A common problem often discovered at this stage is that the FANTA-endorsed statistical tools for sample size selection were not used for the baseline survey (see step 3, above, regarding the importance of developing a detailed SOW). This makes it difficult to draw useful, accurate, and statistically sound conclusions about the project impact. If the mid-term evaluation did not include a thorough review of the IPTT, the final survey team may find other problems with the way specific impact indicators were calculated. At this stage, the evaluation team has to do their best to be comparative and—when information is missing from the IPTT—to explain the situation in a footnote.

By the end of a project, most staff should be familiar with the critical guidance on Title II project design, monitoring, and evaluation (some of which is discussed in [annex II](#)). However, it may be that many of the most experienced staff have departed. As a result, it is not uncommon for a PVO to be faced with repeating the same basic staff training in IPTT-related topics.

The following guidelines can be used to update the IPTT after the endline survey and final evaluation:

- **Include information on sampling guidance, linkages to the IPTT, and a suggested table of contents in the SOW for the final survey:** Include a table of contents for the final survey report in the SOW that focuses on project achievements (i.e., over- or under-achievement as measured by indicators in the IPTT). FANTA guidance recommends developing a table of contents that reflects the IPTT.
- **Update the IPTT during the pre-evaluation preparation:** Conduct a careful pre-evaluation preparation process that includes updating the IPTT with data collected from the final quantitative survey. If there were issues with some of the previous IPTTs (e.g., targets that were changed inappropriately or dropped indicators), it is best to resolve them out at this stage.¹⁷

¹⁶ In the section that discusses project M&E, it is useful to include the original and final IPTT and to explain major revisions that occurred over the project lifetime and why they occurred. Filed records of both IPTT versions and USAID/FFP's responses to CSR2 submissions can help future staff and evaluators better understand IPTT changes.

¹⁷ The essential task at hand is usually to correct the format, try to determine when the targets or reported figures were changed, determine whether these changes were deliberate or unintentional, and calculate the correct figures. If the correct figures were not submitted on the most recent version of the IPTT to the USAID/FFP office, then this should be explained in a footnote.

Summary Rules of Thumb

When in doubt during the project design, request examples of best or good practice from your FFP HQ office and/or the FANTA Project.

This section presents a summary of commonly accepted rules of thumb or guidance regarding IPTT development, modification, and use.

- **Borrow from others:** When in doubt during the project design, request examples of best or good practice from your FFP HQ office and/or the FANTA Project. Although the FANTA Project is specific to Title II, there are similar types of technical support units for other grant categories.
- **Compare your indicators with similar ones:** Use standard indicators whenever possible because they will:
 - Save time
 - Work with a specific project methodology
 - Add legitimacy or objectivity to the monitoring results
 - Allow the results to be aggregated with (or compared to) other projects working toward a common goal and using shared indicators (Mercy Corps 2005, p. 22).
- **Take advantage of expert help, especially from the FANTA Project:**
 - Conduct a thorough review of the most current postings on the FANTA Web site
 - Communicate questions with FANTA via email before setting up a telephone call
 - Formally document any email and telephone communication with FANTA to make sure that the major points are captured
 - File this information plus any additional input that received from FANTA in a secure project M&E file.
- **What not to put in a proposal:**
 - IPTTs that do not have estimated baseline measurements or targets or clear strategies for measuring any indicator marked “TBD” (to be determined) in an M&E Plan
 - IPTTs that do not follow the recommended Title II format.
 - IPTTs that do not include any of the FANTA core indicators.
 - IPTTs that do not include footnotes that explain atypical data (i.e., zero in a baseline column).
- **What not to put in an annual CSR2 report:**
 - An IPTT that does not follow the standard format
 - Figures in the text that do not match the figures reported in the IPTT

- Any IPTT submitted in years three through five that does not include footnotes explaining how targets and indicators were modified based on results of mid-term evaluation
 - An IPTT where most indicators are routinely achieving over 100 percent of their targets
 - Large numbers of indicators have measures of zero or less than 50 percent of target.
- **What to include in a mid-term or final evaluation:**
 - The local PVO partners' and the project technical staff's roles in the project's IPTT and their understanding of its content and role
 - Supervisors responsible for a technical sector who have calculated their own impact or monitoring indicators and can explain (and document) methods that were used to calculate these indicators
 - Staff locating in their project documentation center final versions of CSR2 annual reports (including the official IPTT) that were submitted to USAID/FFP
 - Communication between the project M&E staff and management and the FANTA Project about which FANTA publications are relevant to the project IPTT
 - The IPTT format or figures shifting between years with footnotes that explain these shifts.
- **Changing targets in an IPTT**
 - Conventional wisdom (i.e., not official policy) is that any IPTT in which 75 percent or more of the indicators have achieved 75 percent or more of their targets for that year is generally considered a success.
 - If a project is consistently over 100 percent in achieving its targets, the remaining targets should be revised upward during the mid-term. The fact that targets are revised upward should be noted in a footnote on the official IPTT submitted with the annual report to USAID to avoid confusion at a later date.
 - Underperformance on one project sub-component or achievement of a particular intermediate result (IR) that is measured by a monitoring or impact indicator is generally accepted by donors if steps are taken to remedy the situation; hiding this information by deleting an indicator, doctoring data, or not discussing it in the text is not acceptable.
 - If a target is no longer realistic, USAID will almost always authorize reasonable changes in the formulation of indicators or targets if the revision appears justified and the PVO requests permission for the change.

Annex I.A.

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Annex I.B.

