ACF INTERNATIONAL

FOOD SECURITY AND LIVELIHOOD MONITORING AND EVALUATION GUIDELINES

A PRACTICAL GUIDE FOR FIELD WORKERS

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This book was developed by Jane Waite in coordination with an internal ACF review working group consisting of Maria Bernardez, Muriel Calo, Amaïa Bessouet, Anne-Lyse Coutin, Helene Deret, Saul Guerrero, Julien Jacob, Hanna Mattinen, Julien Morel, Silke Pietzsch, and Marie Sophie Whitney. Camille Guyot-Bender has supported the editing and finalisation of the manual.

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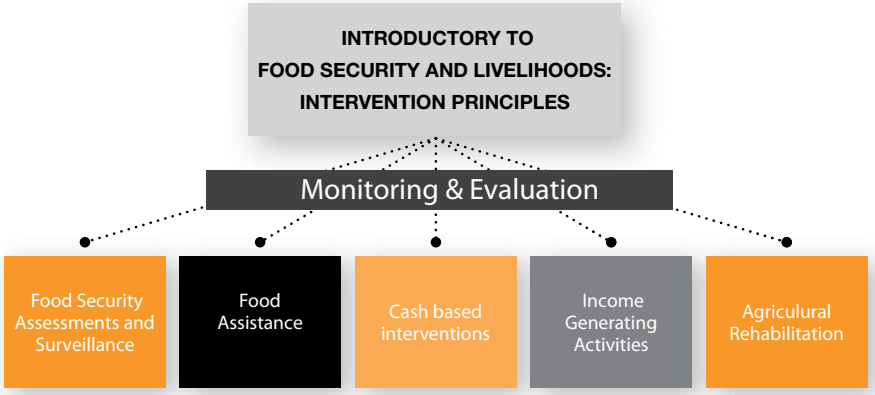
PREAMBLE

This book is part of a series of food security and livelihood programme books developed by **ACTION AGAINST HUNGER** | ACF International and is based upon a consolidation of experiences and investigations led over the past years in the field. This series looks at and develops specific aspects of the different food security and livelihood programmes, especially the technical tools that can be used within the scope of precise projects. Each of these books can be read alone or they can be complemented and reinforced with the other ACF Food Security and Livelihood books included in the series constituting a 'food security and livelihood kit', which can be presented as follows:



This book addresses overarching monitoring and evaluation aspects which are applicable to all the various thematic interventions implemented by ACF FSL teams in the field. Hence all of the above thematic interventions are reflected in the indicator framework of these monitoring and evaluation guidelines.

The books address a variety of audiences including the international humanitarian community, technical and operation field workers and the public who wishes to learn more about food security and livelihoods at the international level. Each book contains a detailed index with examples of the different tools that can be used for the implementation of the programmes, a glossary of technical terminology and commonly asked questions that can give the reader a quick response to key points highlighted throughout the document. All of these books are subject at all times to additions and or improvements following the development of the food security and livelihood departments at ACF International and the continued internal and external evaluations of the different food security and livelihood activities.

In 2009, the food security and livelihood teams of ACF International recognized the need for a harmonized guidance document on monitoring and evaluation (M&E) of programme implementation. A guidance document which would support food security and livelihood teams in the field to improve the overall understanding of the importance of monitoring and evaluation as well as the process of M&E activities throughout the programme cycle management, and the usage of the created data.

This guide to M&E is by no means exhaustive, but a cross-cutting approach on how to plan for M&E through-out a food security and livelihood project's lifecycle. Project teams should use this guide alongside relevant thematic guidance for specific types of food security and livelihood projects (See references above), as well as to complement other resources on project management such as on cash-based,

assessments, project cycle management, the ACF Evaluation Policy and Guideline, and ACF FSL Guiding Principles. Different types of M&E data will be required depending on the project activity and type. The types of activities to be looked at in this guideline include Agriculture interventions, Livestock and Fishery interventions, Food Assistance, Cash Based interventions[1], Education / Training / Capacity Building interventions, Disaster Risk Management (DRM) & Natural Resource Management (NRM), Hunger Safety Net and Social Protection interventions, Income Generating Activities (IGA), and Surveillance / Early Warning System interventions.

[1] Cash is primarily seen as a tool to deliver programmes rather than as a programme activity per se. However, as extensive programming is

BOOK OBJECTIVES

The need for these guidelines has arisen from a series of changes in ACF's operating context:

- Growing internal and external accountability requirements on programme performance;
- An internal move to have a clear link between interventions and ACF's core objective: namely, to prevent malnutrition, either through treatment or prevention. Food Security & Livelihoods (FSL) programmes should therefore be linked to this overall objective, with M&E activities assessing the extent to which programme activities achieve this;
- As programme integration and need to demonstrate results grow, so M&E processes have become more complex. To ensure a common understanding of what best M&E practice looks like through-out a project cycle, standard FSL M&E guidelines were required.

These guidelines have therefore been developed to:

1. Put in place a comprehensive though not exhaustive set of FSL M&E guidelines and associated set of FSL indicators and toolkit that **encourages best practice in M&E for ACF;**

2. Introduce a **common harmonized approach to and understanding of the purpose of M&E** activities across different ACF missions, in order to;
    a. Assess progress against plans and inform any corrective measures required;
    b. Improve effectiveness by feeding M&E lessons learned back into programme planning;
    c. Improve data collection and analysis to better understand and measure the impact of ACF programmes, and how this can be improved;

3. Ensure **M&E activities across a project cycle are in line with the ACF Project Cycle Management** (PCM) approach (see Section 1.4.6);

4. Be **accountable to ACF stakeholders** (beneficiaries, donors, partners etc.), through more effective and participatory M&E, and reporting;

5. **Supplement existing thematic ACF guidance** (e.g. programme intervention booklets and guidelines, Evaluation Policy, etc.)