Summary of What to Do and What to Try to Avoid for IPTT Use and Management

Activity/Topic	What to Do	What to Try to Avoid
IPTT Layout and Design		
Industry standards and guidance for IPTT indicators	Identify and archive basic guidance for different food security sub-components	Develop an IPTT without consulting guidance Fail to keep copies of guidance used
Updated guidance	Check with your HQ office	Assume that you know everything
IPTT column format	Use the recommended format and avoid making “creative” changes	Make “creative” changes because they “look better”
IPTT indicator numbering	Develop a clear system of numbering indicators for all CS indicator tracking tables or at least for the project, that reflect their connection with particular strategic objectives ¹⁸	List indicators as Impact Indicator 1, Impact Indicator 2, etc., because it will not be clear which indicators go with which strategic objectives in the IPTT
IPTT figures for “original” and “new” villages or different project sites	List information on different categories of villages in a project—x for example “original” or “new” – on different line Merging recorded achievements from both sites in the tracking table can mask achievements at one site and problems at another. If USAID/FFP wants a single “average” figure (and this seems reasonable) it can be calculated later.	Calculate a single indicator average in the IPTT for “all” villages if there are pronounced differences in the length of intervention (e.g., original vs. new) or other characteristics that would call for stratification of the sample
Standard USAID/FFP indicators that exist at the time of the design	Include any of the standard indicators created and recommended by FANTA when appropriate to increase comparability between your results and those of other projects	Fail to include the standard indicators for which FANTA has developed special guidance or various FANTA-endorsed indicators, such as World Health Organization (WHO) indicators, that are cross-referenced on its Web page
Standard USAID/FFP indicators that are introduced after the first year of the project	Discuss the feasibility of tracking these indicators with your HQ FFP office, but do not consider adding them to your official tracking table unless you are able to develop baseline measurements retroactively	Add the new indicators to the official tracking table without thinking carefully about the consequences (both good and bad)
Local embassy and USAID requests to include some of the indicators they must track in the IPTT	Offer to provide information from the project M&E system if this is not too difficult	Revise the official IPTT to include request indicators or information (which often varies annually)
Baseline measurements in draft IPTT submitted with a proposal	Attempt to estimate baseline measurements based on data collection during the needs assessment missions and any published reports on the area and, if possible, document the source of this information	Put TBD (To Be Determined) or zero

¹⁸ **Alternative one:** One alternative is to number all the impact indicators for the first strategic objective as Impact Indicator 1.1, 1.2, etc. Then number all the monitoring indicators separately as Monitoring Indicator 1.1, 1.2, etc. If this system is followed then the impact indicators under the second strategic objective would be numbered Impact Indicator 2.1, 2.2, etc. and the Monitoring Indicators 2.1, 2.2, etc. One advantage of this numbering system is that it creates more flexibility for adding and subtracting indicators after the mid-term.

Alternative two: Another useful system is to include the number of the indicator in the number of the impact indicators (Impact Indicator 1.1, 1.2, 1.3, etc.) and to include both the number of the strategic objective and the IR in the number of the monitoring indicators (Monitoring Indicator 1.1.1, 1.1.2, 1.1.3, etc.).

Activity/Topic	What to Do	What to Try to Avoid
Baseline Survey Used to Measure Baseline IPTT Indicators		
Baseline, mid-term, or final surveys	Insist that information about basic guidance as well as a copy of the IPTT be included in any SOW	Assume that field teams or consultants are aware of the most up-to-date guidance or “best practices”
Baseline measurements of impact indicators in the IPTT	<p>Make clear reference in the text to baseline measures of IPTT indicators in the text and how they were calculated.</p> <p>Any IPTT impact indicator that is not included in the baseline survey should be discussed in the baseline survey and cross-referenced to a report that summarizes the methodology proposed (or used) to measure this indicator.¹⁹</p>	Exclude mention of key impact indicators from baseline so that teams conducting the final survey don’t understand how and when baseline measurements were conducted.
M&E Plan		
M&E Plan	Develop a concise M&E Plan in which a clear priority is attached to the data collection and analysis included in the IPTT	Develop an overly detailed M&E Plan with lots of forms without a clear link to the IPTT
M&E Plan	Redistribute the M&E Plan (once it is adopted) and the revised Indicator Plan to all staff and update that regularly.	M&E Plan is kept on a shelf, not revised and not consulted by project staff. If you do consult it, few technical specialists collect and analyze the data needed to measure indicators that are used to track impact of the project sub-components that they supervise.
Indicator Plan	Update and revise the Indicator Plan that was submitted with the proposal and ensure that all field and technical staff are familiar with it.	Continue to use the Indicator Plan from the proposal without taking into account some of the recommended changes in indicator methods
Annual IPTT Update and Revision		
IPTT indicator targets	Check the previous official IPTT submitted to USAID/FFP to make sure that there were no errors in the reported targets; if there were errors, correct these and explain what happened in a footnote.	Failure to correct targets for indicators in the IPTT except at the three accepted time periods (during the proposal negotiations, during the first year M&E Plan, and after the mid-term)
Authorization for revisions to the IPTT	Write a cover letter explaining any changes made to phrasing of indicators or targets and record USAID/FFP office’s official response to this	Make changes in formulation of indicators or targets without requesting USAID/FFP HQ or regional office’s written authorization
Footnotes or End notes	Use footnotes to explain any IPTT changes or any information that is not self-evident	Assume that “nobody likes footnotes” and that footnotes can always be deleted
Data collection and analysis methodology for indicators in the IPTT	Ensure that each technical supervisor on a Title II project has sufficient training and guidance to collect and analyze data needed to track indicators used to monitor her/his program subcomponent	Centralize all knowledge of indicators and how they should be measured with the project M&E specialist
Data collection forms	Use a printed form for collection and analysis of data needed to measure IPTT indicators as a means of standardizing data collection between sites and over time	Rely on extension agents sending in relevant information based on their extension notes

¹⁹ This occurs most often when the baseline measurement is conducted during a PRA exercise during the first project year and not during the quantitative baseline survey. Teams sometimes forget to archive the results of the baseline PRA exercise and this can create problems when the results must be compared.

Activity/Topic	What to Do	What to Try to Avoid
Report Submission		
Table of Contents	Develop a standard table of contents for reporting that follows the IPTT logic	Develop a table of contents that focuses on project inputs (e.g., training and technical assistance), rather than the IPTT results
Staff participation in reporting	<p>Ensure that technical supervisors understand CSR2 reporting guidance and provide draft sections to project director that describe reasons for achievement or underachievement of targets for indicators that relate to activities they supervise</p> <p>Reporting is “supply” driven—i.e., supervisors understand why they are supplying information on the IPTT and how to use it in reporting.</p>	<p>Allow technical supervisors to provide information that project managers need to update the IPTT with very little real understanding of why this information is needed.</p> <p>Reporting is thus “demand” driven—i.e., supervisors only respond to specific demands for information.</p>
Text boxes	Encourage supervisors to submit text boxes and photos used to illustrate IPTT indicators or text surrounding them	Never use textboxes or photos in annual reports or evaluations
Annual reports to USAID/FFP	<p>Ensure that the project manager and the NGO national representative receive a final copy of the CSR2 and IPTT officially submitted to USAID and any response from USAID/FFP concerning this</p> <p>Redistribute final English text (12 pages) and IPTT to supervisors so they understand link between IPTT and official reporting</p>	Keep only draft copies in the field programs so that project managers, NGO representatives, and technical supervisors fail to see official version that is sent to USAID
Partnerships		
Partner collaboration	Share IPTT and indicator methods for entire project (not just a single site) with key local NGO and government partners.	Collect data from key local NGO and government partners for the IPTT without showing them how information they provided feeds into the project’s global M&E system
Supervision		
Quality control of project IPTTs	<p>Compare the IPTT of any document with donor guidance and the previous IPTT submitted to USAID/FFP to see what, if any, major changes have occurred</p> <p>If it is after the mid-term, also compare IPTT with the summary recommendations from the mid-term</p>	<p>Authorize transmission of an annual report or evaluation to USAID/FFP without checking that the IPTT conforms to donors recommended format</p> <p>Authorize transmission of an annual report or evaluation to USAID/FFP without comparing current CSR2 with previous one and, if it is after the mid-term, with the summary results of the mid-term</p>

Annex II

Annotated List of References, Guides and Further Readings for the Design, Use, and Management of a Title II Indicator Performance Tracking Table

Leah A.J. Cohen and Della E. McMillan

Introduction

The *IPTT Guidelines: Guidelines and Tools for the Preparation and Use of Indicator Performance Tracking Tables* module was developed as part of the Monitoring and Evaluation series produced by the American Red Cross and Catholic Relief Services. Many of the resources and guides that aid the design and use of IPTTs are continually updated due to ongoing research and refinement of the methods for monitoring and evaluating Title II food security programs. This annex has been produced as a stand-alone and living document. For this reason, readers' suggestions for updating and improving the document are encouraged. Please send any comments or suggestions to m&efeedback@crs.org.

USAID (United States Agency for International Development) Web site

1. Food for Peace, "Food Aid and Food Security Policy Paper," USAID, Washington, DC, February 1995. Available at: http://www.usaid.gov/our_work/humanitarian_assistance/ffp/fspolicy.htm; <http://www.usaid.gov/policy/ads/200/foodsec/foodsec.pdf>.

This paper provides an overview of the international and domestic food security assistance climate. It is designed to be a general resource to guide private voluntary organizations (PVOs) and USAID field managers in implementing food aid and food security programs ultimately to reduce food insecurity. It presents a general discussion of the definition of food security, the causes of food insecurity, measures to improve food security, the role of food aid programs, and implications for the USAID food aid and food security policies. There is a focus on results specifically aligned with increasing agricultural productivity and improving household nutrition. It also outlines food aid management objectives in light of USAID's new strategy.

USAID calls for food aid and food security programs to be implemented in conjunction with complementary programs (e.g., other USAID/PVO, other donor, and recipient country programs) that focus maintaining and continuing to improve food security after these programs end. Title II funds are intended for programs that improve household nutrition and minimize the root causes of hunger. USAID encourages development of partnerships with other PVOs, NGOs, and the World Food Program. USAID also implements budgetary flexibility to improve responses to emergencies. Finally, food aid and food security programs should relate emergency and non-emergency food security issues by assisting vulnerable populations in dealing with recurrent threats to food security and facilitating their return to secure livelihoods.

2. Global Health, “Child Survival & Health Grants Program: Guidelines, Publications and Technical Reference Materials,” USAID, Washington, DC, n.d. Available at:
http://www.usaid.gov/our_work/global_health/home/Funding/cs_grants/guidelines.html.

This Web site provides the main documents published by the Child Survival and Health Grants Program on Detailed Implementation Plan (see the link below), mid-term and final evaluations, annual reports, and various technical reference materials. The CORE Group was awarded a five-year contract in 2005 to manage this program for USAID.

3. Food for Peace, Bureau for Democracy, Conflict and Humanitarian Assistance (DCHA), “Strategic Plan 2006-2010,” USAID, Washington, DC, May 2005. Available at:
http://www.usaid.gov/our_work/humanitarian_assistance/ffp/ffp_strategy.2006_2010.pdf.

The published PDF version of Strategic Plan 2006-2010 outlines the FFP/DCHA strategic plan as of May 2005 and the political context in which it operates. The new FFP strategic objective for this period is “the reduction of food insecurity in vulnerable populations” (p. 23). The document outlines the global food security “theory” that all Title II programs are expected to address in the needs assessment section of their MYAP. USAID’s new focus on vulnerable populations and risk, as well as the creation of a single strategic objective to be applied to both emergency and nonemergency programs are the distinguishing features of this new policy period.

This document includes, in annex V, “Performance Indicator Reference Sheets for Strategic Objectives,” which outlines the measures that USAID/FFP is using to assess progress towards the specific DCHA strategic objectives. CSs are asked to describe how the proposed program will help USAID/FFP achieve these objectives. The same section provides criteria for signifying maintenance and improvement. It also details the reasoning behind the selection of particular indicators, some of which are general enough for CSs to use in their tracking tables.

This document states that a Performance Management Plan (PMP) will be developed within one year of approval of the strategic plan. The PMP outlines data on which FFP depends from their implementing partners. The PMP does not reflect all of the indicators on which FFP may be required to report under the Foreign Assistance Reform Framework. The indicator requirements for the Framework have not been finalized and distributed. Once they are, the FFP PMP and/or the Standardized Annual Performance Questionnaire (see Annex III, Tool 5 to the main report) may need to be modified to incorporate new indicator requirements.

4. Food for Peace, “P.L. 480 Title II Program Policies and Proposal Guidelines,” USAID, Washington, DC, October 2007. Available at:
http://www.usaid.gov/our_work/humanitarian_assistance/ffp/fy08_final_guidelines.html.

This document outlines the proposal process (submission and review), the types of Title II project activities, the timeline for submitting proposals, and proposal writing criteria (such as font size and page length). It provides specific guidance on developing the indicator measures and the tracking table in annex A (listed below).

5. USAID/FFP. 2007. "USAID/FFP Food for Peace, Annex A: Multi-Year Assistance Program Proposal Application Format," P. L. 480 Title II Country/Cooperating Sponsor, USAID, Washington, DC, October 2007. Available at:
http://www.usaid.gov/our_work/humanitarian_assistance/ffp/fy08_final_guidelines.html.