The decision on the core and thematic indicator framework tries to harmonise and standardise monitoring information collected throughout the various countries programmes and projects implemented by ACF FSL teams all over the world. The definition of the various level indicators has been a great exercise and has created many discussions amongst and between the internal and external review groups. The current proposition is hence a compromise which will be implemented and reviewed following application and evidence gathering. Following a review, the core and thematic indicators will be updated and appropriated to the purpose of measuring impact of FSL programmes on the occurrence of malnutrition.

INTRODUCTION TO THE GUIDELINES

ACF works in a number of different contexts, in which project cycles vary in length of time. These have different M&E requirements and approaches, which should be defined at project planning stage (see Section 2). They broadly include:

1. **Emergency contexts** – Given the fast-changing context of onset emergency operations with focus on responding to immediate needs and saving lives, rather than objectives with possible issues of access, a simple and flexible M&E system, which emphasizes regular monitoring that can quickly inform programming, is required. Monitoring activities will tend to focus more on outputs (e.g. number of beneficiaries) and to some degree outcomes (e.g. change in dietary diversity; see section 1.7.2, *Annex 23*: *Designing a Logical Framework and Indicators*) given the short time frames of implementation. It is difficult to assess longer-term impact in a rapidly changing context, and even more so to attribute how each project contributes to this. Joint assessments and evaluations by all actors working in a sector/region can help understanding around impact, while Real Time Evaluations (RTEs see section 1.2.3) that can be done rapidly and inform programming best suit the needs of this context.

2. **Recovery and rehabilitation contexts** - Monitoring activities to focus on outputs and outcomes (see section 1.7.2, Glossary of Key Terms). Impact evaluations after activities have ceased are encouraged to gauge longer-term change.

3. **Chronic crisis contexts** – Monitoring of longer-term outcome indicators of change and impact are critical in this context to follow up on change that has been facilitated.

4. **Resilience-building and preparedness contexts** - Greater emphasis should be given to impact in M&E activities, given longer operational timeframes. Output and outcome data will also form a part of monitoring progress towards the longer term goal. Basic M&E forms to collect data before an emergency and for contingency planning should also be used.

As these are general M&E guidelines on processes and tools for FSL, that apply in emergency, recovery and chronic crisis contexts, as well as to different sized missions and projects, the speed with which they are done will vary with recommendations made in Part 2.

Guidelines Target Audience

The FSL M&E guidelines are primarily intended for the following audience:

- **ACF Project Managers and Coordinators** responsible for designing and managing FSL projects and programmes, to ensure those implementing adhere to at least minimum standards in M&E (see section 3.1.4);
- **ACF M&E Officers** and other staff implementing projects who are responsible for undertaking M&E activities, so they have a common understanding to best practice in M&E;
- **ACF consultants** undertaking rapid and in-depth assessments in emergency, recovery and chronic crisis contexts, that help shape intervention and therefore M&E plans;
- **ACF Advisors** who support programmes, so they can provide common advice on M&E;
- **ACF partners** and other stakeholders, to ensure understanding of and coordination with ACF approach to M&E.

The guidelines have been designed to also be accessible to a wider audience. They aim to introduce new staff to ACF M&E processes, ensure current staff have a common approach to M&E, and can also be shared with partner organisations and other stakeholders to facilitate discussions on joint M&E.

Guidelines Setup

The guidelines use a step-by-step approach to M&E, with checklists at each step and a summary checklist in the *Annex 44*: M&E Checklist. The broader principle of project management applies; as with preparing to undertake project activities, so ***the bulk of the thinking about M&E should happen at a project's planning stage***, with processes and structures to undertake M&E put in place at that moment. Users are thus encouraged to read the guidance before embarking on a project; however, it can also be used selectively.

Key points are **highlighted in bold throughout the text or as NOTE boxes**, while each section of the guidelines has a summary. Links to annexes and toolkits are referred to at each relevant step of the process.

As these are general M&E guidelines for FSL, that may apply in emergency, recovery and chronic crisis contexts, as well as to different sized missions and projects, the order of steps recommended may vary as might the speed and thoroughness with which they are done. However, the process and tools are applicable to all contexts.

Definition of Projects and Programmes

The terms project and programme are often used as one and the same. To ensure a clear division of how each fits in the path towards meeting organizational goals, these can be defined as:

A **project is a set of coordinated activities undertaken to meet a specific goal and purpose in a set time period and budget. Projects with a common goal form a programme**, which can be thematic or geographic.

A **programme is therefore broader in scope and contains a coordinated set of projects**. Programme goals can be thematic or geographic, such as an emergency or a country programme. Programmes work to meet organizational objectives. As such FSL activities may only be part of a programme that also includes projects from other sectors.

With projects as subsets of a programme, M&E activities are more intense and involved at project level as more regular decisions are required to keep a project on track against its objectives. Some project monitoring data can be cumulated (e.g. number of beneficiaries, of contribution of different activities to changes in malnutrition levels) to a programme and organisational level to inform longer-term strategic decision making.

A country strategy is implemented through programmes supported by projects which are funded through contracts. Information gathered through the monitoring of projects and programmes will therefore contribute to monitoring of the progress of a strategy.