This annex to the P.L. 480 Title II Program Policies and Proposal Guidelines outlines the requisite sections of a MYAP proposal, including the four-page M&E section. The M&E section (section F, pp. 7-11) includes a description of the basic criteria for a project M&E Plan. It also includes a sample indicator tracking table and provides a list of the indicators that are required to be a part of the M&E Plan for specific project components (e.g., if the project has a health component it needs to "report on the impact on child nutritional status using indicators of height-for-age [stunting] and/or weight-for-age, in addition to indicators they may choose for changes in child feeding behavior").

6. Food for Peace, Annex D: Environmental Review and Compliance Information, USAID, Washington, DC, October 2007. Available at:
http://www.usaid.gov/our_work/humanitarian_assistance/ffp/fy08_final_guidelines.html.

This annex to the P.L. 480 Title II Program Policies and Proposal Guidelines document provides a very brief section on inclusion of environmental considerations in the project and the M&E Plan. It can be required that in Initial Environmental Examinations (IEE) "all activities in agriculture, natural resource/watershed management, water and sanitation, and/or physical infrastructure development describe how the environmental impact will be monitored and viable indicators suggested" (p. 5). However, this annex does not provide specific examples or tools for developing indicators for assessing environmental impact of project activities.

Food and Nutrition Technical Assistance (FANTA) Web site

1. Arimond, Mary, and Marie T. Ruel, "Generating Indicators of Appropriate Feeding of Children 6 through 23 Months from the KPC 2000+," FANTA Project, Washington, DC, November 2003. Available at:
<http://www.fantaproject.org/downloads/pdfs/indicatorsKPC.pdf>.

This report is an updated guidance on the KPC 2000+ module to measure, interpret, and analyze key infant and young child feeding practices for children 6 through 23 months of age. It includes improvements to the indicator tabulation plan. The report also includes an explanation of KPC 2000+, suggested changes to key indicators, addresses questionnaire development and sample size selection, and outlines how to present results. For easier downloading, selected sections of the report are also available at: <http://www.fantaproject.org/publications/kpc.shtml>.

2. Bergeron, Gilles, and Joy Miller Del Rosso, "Food for Education Indicator Guide," FANTA Project, Washington, DC, September 2001. Available at: <http://www.fantaproject.org/downloads/pdfs/FFE.pdf>.

This guide outlines the conceptual framework and data collection and analysis for various indicators used to assess improvements in education.

3. Bergeron, Giles, Megan Deitchler, Paula Bilinsky, and Anne Swindale. "Monitoring and Evaluation Framework for Title II Development-oriented Projects, Technical Note 10," FANTA Project, Washington, DC, February 2006. Available at: http://www.fantaproject.org/downloads/pdfs/TN10_MEFramework.pdf.

This technical note describes general basics of M&E plans and how to classify each indicator as an input, process, output, outcome, or impact.

4. Bilinsky, Paula, and Anne Swindale, "Months of Inadequate Household Food Provisioning (MIHFP) for Measurement of Household Food Access: Indicator Guide," FANTA Project, Washington, DC, March 2005. Available at: http://www.fantaproject.org/downloads/pdfs/MIHFP_Mar05.pdf.

This guide explains the strategic level indicator developed to assess household food access. It explains the indicator and provides the "how to" for data collection, questionnaire format, indicator tabulation, and setting targets.

5. Billing, Patricia, Diane Bendahmane, and Anne Swindale, "Water and Sanitation Indicators Measurement Guide," FANTA Project, Washington, DC, June 1999. Available at: <http://www.fantaproject.org/downloads/pdfs/watsan.pdf>.

This guide introduces impact and monitoring indicators for measuring water and sanitation-related program performance, including specifics on data sources, calculation of the indicators, and setting targets.

6. Coates, Jennifer, Anne Swindale, and Paula Bilinsky, "Household Food Insecurity Access Scale (HFIAS) for Measurement of Food Access: Indicator Guide, Version 2," FANTA Project, Washington, DC, July 2006. Available at: http://www.fantaproject.org/downloads/pdfs/HFIAS%20Guide_v2.pdf.

This is a guide for an indicator that can be used to assess food access at the household level. This guide explains the indicator and provides information on adapting the questionnaire, interviewer instructions, questionnaire format, and indicator tabulation.

7. Cogill, Bruce, "Anthropometric Indicators Measurement Guide, rev. ed.," FANTA Project, Washington, DC, March 2003. Available at: http://www.fantaproject.org/downloads/pdfs/anthro_2003.pdf.

This guide presents information on a variety of anthropometric indicators, including what these indicators tell us about the nutritional status of infants and children, how to conduct the survey, the equipment needed, how to take measurements, how the data compare to reference standards, and how to analyze the data. This report is also available in sections at <http://www.fantaproject.org/publications/anthropom.shtml>. The entire report is available in French at http://www.fantaproject.org/downloads/pdfs/anthro_2003_french.pdf.

8. Diskin, Patrick, "Agricultural Productivity Indicators Measurement Guide," FANTA Project, Washington, DC, December 1997. Available at: <http://www.fantaproject.org/publications/agrind.shtml>.

This guide discusses measuring and interpreting impacts of agricultural activities, data collection, and details on how to calculate specific agricultural productivity indicators. Appendix 2 is a table of generic Title II indicators (at the time) for all categories of activities (health, water and sanitation, food consumption, etc.).

9. Hoddinott, John, and Yisehac Yohannes, "Dietary Diversity as a Household Food Security Indicator," FANTA Project, Washington, DC, May 2002. Available at: <http://www.fantaproject.org/downloads/pdfs/DietaryDiversity02.pdf>.

Based on the former USAID food security model of food availability, access, and utilization, this document presents and discusses the use of the proxy measure of dietary diversity for food access. It presents data that was used to assess the usefulness of this food access indicator from 10 different countries (some of which are African), rather than through the time-consuming task of collecting 24-hour diet recalls.

The Web page <http://www.fantaproject.org/publications/dietdiversity1.shtml> provides two additional links to a technical annex and a technical note for the dietary diversity indicator. The technical note further condenses the results of the study described above and includes a one-paragraph discussion of options for setting targets for the dietary diversity indicator. The technical appendix includes tables with the data used in the study.

10. Swindale, Anne, and Paula Bilinsky, "Household Dietary Diversity Score (HDDS) for Measurement of Household Food Access: Indicator Guide, ver. 2," FANTA Project, Washington, DC, September 2006. Available at: http://www.fantaproject.org/downloads/pdfs/HDDS_v2_Sep06.pdf.