References in this guidance will be to projects that contribute to an overall FSL programme.

STRUCTURE OF THE GUIDELINES

These guidelines consist of three parts, annexes and toolkits:

Chapter 1. Introduction to Monitoring and Evaluation

This chapter provides an introduction to the principles of M&E, helping to think of the issues that need to be addressed when planning a project.

Chapter 2. Step-by-step approach to M&E in project cycle

This chapter adopts a step-by-step approach to setting up an M&E system for a project and associated tools to facilitate this, including a set of core and thematic FSL indicators.

Chapter 3 Cross-cutting M&E issues

This chapter looks at cross-cutting issues for M&E throughout the project cycle.

Annexes

The Annexes are included in the main body of the guidelines for easy access and guidance on the core indicators, and resources to support planning and implementation of M&E.

Further, ACF and other resources have been used for the development of this guideline and these are cited in the **Bibliography** to direct users to additional materials.

Toolkits

The toolkits include various tools, formats and templates to support the implementation and application of M&E along the project cycle management. These are referred to as Toolkits and are attached to the guidelines as separate documents to maintain their accessibility to the field worker.

ABBREVIATIONS

AAH	Action Against Hunger
AAR	After Action Reviews
ACF	Action Contre la Faim International
CBI	Cash Based Interventions
DPCRR	Disaster Preparedness, Contingency and Risk Reduction
DRM	Disaster Risk Management
EWS	Early Warning System
FSC	Food Consumption Score
FSL	Food Security & Livelihoods
HDDS	Household Dietary Diversity Score
HFIAS	Household Food Insecurity Access Scale
HH	Household
IDDS	Individual Dietary Diversity Score
IGA	Income Generating Activities
M&E	Monitoring and Evaluation
MAHFP	Months of Adequate Household Food Provisioning
MUAC	Mid-Upper Arm Circumference
NRM	Natural Resource Management
PCM	Project Cycle Management
RTE	Real Time Evaluations
SSN	Social Safety Net

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Toolkit 20: Evaluation timetable template
Toolkit 21: Post Evaluation Action Plan template
Toolkit 22: Market Price Collection Sheet template

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CHAPTER 1
INTRODUCTION TO MONITORING AND EVALUATION

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CHAPTER OBJECTIVE

The aim of this section is to provide users with an introduction to the principles of Monitoring and Evaluation (M&E), their definitions, timing, different types of M&E, and help think about M&E related issues that need to be addressed when planning a project.

1.1 Defining Monitoring and its Purpose

1.1.1 Defining monitoring

Monitoring is the systematic and continuous collection, analysis and utilization of information on project achievements as implementation progresses. It is an on-going activity, taking place continuously throughout an intervention (see section 1.4.6 M&E in Project Cycle Management).

Monitoring is a project management tool to identify achievements and challenges, any variance between targets and what is actually achieved, and facilitate constant improvement modification.

A good monitoring system should be:

- **Simple, relevant** to and easily comprehensible against plans;
- **Participatory** and focused on beneficiary needs;
- **Analytical**, with information used for evidence-based decisions to improve performance;
- **Accessible** to stakeholders (e.g. affected populations, partners, donors, Government).

1.1.2 Purpose and importance of monitoring

The purpose of monitoring is to:

1. Assess the **extent of progress** of a project, if it is **on track against its objectives and targets** and determine what still needs to be done to meet objectives.
   - If the project is not on track, monitoring can **identify risks or problems** taking it off track, as well as **potential solutions and decisions** to address these. Project field staff are in a better position to undertake an analysis of problems and solutions as they are closer to the implementation of activities, and should work with management to take those solutions forward. Rapid identification and addressing problems improves effectiveness and avoids waste caused by unresolved issues.

2. Assess the **degree of relevance and success** of a project through satisfaction **feedback from beneficiaries** and other stakeholders on if needs are being addressed and quality control.

3. **Identify successes and learning** from positive experiences that can boost motivation and learn lessons from challenges for future activities.

4. Provide **data for evaluations**.
   - Building up monitoring data over time can highlight longer term trends to allow for more strategic evaluation;
   - It can also allow evaluations to assess the extent to which relevant **cross-cutting issues** are being addressed (e.g. gender, HIV/Aids, climate change).

Monitoring is critical to a project's success. If monitoring information is analysed regularly and used effectively to make decisions, it can be invaluable to manage a project well, correct issues before they become problems and ultimately make a different for those you are trying to assist. Monitoring should not only focus on to who has received what; but it should assess the contribution of humanitarian assistance and the difference made in populations and beneficiaries lives to address their needs.

NOTE: Monitoring should not be seen as collecting information to be accountable to donors. Its **primary purpose is to allow project teams to run a project effectively, ensuring it has the desired results for beneficiaries.**

1.1.3 Importance of early planning for monitoring

Monitoring is integral to a project's success and it is therefore important to plan early for it as:

- **Planning for monitoring helps clarify project objectives, assumptions, indicators and activities.** Good indicators for which data can be collected, analysed and used to make decisions about a project's direction, makes monitoring and project management easier;
- Establish **systematic, but simple, timely and participatory** mechanisms to monitor towards relevant indicators and programme principles - impact, outcome, output and process indicators, to check on continuous relevance of interventions throughout changing contexts;
- Thinking about monitoring should start from assessment and problem identification stage when consideration is given to **what indicates a problem** hence requiring intervention;
- Monitoring is sometimes perceived as just for donor accountability and therefore left as an after-thought till implementation commences; however, a monitoring system should be designed to meet **the needs of staff and managers to run a project effectively.**