This strategic-level indicator was developed to assess household food access. The guide explains the indicator and provides the "how to" on data collection, questionnaire format, indicator tabulation, and target setting.

11. Swindale, Anne, and Punam Ohri-Vachaspati, "Measuring Household Food Consumption: A Technical Guide, revised ed.," FANTA Project, Washington, DC, August 2005. Available at: <http://www.fantaproject.org/downloads/pdfs/foodcons.pdf>.

This guide presents impact indicators for household nutrition activities and details on collecting and analyzing the data.

12. Tumilowica, Allison, and Megan Deitchler, "Out with the Old: In With the New—Implications of the New WHO 2006 Child Growth Standards," FANTA Project, Washington, DC, July 2006. Available at: http://www.fantaproject.org/downloads/pdfs/WHO_growth_July2006.pdf.

FANTA's Web site has both a PDF and a PowerPoint version (http://www.fantaproject.org/downloads/ppt/WHO_growth_July2006.ppt) of the presentation that outlines the new World Health Organization (WHO) 2006 child growth standards that replaced the old industry standard of the NCHS 1978 child growth reference. These standards are often adopted measures for monitoring and evaluating child health (e.g., weight for age, length or height for age, weight for length or height). New indicators were also developed for use in projects that target obesity (e.g., body mass index [BMI] for age). The presentation on FANTA's Web site outlines the similarities and differences between the two sets of standards, including use of a Malawi case study for children zero to 59 months in age. This presentation specifically recommends that projects may want to measure relevant indicators based on both the NCHS 1978 standards and the new WHO 2006 standards until use of these new standards is more widespread.

Food Aid Management (FAM) Web site: International Support Assistance Program

1. FANTA Project, "Food Access Indicator Review," FANTA Project, Washington, DC, July 2003. Available at: <http://www.foodaid.org/worddocs/moneval/AccessIndicatorPhaseI.pdf>.

This guide provides a general overview of Title II food access programming strategies and interventions, including a review of generic FFP and PVO Title II food access indicators, innovative approaches to assessment, different types of measurements used, and the limitations of these measurements.

2. Food Aid Management, "Guide for Measuring Food Access," Food Aid Management, Washington, DC, May 2004. Available at: http://www.foodaid.org/worddocs/moneval/Food_Access_Indicators_Guidelines_Final.pdf.

This guide present a general overview of the need for measuring food access in Title II programs, a description of the indicators (including, but not limited to, income and asset indicators, dietary diversity, coping strategies, and food security index indicators), and measurement methods.

3. Food Aid Management, "Summary of Title II Generic Indicators," Food Aid Management, Washington, DC, n.d. Available at: <http://www.foodaid.org/worddocs/usaiddoc/GENINDIC.DOC>.

This table lists Title II indicators subdivided by the subsectors: health, nutrition and MCH; water and sanitation; household food consumption; agricultural productivity; natural resource management; and FFW/CFW roads.

4. Rechcigl, Mike, and Margie Ferris-Morris, "Memorandum: Performance Indicators for Food Security," USAID, Washington DC, April 1996. Available at: <http://www.foodaid.org/worddocs/cdieind.doc>.

This memo is the summarized output of a USAID workshop in December 2005 on food security performance measurement. It provides a list and explanation of core common indicators for food availability, access, and utilization. There are also two sanitation indicators included.

- World Vision, "Indicators to Monitor Impact of Nutrition Programmes," Federal Way, Washington, n.d. Available at: <http://www.foodaid.org/worddocs/nutrition/IndicatorstoMonitorImpact2.doc>.

This document provides excerpts from the "MICAH Guide: A Practical Handbook for Micronutrient and Health Programmes" prepared by World Vision Canada. It includes an explanation of process, outcome, and impact indicators; presents a list of core indicators; provides guidance for selecting indicators for specific programs; and presents details on the use of existing and new data sources.

Other Web sites

- Child Survival Technical Support Project and CORE M&E Working Group, "KPC Module 2: Breastfeeding and Infant/Child Nutrition: Interviewer Instructions," CORE Group, Washington, DC, January 2005. Available at: http://www.childsurvival.com/kpc2000/mod2_01_18_05.pdf.

This module outlines detailed survey questions and key indicator tabulation for projects focused on breastfeeding and infant/child nutrition.

- CORE Group, "Knowledge, Practices, and Coverage (KPC) Survey: Module 7: HIV/AIDS/STI," CORE Group, Washington, DC, January 2005. Available at: http://www.childsurvival.com/kpc2000/mod7_1_18_05.pdf.

This module outlines the survey questions and data collection methods and considerations for the purpose of calculating key indicators related to HIV/AIDS/STI project activities. It provides details on indicator tabulation as well as guidance on qualitative research.

- CORE Group, "Rapid Knowledge, Practices, and Coverage (KPC) Survey: Revised Module 1A for Cycle 21 Grantees: Household Water Supply, Sanitation and Hygiene," CORE Group, Washington, DC, April 2006. Available at: http://www.coregroup.org/working_groups/mod1a_cycle21.pdf.

This training module outlines the questionnaire format for exploring water and sanitation issues. It also presents a description of KPC indicators and indicator tabulations.

- Gage, Anastasia J., Disha Ali, and Chiho Suzuki, "A Guide for Monitoring and Evaluation Child Health Programs," CORE Group, Washington, DC, September 2005. Available at: http://www.coregroup.org/working_groups/ms-05-15.pdf.

This guide explains the process for selecting indicators and data sources and collection methods for child health programs. It provides an extensive list of indicators that have been tested and used by CDC, UNICEF, WHO, and USAID and outlines the purpose, meaning, calculation, and limitations of each of the listed indicators.

5. Maxwell, Simon, and Timothy R. Frankenberger, “Household Food Security Concepts, Indicators, and Measurements: A Technical Review,” International Fund for Agricultural Development (IFAD) and UNICEF, Rome and New York, 1992. Available at: <http://www.ifad.org/hfs/tools/hfs/hfspub/hfs.pdf>.

This document provides a review of household food security assessment, indicators, and data collection methods. It also includes an annotated bibliography. Some sections of the document can also be downloaded separately at <http://www.ifad.org/hfs/tools/hfs/hfspub/index.htm>.

6. United States Global AIDS Coordinator, “The President’s Emergency Plan for AIDS Relief Indicators, Reporting Requirements, and Guidelines,” U. S. Department of State, Office of the United States Global AIDS Coordinator, Washington, DC, April 2004. Available at: http://www.coregroup.org/working_groups/PEPFAR_Indicators_041404.pdf.

This plan provides guidance on data collection and reporting for HIV/AIDS assistance activities. It explains program reporting requirements to the United States Department of State/Office of the Global AIDS Coordinator, and data collection methods for outcome and impact indicators. It also delineates between core indicators and recommended indicators for this subsector.

7. World Health Organization (WHO), Child Growth Standards, Rome: WHO, n.d. Available at: <http://www.who.int/childgrowth/en/>.

This Web site provides an overview of the new child growth standards, the study upon which they were based (The WHO Multi-centre Growth Reference Study [MGRS]— <http://www.who.int/childgrowth/mgrs/fnu/en/index.html>), the actual standards (<http://www.who.int/childgrowth/standards/en/>), available training courses and tools in English, French, and Spanish (<http://www.who.int/childgrowth/training/en/>), WHO Anthro 2005 software download links (<http://www.who.int/childgrowth/software/en/>), and frequently asked questions regarding these new standards (<http://www.who.int/childgrowth/faqs/en/>).

Annex III

Sample IPTT Indicator Methodology Table or IPTT Measurement Methods/Data Sources Worksheet

Indicator	Definition of Indicator and Management Utility	Baseline Data and Targets	Data Collection Sources and Methods	Frequency of Data Collection	Person Responsible

Annex IV

CRS Measurement Methods/Data Sources Worksheet²⁰

The purpose of this worksheet is to help field teams generate the types of detailed information on performance indicators that the M&E specialists and team leader need in order to design an Indicator Performance Tracking Table (IPTT).

Guidance column: The worksheet contains a guidance column. This column summarizes the instructions that field teams need to complete the exercise. Performance Indicator Statement: Simply insert the statement.

Indicator definition: Be clear about the terms used in the indicator statement. For example, if the indicator refers to “orphan children,” which orphan children do you mean? Children under a certain age? Children living with relatives? Children living rough on the street? Rural or urban children? Being clear about what you mean will help you visualize the data collection tasks and resources required.

Data collection method/data source: There are many different data collection methods. Examples of common methods include the use of: censuses; field surveys; random walks; focus groups; key information interviews; ranking; scoring; or indexing techniques; periodic site visits or records review; monthly or quarterly beneficiary or trainer reports; and so on. Alternatively, this is where the secondary data source to be used is entered.

Frequency of data collection: Determine how often the indicator data are to be collected, e.g. monthly, annually, and so on. This is important since it will help determine the level of resources required.

Timing of data collection: Here the specific timing of data collection is stated so as to prevent collection of data that cannot be compared. For example, consider how the following could affect the data that may be collected: crop planting and harvesting schedules; preferred processing and marketing times; the school year; annual immunization campaigns; government budget allocations; and so forth. As with other factors, the season or timing of data collection may have practical and resource implications to consider before committing to a particular M&E Plan.

Other considerations: This might include noting how indicator data are to be calculated, e.g. raw numbers, percent, ratio, score, index; or some evidence that sampling issues have been considered. Another consideration might be whether other measurement methods or data sources need to be included, so that the M&E data can be crosschecked. Although you may not be in a position to have all the precise details—in some cases, specialist technical advice may be required—the purpose of this entry is to show that you have thought carefully about issues of data validity and quality that affect your M&E Plan.

As you complete the *Measurement Methods/Data Sources Worksheet*, you may find yourself adjusting your initial idea for an indicator. Perhaps it is simply too difficult to collect the information, so that an alternative is needed.

You will not include word-for-word entries from your *Measurement Methods/Data Sources Worksheet* in the project proposal, but you may find that a summary of some of the key points considered will help you describe your M&E Plan.

²⁰ Excerpted from “ProPack: The CRS Project Package. Project Design and Proposal Guidance for CRS Project and Program Managers,” 2004, by V. G. Stetson, G. Sharrock, and S. Hahn, Catholic Relief Services, Baltimore, Maryland.

Exhibit 1: Measurement Methods/Data Sources Worksheet

Consideration	Guidance	To be Completed by Project Design Team
1. Performance Indicator Statement		
2. Indicator Definition	Define any terms in the performance indicator statement that are unclear	
3. Data Collection Method/Data Source	Specify the method/data source that will be used for capturing the indicator data	
4. Frequency of Data Collection	State how often data collection needs to occur across the life of the project	
5. Timing of Data Collection	Data may be collected at specific points during the life of the project If the data need to be compared, note any timing issue.	
6. Other Considerations	For example: Spell out the formula to be used for calculating the indicator data, or say where these are to be found Note any sampling issue that will need to be considered Note any complementary or triangulating methods, special concerns, etc. Other...	

Source: Stetson, Sharrock and Hahn 2004, p. 139.

Annex V

Sample IPTT for A Single Cooperating Sponsor-Executed Title II Project at Four Sites²¹

Indicator	Base-line	FY01 Tgt.	FY01 Achv.	FY01% Achv. versus Target	FY 02 Target	FY02 Achv.	FY02% Achv. vs Tgt.	FY03 Tgt.	FY03 Achv.	FY03% Achv. vs Tgt.	FY04 Tgt.	FY04 Achv.	FY04 % Achv. vs Tgt.	FY05 Tgt.	FY05 Achv.	FY05% Achv. vs Tgt.	FY06 Tgt.	FY06 Achv.	FY06 % Achv vs Tgt	LOA Achv. vs Tgt.	
Objective 1- To improve the nutrition and health status of women and children under 3																					
Impact Indicator 1.1 % reduction in children stunted																					
-Dinguiraye Original	22%							21%	22%	97%				19%					17%	21%	73%
-Dinguiraye New	21%							20%	24%	82%				18%					16%	23%	59%
-Dabola Extreme P	38%													38%					38%	24%	136%
-Dabola Medium P	39%													39%					39%	23%	141%
Impact Indicator 1.2 % infants (0-23 mos) offered the same or more food during diarrhea																					
-Dinguiraye Original								40%	44%	111%				55%					60%	53%	89%
-Dinguiraye New	34%							35%	35%	108%				50%					55%	41%	75%
-Dabola Extreme P	23%													39%					40%	63%	156%
-Dabola Medium P	35%													33%					36%	38%	60%
Monitoring Indicator 1.1 % eligible children in Growth Monitoring weighed in last 4 months																					
-Dinguiraye Original	90%							93%	92%	99%	94%	94%	100%	95%	94%	99%	96%	93%	97%		
-Dinguiraye New	9%							30%	85%	282%	82%	86%	105%	85%	86%	101%	90%	88%	98%		
-Dabola Extreme P	5%										15%	75%	500%	50%	89%	179%	60%	84%	140%		
-Dabola Medium P	9%													50%	82%	164%	60%	78%	130%		

21 Adapted from and reprinted from the "Africare Guinea Food Security Initiative," with the permission of Africare/Washington. For additional information please contact the Office of Food for Development, Africare.