1.1.4 Difference between monitoring and surveillance

Surveillance is the regular analysis of multi-sector **integrated** (e.g. FSL, nutrition and WASH) context of the targeted populations / areas. It requires efficient sharing of findings and recommendations in order to enable decision makers to define adequate strategies for timely responses to observed changes in the operating context. Following up the evolution of this context through surveillance activities allows for improved understanding of the operating context. Surveillance is undertaken as stand-alone projects in each country and should produce regular reports, so serving as a practical tool for decision making around early warning and risk disaster management, appropriate interventions and lobbying. Surveillance activities being a project itself, requires monitoring and evaluation of the surveillance activities (see ACF Surveillance Guidelines in Bibliography). Context monitoring looks at changes that occur in a project's wider operating context beyond the FSL context. It can include food security and market-related issues that will be followed through surveillance, but will also include wider aspects such as the political situation, the economy etc. that can affect the project – see *Annex 1*: How to Undertake a Trend or PESSTLE Analysis.

Project monitoring assesses whether a project is achieving its objectives or not, and where impacts for the population are achieved, and if not so where changes to the project need to be made. It can allow for timely changes in project implementation in response to the evolving situation.

Box 1.1: Differentiating between surveillance and monitoring		
	Context Surveillance	**Project Monitoring**
Objective	To provide information on multi-sector **FSL, nutrition and WASH context** indicators, to inform FSL strategies and decide what interventions are required dependent on the situation.	To provide progress updates against **project** indicators, highlighting achievements and challenges, and any variance between targets and what is actually achieved, for project improvement
Methodology	Qualitative and quantitative information on changes in **FSL context** indicators.	Qualitative and quantitative information on changes in **project** indicators.
Timing	Regular process surveillance project	Continuous process throughout a project
Results	Updates on changes in the FSL context and contribution to Early warning systems	Updates on changes in project performance and impact on beneficiaries.
Audience	Field project and programme personnel and decision makers in field and HQ.	Field project and programme personnel and decision makers in field, HQ and donors.

1.1.5 Types of Monitoring

There are different types of monitoring (see *Annex 2: Types of Monitoring*). The most important in order of importance for projects are:

1. **Result/progress monitoring** – Assesses the effect and change brought about by the project, in terms of the three levels of results (outputs, outcomes and impact – see section 1.7.2). For follow up on these results, a baseline (see section 1.1.6) against which to establish progress should be in place (e.g. comparing Pre-Project and Post-Project monitoring results). Progress against outputs and outcomes can be gauged through monitoring, while impact (both intended and unintended, positive and negative) is usually assessed through evaluations. Assessing the extent of progress against each level of results allows for adjustments to be made where required. For example, monitoring outputs, allows project managers to assess whether these are contributing towards outcomes and impact, and if not, what alteration in inputs and activities can be tried to correct this.

2. **Process or activity monitoring** – Assesses if resources or inputs (e.g. funds, goods in kind, human resources) are being used at the planned rate, and activities are happening in line with activity plans to deliver outputs. This is particularly important for managers in terms of determining resource allocations.

3. **Financial monitoring** – Looks at whether income raised and expenditure spent are in line with project plans, as well as assessing actual cost for inputs and activities against those in the budget. This is done through budget follow up in liaison with the Finance team.

4. **Beneficiary monitoring** - Assesses beneficiary perception of and satisfaction with a project. Beneficiary feedback or complaint mechanisms (see Section 2.3.5 /*Annex 3*) can help track perceptions. As the key stakeholders in an intervention, allowing beneficiaries to participate in the project and provide feedback is key to a successful project. Gathering indirect beneficiaries' and non–beneficiaries' feedback can also gauge success of a project.

Different project activities will require different types of monitoring. These are covered more extensively in *Annex 2: Types of Monitoring*.

1.1.6 Baselines and Endlines – Essentials for Monitoring

Baseline and endline studies form an important part of any M&E system, and can be seen as a start and end to monitoring activities, providing a snap shot of the status of the situation before activities start and after their conclusion. A baseline in particular provides key information for M&E activities:

1. A **baseline** - gives a picture of the situation before project activities commence and provides measurements for indicators before monitoring of change against these begins. This provides benchmark data, so that M&E data collected during implementation can assess progress against the baseline, the extent to which the project has made a difference, and the extent to which objectives have been met. It is difficult to measure the impact of a project without having assessed the starting situation.

2. An **endline** - measures the same aspects and indicators as the baseline though at the end of a project, and so allows a comparison with baseline data to assess progress.

1.1.7 Methodologies for Monitoring

There are a number of different methodologies to carry out monitoring. These are outlined in section 2.4 and *Annex 4: Data Collection Method Types and Sources*. Examples of these include:

- Individual Interviews (see *Annex 5*)
- Household Interviews/Surveys (see *Annex 6*)
- Focus Group Discussions (see *Annex 7*)
- Observation (see *Annex 8*)

In order to determine which information to collect for monitoring, it should be:

- **Possible to collect** (and not too time consuming or costly),
- **Possible to analyze** in order to measure change, and reliable.

Box 1.2: Differentiating between qualitative and quantitative information

Information collected can be quantitative (numeric) or qualitative (descriptive observations):

1. **Quantitative data are often used for monitoring to highlight "how much or how many"** and can be expressed in absolute numbers (e.g. 200 people in the sample are food insecure) or as a percentage (50% of households in the area are food insecure). Data can also be expressed as a ratio (20 kilos of rice per household), and is often used to highlight progress against indicators of process/activities and results.

2. **Qualitative information is descriptive and highlights how people feel** about a situation, attitudes, how things are done (processes) or how people behave. Qualitative information is obtained by asking, observing, interpreting. It is often used in monitoring to explain quantitative data, such as describe the reasons and rational for the extent of preferences or attitudes.

1.1.8 Frequency of Monitoring

The frequency of monitoring depends on what indicators are being monitored; it can be daily (e.g. relief programming processes), weekly (e.g. distributions), monthly (e.g. prices, population assisted), quarterly (e.g. training), etc.

The bulk of monitoring happens at project implementation phase. However, context monitoring can happen at any point during a project; to make this information collected useful, it should feed into project planning and decision-making. Decisions around what data should be collected as part of monitoring will be decided at the assessment stage and when baselines are undertaken; these will then feed into planning.

1.1.9 Monitoring Questions

Specific questions for specific monitoring types are addressed in *Annex 2*. In general, however, monitoring should aim to answer the following questions:

Box 1.3: Key questions monitoring should answer

- Has there been any change in the operating environment/context? If so what and why? Are the needs still the same, or have needs evolved that the programme is not addressing?
- To what extent are the right people being targeted by the project? How does it compare to overall needs and input of other agencies? Is any readjustment required?
- Is the project activity plan on track? If not, why not and what can be done to correct this?
- If the current rate of progress continues, will project activities achieve the intended objectives (outputs and outcomes)? If not, why not and what can be done to correct this?
- Is the project having any unanticipated effects? Are these positive or negative?
- Has the project achieved the intended indicator level?

1.2 Defining Evaluation and its Purpose

This section should be read in conjunction with ACF's Evaluation Policy and Guideline.

1.2.1 Defining evaluation

ACF defines evaluation in its Evaluation Policy and Guideline as, **a coordinated process of data collection about the activities, systems, processes and outcomes of projects and / or programmes,** for use by specific people (internally and externally) to reduce uncertainties, improve effectiveness and make (short, mid and/or long term) decisions with regards to what ACF programmes are doing (see ACF Evaluation Guideline in Bibliography). Similarly, the Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP) defines evaluation as a systematic and impartial examination of humanitarian action intended to draw lessons to improve policy and practice, and enhance accountability (See ALNAP reference in Bibliography).

Most evaluations are based on assessing performance against the OECD Development Assistance Committee (DAC) criteria: **Impact, Coherence, Coverage, Relevance / Appropriateness, Effectiveness and Efficiency**. These criteria are also adopted by ACF's Evaluation Policy and Guideline, and their use is encouraged in both evaluations and meta-evaluations (see *Annex 10: Types of Evaluation*) at project and organizational level.

Evaluations may be based on assessing the extent to which projects have adhered to other frameworks, such as codes and standards (e.g. the ACF Charter, the Red Cross and NGO Code of Conduct; Sphere Standards etc) or thematic frameworks (e.g. Hyogo Climate Change Framework).

Evaluations are often confused with reviews and audits. These can be defined as:

- A **review** is a structured opportunity to reflect on a project and identify key successes and issues, and so make informed decisions about project implementation to improve its effectiveness. Reviews tend to be broader in scope, often focusing on more strategic issues, and less in depth than evaluations. After Action Review (AAR - see *Annex 9*) is an increasingly popular tool to facilitate reflection of an intervention's effectiveness.
- An **audit** seeks to assess compliance with established rules, regulations or procedures. It differs from an evaluation in this focus rather than on achievement and quality.

1.2.2 Purpose of Evaluation

Evaluations should always clarify their primary purpose around internal/external accountability or learning and their primary audience. Irrespective of whether the purpose of the evaluation is for accountability or learning, project beneficiaries should be at the heart of it. In reality, most evaluations seek to combine accountability and learning objectives however, by identifying the primary purpose, evaluation methodology will vary accordingly:

- **Accountability-oriented evaluations** – These look to hold implementers to account over the **extent to which intended objectives have been met and results (particularly impact) achieved**, and if not, why not. They tend to be externally led to allow for greater independence and objectivity.
- **Learning-oriented evaluations** – These tend to focus on **analysis and lessons learned around why some things have or have not worked**. They tend to question approach and process rather than results. These are often internally-led given the learning focus.

As a less frequent event focusing on higher level analysis rather than monitoring, evaluations seek to:

- **Assess the extent of performance against higher level results** (outcomes and impact – see section 1.7) and the resources required to achieve these.
- **Improve performance** through assessment of success and failures, analysis of what caused these and recommendations for improvement.
- Provide analysis to facilitate **decision-making**.
- Contribute to project and organisational **learning**, on how to better manage and deliver projects to affected populations. They provide opportunities to reflect upon and share experience and learning, to build on our strengths and address challenges.
- Uphold **accountability and transparency** to stakeholders by demonstrating whether or not work carried out was in line with plans and in compliance with established standards. They also provide opportunities for stakeholders, especially beneficiaries, to provide input.
- Provide information that can be used to support **communication to stakeholders, resource mobilization, advocacy**, and to recognize and acknowledge accomplishments.

1.2.3 Types of Evaluation

There are a number of different evaluation types (see *Annex 10: Types of Evaluations*). The most common types of project evaluations include:

- **Mid-term evaluations** – These are formative evaluations to assess performance against plans and whether any external or internal factors changed requiring an alteration in plans. They are undertaken half-way through project implementation to assess whether any changes are required for the remainder of the project cycle.