Annex VI

Sample IPTT for a Consortium-Executed Project: Africare/CRS/HKI/Care Food Security Initiative in Niger

Official IPTT for the Phase II Project Submitted with Final Results Report in FY05 (Africare)^{22 23}

Indicator	Baseline	Mid-Term Achieved vs. Target	FY 04 Target	FY 04 Achieved	FY 04 Achieved vs. Target	FY 05 Target	FY 05 Achieved	FY 05 Achieved vs. Target
Impact Indicator 1.1. Number of communities that have democratically and gender equitably designed and implemented food security plans		46%	172	187	109%	182	191	105%
Africare Agadez	0	50%	20	32	160%	30	32	107%
CARE – Konni/Illela	0	60%	56	63	113%	56	66	118%
CARE – Matameye ²⁴ (COSAN)	0	23%						
CRS/HKI – Dogon Doutchi	0	54%	48	46	96%	48	46	96%
CRS/HKI – Tanout	0	46%	48	46	96%	48	47	98%
Impact Indicator 1.2. Food Security Community Capacity Index	35	123%	47	50	106%	51	57	113%
Africare	27	169%	52	50	95%	61	56	93%
CARE – Konni/Illela ²⁵	18	219%	45	49	110%	46	49	107%
CARE – Matameye ²⁶	N/A	85%						
CRS/HKI – Dogon Doutchi	53 ²⁷	94%	49	49	100%	50	47	94%
CRS/HKI – Tanout	42 ²⁸	123%	41	51	123%	45	75	168%

22 Reprinted with permission from Africare/Washington.

23 This IPTT was submitted with the annual CSR2 to USAID/FFP for the consortium. Given the large number of indicators and years, the project only reported the mid-term, FY04, FY05, and LOA targets versus achievements for the projects as required in the official guidance. This type of compromise on formatting is probably necessary for a consortium. It should be avoided, however, in single CS-executed projects if at all possible so as not to confuse field staff and partners.

24 For Matameye this indicator was calculated for the health committees (COSAN) using the monitoring form “la fiche d’Evaluation de la Performance des COSAN.” Mid-term evaluators included Matameye COSANs in the calculation of midterm targets and achievements.

25 This baseline was retroactively calculated after the program started working in 20 Unités Interventions.

26 In the absence of baseline data for this zone, this target corresponds with an average FSCCI results for the project.

27 For the 20 new villages selected in FY03. These villages are situated in the southern part of the zone and demonstrated more organizational development than the villages selected in FY01.

28 For the 20 new villages selected in FY03.

Annex VII

USAID/FFP Standardized Annual Reporting Questionnaire

(August 31, 2006 draft)

1										
Fill out the table below with the number of planned and actual direct beneficiaries by technical sector for FY06 and out years through FY10. Direct beneficiaries are those who come into direct contact with the goods or services provided by the program.										
	Emergency/ Non-emergency	Technical sector	FY06 planned	FY06 reached	FY07 planned	FY08 planned	FY09 planned	FY10 planned		
	1.1									
	1.2									
	1.3									
	1.4									
	1.5									
	1.6									
	1.7									
2								Yes/No		
Does your program implement activities to benefit IDP or refugees?									If No, go to question #4	
3								FY06 #		
What was the number of IDP/refugee beneficiaries in FY06?										
4								Yes/No		
Does your program implement activities to maintain or improve nutritional status of program beneficiaries?									If No, go to question #10	
5										
Fill out the table below with the indicators used by your program for <u>annual</u> reporting on the nutritional status of program beneficiaries. For each indicator, fill in the desired direction of change (increase or decrease), and data on achievement and num										
	Indicator			Desired direction (+ / -)	FY05 actual	FY06 actual		# beneficiaries		
	5.1									
	5.2									
	5.3									
	5.4									



Download this document online.

USAID/FFP Standardized Annual Reporting Questionnaire

[http://www.usaid.gov/our work/humanitarian assistance/ffp/](http://www.usaid.gov/our_work/humanitarian_assistance/ffp/)

Annex VIII

Special Considerations in the Development of Consortia IPTTs

The issue of IPTT development is especially critical when projects are executed by a consortia. This is because the IPTT provides one of the best mechanisms for coordinating activities and reporting between partners. Conversely, failure to develop a joint IPTT or ensure understanding of the IPTT and its role in consortia management and reporting can cause considerable problems that can be costly to correct both in terms of staff time and inter-NGO goodwill and collaboration. The seven main steps for using an IPTT during the life cycle of a project have additional considerations when a consortium implements a project.

Step 1. Basic donor and CS-specific guidance clarified

Each NGO in the consortium needs to be familiar with the basic guidance outlined in step 1 of section II of the IPTT Guidelines. This is especially true for the NGO charged with leading the monitoring, evaluation, and reporting functions.

Step 2. Draft IPTT developed and included in project proposal or MYAP (based on needs assessment and standard guidance gathered in step 1)

In general, there is little real collaboration on the design of a consortium's IPTT until after each individual CS has completed its project needs assessment and design for the sites where it proposes to intervene. Efforts to jointly discuss core indicators before the individual NGOs have completed their needs assessments and design are usually fruitless (at best) and at can generate long laundry lists of indicators and ill will between potential CS-partners (at worst). Even when design teams are focusing on follow-on phases, IPTT development too early in the process can be very frustrating to the design teams since each NGO usually has its own methodology for needs assessment and design.