- **End-of-project evaluations** – These are summative, and are undertaken at the end of a project to assess performance against intended objectives. These tend to be externally led to allow for an independence and objectivity.
- **Impact evaluations** – These are conducted some time after project activities cease to assess long-term changes achieved relative to a project's goal and purpose, and the sustainability of the change.
- **Meta-evaluations** – Are designed to aggregate findings or draw common findings from a series of evaluations, so that an organisation can address these. Meta-evaluations are a key part of ACF's Evaluation Policy and Guideline and are encouraged annually.
- **Real-time evaluations** (RTEs) – These are conducted during a project's implementation to get real-time analysis of progress against higher-level objectives and facilitate immediate recommendations on changes to the project to improve implementation.

1.2.4 Differences between evaluation and capitalization

Capitalization of knowledge is defined as a process meant to build up a capital from information or knowledge available in an organisation, in order to develop (the organization) by making knowledge available to other institutions or actors. It is designed to ensure that every individual's experience is not confined to him or herself alone, but serves the community in a knowledge sharing movement. The implementation of new projects or the conduct of new actions, are facilitated by the preservation and transmission of acquired experience and knowledge (see ACF Capitalization Manual in Bibliography). Much like an After Action Review (see Annex 9), capitalization encourages analysis of experiences.

Box 1.4: Key questions capitalization should answer
• What happened?
• How did it happen?
• Why did it happen?
• What were the lessons learned?
• What were best practices and recommendations that we should capitalize?

The overall **purpose of capitalization is to make knowledge, experiences and lessons learned accessible** and useful for ACF staff members and other stakeholders.

Capitalization differs from evaluation in that it seeks to facilitate **internal learning** around what was done, and **how** and **why the project did or did not achieve objectives**, with recommendations focus on **approach and best practices**. To that end, it tends to involve internal staff, or those who have lived the experience.

Evaluations seek to assess whether results were achieved, and if so whether this was done effectively, efficiently and in a sustainable manner. Recommendations and learning can be used to make decisions about the current project or shape future projects or policies. Most evaluations are done for accountability purposes and do not always ask questions around why certain processes were followed. Evaluations are usually carried out by external consultants or internal staff not directly involved in the project.

Box 1.5: Differentiating between evaluation and capitalization		
	Evaluation	**Capitalisation**
Objective	To assess whether project/ policy/ organization results were achieved, if this was done effectively, efficiently and sustainably. Most evaluations are done for accountability purposes.	To learn lessons of best practice for future application through the build up and sharing of information or knowledge within and between organizations.
Methodology	Internally or externally facilitated, including desk reviews, interviews and field research.	Internally facilitated desk and workshop-based reviews of project or organizational lessons around what was done, how and why.
Timing	Project mid-point, end or real time.	Mainly at project end.
Results	Findings (positive/negative) on achievements and recommendations on improvements.	Lessons learned (neutral) around how approaches were used.
Audience	Field/HQ staff, donors, beneficiaries.	Field/HQ staff and partner organizations.

1.2.5 Evaluation criteria and questions

Evaluations will tend to focus on more strategic questions about longer-term performance, processes and policy, and the quality of delivery.

Box 1.6: Key questions evaluations will often try to answer

- Looking at what the project or organization intended to achieve – was the change or impact intended achieved? If not, why not?
- Looking at the project plan, organizational strategy, or specific thematic policies - was there a clear plan/strategy/policy in place? Was this utilized to shape activities? Did the plan/strategy/ policy work? If not, why not?
- Looking at processes - was there an efficient use of resources? What was the opportunity cost of resource allocation? How sustainable is the way the project or organization works? What are the implications for the various stakeholders in the way the organization works?

Most evaluations will tend to use the OECD DAC criteria as a framework (see Section 2. 8).

1.2.6 Frequency of evaluations

There is no set frequency for undertaking evaluations; it will depend on the time frame of the project and the resources available. **Most projects tend to have a mid-term and end-of-project independent evaluation for accountability purposes**. The challenge is that these can become rigid and are not fully utilized to draw out lessons and improve performance. The use of a Post Evaluation Action Plan (see *Toolkit 1*) can help in capturing responses to evaluation findings and recommendations, and mapping out a documented action plan for addressing these.

Increasingly RTEs and AARs are also being used during the life time of the project to facilitate real time lesson learning.

1.3 Difference between Monitoring & Evaluation

Monitoring is a continuous process and often focuses on what has been achieved against lower level results (i.e. activities, outputs and to some degree outcomes). **Evaluation is undertaken less frequently** at key points in a project cycle and assesses more strategic questions around the quality of a project and the extent to which higher level results (outcome and impact) have been achieved. For example, monitoring data may tell us the quantity of food distributed, to how many people, how it was utilized (Post-Distribution Monitoring – see *Toolkit 2*), while an evaluation may look at longer term change, such as trends in malnutrition rates over time.

The purpose and audiences of monitoring and evaluation also differ. Monitoring focuses on providing information on whether activities are on track for staff and managers, while evaluations will tend to have a broader scope looking at quality, compliance and policy issues, which can assist field staff in learning lessons that can feed back into current or future projects and policies, as well as inform senior management and donors. To facilitate lesson learning, the use of Post-Evaluation Action Plans (*Toolkit 1)* is encouraged. These can also be used for meta-evaluations looking at the extent to which evaluations were utilized for lesson learning.

Both **M&E have an important role to play both for accountability purposes, and also to facilitate learning**. Monitoring is also a key source of data for evaluations.

Box 1.7: Differentiating between monitoring and evaluation

	Monitoring	Evaluation
Objective	To provide progress updates against project indicators, highlighting achievements and challenges, and any variance between targets and what is actually achieved, for project improvement.	To assess whether longer-term strategic project/policy/organization results were achieved effectively, efficiently and sustainably, for accountability or learning purposes.
Methodology	Internally collected qualitative and quantitative primary data on changes in project indicators.	Internally/externally facilitated, information gathering mainly of secondary (including monitoring) and some primary data.
Timing	Continuous process throughout a project, baseline and endline.	Project mid-point, end or real time.
Results	Project performance data.	Strategic findings and recommendations.
Audience	Mainly field staff and managers, partners and beneficiaries; also HQ and donors.	Field/HQ staff, stakeholders, donors, beneficiaries.

1.4 Defining a good M&E system

1.4.1 What is an M&E system?

A project M&E system is a **combination of processes, tools, templates, staff, equipment and activities,** required to **collect, manage, analyze, report and disseminate M&E information.**

1.4.2 What is the purpose of an M&E system?

The purpose of a project M&E system is to:

- Guide understanding of **progress** against **project objectives to shape decision-making;**
- Measure the project's **effectiveness, efficiency and impact;**
- Meet **internal and external accountability requirements** highlighting the extent to which the project is delivering the intended results to key stakeholders, particularly beneficiaries; and
- Contribute to **learning** that informs current and future programming.

1.4.3 Why is an M&E system critical for Results Based (project) Management?

It is important to firstly define what **Results Based Management (RBM)** is. It is a way of management that encourages **strong performance and greater accountability, with a clear focus on the desired results**. Managing for results is to manage a project with the focus on achieving the results intended by and for the people ACF seeks to assist. As such, it is important to plan, manage and measure what is being achieved through a project with a clear focus on the intended (short, medium and long term) results, ensuring accountability throughout to key stakeholders (i.e. beneficiaries, donors, partners, staff, national and local government etc).

M&E is critical for good results based project management as it **collects and analyses information against the project plan, to inform key stakeholders on whether the project is moving towards or actually achieving its intended results or not**. If not, then it allows **informed and evidence-based decisions** on what can be changed in the project to refocus on its intended results.

1.4.4 What does an M&E system look like?

A good M&E system should have the following attributes to it:

- Ensure staff (primarily field project staff and managers, and HQ staff), beneficiaries and donors **understanding of progress against objectives**, to shape field staff **decision-making**;
- Facilitate **participation** from those it seeks to benefit, as well as wider affected populations that do not directly benefit, so that affected communities buy into and shape a project's direction by defining objectives, indicators, means of verification and input into decisions;
- Establish system with a process clearly understood by key stakeholders **from the planning phase**;
- Meets **internal and external accountability (reporting) requirements;** and
- **Facilitate lessons learned** drawing that can inform current and future programming.

In attaining these attributes, an M&E system should be able to assess progress against all the DAC criteria, with an emphasis on the following three:

- **Efficiency** – Measures whether the inputs (money, time, staff, volunteers, materials, equipment) are appropriate relative to the outputs achieved. To ensure the right resources, in the right place at the right time to delivery projects, particularly if planed to replicate or scale up activities, it is

important to understand the most efficient use of inputs relative to outputs. For example, the quantity of seeds distributed relative to the money, time and number of people it took to procure and distribute them.

- **Effectiveness** – This measures the extent to which a project is achieving its objectives, including how relevant activities are meeting beneficiary needs. For example, the extent to which a farmer was able to produce crops as a result of assistance.
- **Impact** – This measures mid- to longer-term wider intended and unintended effects of the project, and whether or not the project made a difference to the problem it sought to address. For example, the extent to which malnutrition rates fell amongst the target population. Before deciding to similar projects or activities elsewhere, it is critical to assess whether activities have had an impact, and if this has been intended or not.

For **M&E to be meaningful and effective**, it is therefore important to have **clear plans against which to assess progress and results**, as well as a clearly planned M&E system. M&E planning simply means the preparation for the M&E system to function effectively. It should provide sufficient detail (methodologies, procedures, tools, responsibilities, budget, and resources) for the **systematic, timely, and effective collection, analysis, and use** of project information.
A good M&E system can help assess progress against different levels of plans. It can help assess **progress against day-to-day activity plans, against annual operational plans and also against organisational strategic plans.**

1.4.5 What are the core tools of an M&E system?

The following are the core tools of an M&E system, and are discussed in greater detail in Chapter 2:

- **Project logical framework** summarises the project plan and ways of measuring achievements;
- **Project M&E plan** summarises M&E data to be collected, how, frequency and by whom;
- **Project budget** summarises project costs including M&E budget resources (depending on project size, the M&E budget line(s) should account for 5-15% of the total budget);
- **Reporting templates** detail what needs to be reported on, frequency and to whom;
- **Monitoring tools** (e.g. questionnaires) detail the methods by which data will be collected.