Once each partner has completed its initial needs assessment and proposal design, the partners need to agree among themselves on a certain number of joint impact and monitoring indicators, baseline measures, and targets during the final stages of the proposal approval process. Since sites in a consortium can vary enormously in terms of both the baseline measurements for key indicators and targets, most consortia choose to continue to disaggregate these figures (as well as percent achievement versus target) by site. A good example of an IPTT update in a CSR2 is the one submitted with the FY05 CSR2 that the Food Security Initiative in Niger Phase II consortia submitted to USAID/FFP (see [Annex VI](#), above).²⁹

²⁹ For a variety of reasons—most notably the number of sites and the number of indicators—the IPTT that was submitted with the MYAP did not use the USAID/FFP-endorsed format. Instead the team eliminated most of the columns for FY01-FY02, except for the targets. A more conventional format—such as the one used during Phase I of FSIN will be adopted during the first year.

Step 3. IPTT, IPTT Indicator Methodology Table, and M&E Plan revised based on baseline survey:

During the first fiscal year of the grant, the different consortium members need to collaborate on a joint baseline survey using standard indicator measurement methods and on the write-up and analysis of the baseline survey data, as well as on the revision of joint indicator statements and annual, mid-term, and LOA targets.

Although the output of these recommendations should be a joint IPTT, it is an IPTT that looks somewhat different from the one typically seen in other projects. A consortia IPTT—such as the one developed during Phase I of the Food Security Initiative in Niger (FSIN) —includes (see [Annex VI](#)):

- The baseline measures and targets per core indicator for each site (since sites may vary enormously in terms of their physical and institutional constraints and opportunities) and,
- An indicator “average” (for all the consortium sites).

Step 4. IPTT updated as part of routine reporting to donor and partners (FY01 and FY02):

Once the consolidated IPTT is revised in the first year, it provides the structured framework for each NGO partner to write its draft annual report following Title II recommended guidance. These individual reports should report on the Cooperating Sponsor’s results at the sites they supervise based on the consolidated IPTT. These individual reports are then consolidated into a single summary report by the NGO charged with overseeing monitoring, evaluation, and reporting for the consortium, based on the consolidated IPTT.³⁰ One best practice that many USAID/FFP officials appreciate is for the NGO charged with coordinating M&E to combine the individual NGO annual reports into separate annexes of the summary report. If this model is adopted it is a “win-win” situation for the member NGOs, as well as the NGO charged with group coordination. Specifically:

- Each NGO emerges from the exercise with its own annex which describes its specific achievements (based on the consolidated IPTT).
- USAID/FFP gets a consolidated report that summarizes the average achievements against targets for all the NGOs, as well as information on how these achievements might vary between sites.
- The individual NGOs and their partners get a nice simple tool for facilitating communication amongst themselves and with their key local partners.

If the IPTT is a project manager’s “best friend,” it is absolutely indispensable in the life of a consortium manager.

³⁰ If two PVO Cooperating Sponsors are establishing joint targets for a subregion that includes one or more sites where they are active, then they would collaborate on preparing the reports for these sites.

Step 5. IPTT updated, reviewed, and revised in connection with mid-term evaluation and (if appropriate) survey:

Although the mid-term survey is not required, it is especially useful for a consortium-managed project as a basis for the external mid-term evaluation, which is still required. This is because it provides an independent cross-check on how each NGO in the consortium is collecting data on core impact indicators being used to assess the consortium's impact. The scopes of work for the mid-term survey (if one is conducted) and the mid-term evaluation should:

- Outline a clear linkage to the consolidated IPTT
- Emphasize the importance of each NGO CS using the same methods to measure each of the joint indicators in order to ensure comparability between sites.

Step 6. IPTT and project response to mid-term evaluation recommendations updated as part of routine reporting to the donor and partners (FY03-FY05):

The chief difference between the consortium's CSR2 reporting in FY03 through FY05 is that the team must also address how they are responding to mid-term recommendations both as individuals and as a group. Training for NGO partners should also be updated, as needed, at this time.

Step 7. Final updating of IPTT based on results of the final survey and use of IPTT data to assess results and project impact during final evaluation:

USAID/FFP requires that all Title II projects have a final quantitative survey and final external evaluation. The major difference between a single CS-executed project and a consortium-executed project is that in a consortium project, the partners have to collaborate on developing a single harmonized scope of work for not only the baseline survey and the external evaluation, but also the design, execution, and analysis of the final survey. As in a single CS-executed project, it is critical that the joint IPTT inform the design and write-up of the survey, as well as the final evaluation report.

Based on the authors' experience with a number of consortia-managed projects, a list of suggestions for avoiding common problems has been developed (see Table VIII.A.1, below). Also discussed are the options for correcting problems that were not addressed in early stages.

As indicated in the table below, one key recommendation for avoiding problems unique to consortia-managed projects is a dedication to providing M&E training to representatives from each NGO partner in the consortium and regularly updating that training.

Table VIII.A.1 Common Problems and Solutions Related to IPTTs of Consortia-Managed Projects

Step	Common Problems	Recommendations for Avoiding Problem
Step 1	Only the NGO tasked with supervising monitoring, evaluation, and reporting is familiar with the basic guidance.	1.a. Training workshops should ensure core training in basic guidance for relevant staff in each of the partner NGOs. 1.b. Basic training should be updated annually.
Step 2	NGOs fail to agree on a group of core impact and monitoring indicators prior to submission of MYAP (core list not included in the MYAP).	Organize a joint meeting during the last phase of project design when the combined proposal for the consortium is being prepared during which: 2.a. CS staff are familiar with basic USAID/FFP guidance and expectations for IPTTs and how they should apply to consortia. 2.b. A trained M&E specialist (working with a sub-group of representatives of the partner NGOs with tentatively approved proposals) presents a draft harmonized IPTT model for review and revision by technical teams. 2.c. Consortium members agree on a joint IPTT Indicator Methodology Table and (when appropriate) standardized guidance for the collection and analysis of the data to be reported on in joint IPTT.
Step 3	Some NGOs in the consortium use different indicator methods for core indicators in the joint IPTT.	Same as 2.c.
Step 4	Each NGO in the consortium writes its report in a different format.	4.a. NGOs agree on a common format for annual reports that follows the structure of the joint IPTT.
Step 5	Some NGOs use different indicator methods for core indicators in the joint IPTT and/or mid-term survey only calculates an average for all sites, which deflates achievements at some sites and masks over-achievements at others.	Same as 1.b. and 2.c. 5.a. The scope of work for the mid-term survey should anticipate the need for CS-specific averages as well as consortium averages for core indicators in the joint IPTT.
Step 6	Same as in step 4	Same as 4.a and 1.b
Step 7	Same as in step 5	Same as 1.b, 2.c, and 5.a