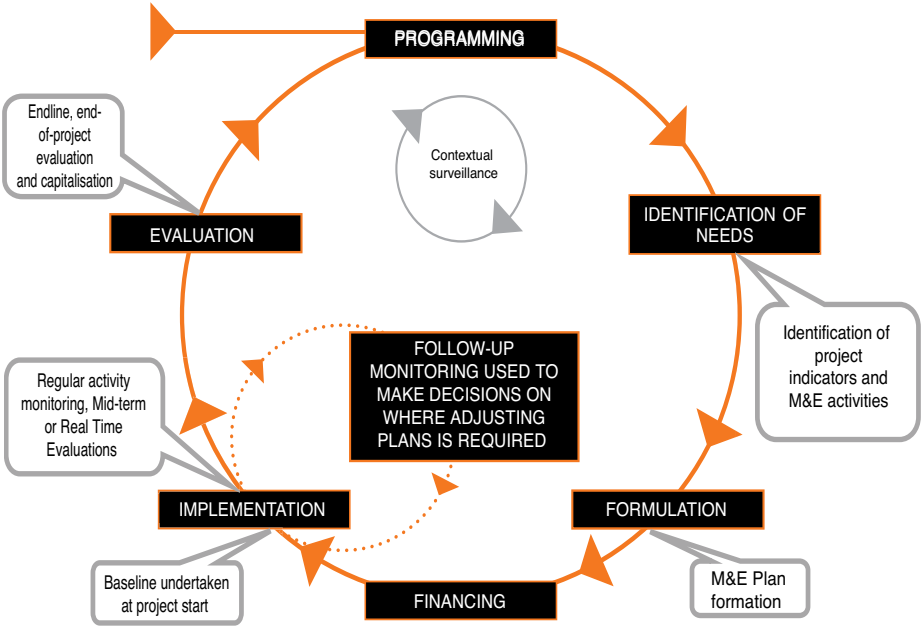
These will form the key project tools and documents that should be made available to all project stakeholders.

1.4.6 When in the Project Cycle should preparation for M&E start?

Project staff should start thinking about and preparing for M&E **right from the beginning of the project.** While the bulk of M&E activities will be carried out at implementation and evaluation stages of the project cycle, it is critical that they are planned for as early as possible. This facilitates to:

- Ensure that planning for the results desired shapes the project design;
- Ensure the process of agreeing M&E activities that will measure whether the project is achieving its objectives is participatory, with communities shaping indicators of success;
- Ensure that M&E activities are appropriately budgeted for and the appropriate staff are put in place and trained accordingly to undertake these activities.

Figure 3: M&E in the project life cycle - M&E activities cut across the whole life cycle of a project



Source: ACF (2008)

- At **programming stage** – When assessments are underway to identify overall problems, constraints, and opportunities, indicators of measurement will start to be determined. As discussions evolve on what data can be collected to assess the situation, this will form the basis for monitoring during implementation and evaluation.
- At **identification stage** – When consultation with intended beneficiaries is underway to analyse in greater detail the problems they face, options to address these and what desired results would look like, indicators for monitoring will be shaped further. This should ensure participatory decisions on what desired results look like (see section 1.5 on participatory systems).
- At **formulation stage** or planning stage – When project ideas are being developed into project plans, this is the key stage at which to draw up a full M&E Plan (see section 2.2) alongside the project logframe. The M&E plan will detail what M&E data needs to be collected, how, when, with what frequency and by whom. Deciding on indicators should be done with community and partner participation, allowing them to determine what desired results should look like. Assumptions/risks identified should also be included in the M&E Plan. Resourcing the M&E Plan in terms of budget, human resources and equipment, should be agreed on and included in the project budget (see step 2.3).
- At **financing stage** – When a project proposal is submitted to the donor, a decision taken whether to fund the project and modalities of implementation being agreed with the donor, resourcing plans for M&E activities should also be negotiated.

- At **implementation stage** – When project implementation has started, regular monitoring in line with plans should be undertaken in consultation with beneficiaries and stakeholders, to assess actual progress against planned targets. This allows to determine whether the project is on track towards achieving its objectives. If necessary, the project is re-oriented to bring it back on track, or some of its objectives are modified in light of any significant changes in context since its formulation. Baseline and endline surveys are facilitated; evaluations might also be undertaken at this stage, e.g. mid-term or real time evaluations, or After Action Reviews, to assess progress and make any necessary changes in activities.
- At **evaluation stage** – An end-of-project and/or impact evaluation of the project facilitates to identify what was achieved and lessons learned. Evaluation findings are used to improve the design of future projects or programmes (see section 2.8).

1.5 Importance of Participatory M&E Systems

1.5.1 Defining participatory M&E system

Effective participatory development must be built on a process in which power, influence, and decision making ensure local involvement, rather than only meeting the accountability requirements of more powerful groups such as donors and host governments. This means that the **women, men, and children** affected by an emergency should be involved in the **assessment, planning, implementing, and monitoring & evaluation of projects to ensure it will have the intended impact.**

A participatory M&E system is therefore one in which as many stakeholders as possible are involved in project monitoring and evaluation, including donors, local government officials, local staff, partners and other NGOs. Most importantly however, the communities in which a project is implemented should have a sizeable say in shaping and undertaking M&E activities, as well as in decision-making around M&E findings. That requires **local participation in all stages of the project cycle** (see section 1.4.6):

- Providing beneficiaries and other key stakeholders with **timely and adequate information** about ACF and its proposed activities,
- Making sure they have opportunities to **voice their opinions** on assessing the situation; shaping project design/plans; identifying what results they want to see and how success of results will be measured; supporting monitoring of activities; judging the results the project is achieving; and, participating in decision-making around the direction of the project.

Project planning and decision-making are often pre-determined by relief agencies' staff, rather than engaging those they are designed to assist. This is often due to the need to act quickly. However, basic accountability to beneficiaries should be adhered to as detailed in Box 1.8 below.

Box 1.8: The basic elements of accountability and participation

At a minimum, humanitarian project staff should:

- Provide public information to beneficiaries and other stakeholders on their organization, its plans, and relief assistance entitlements.
- Conduct ongoing consultation with those assisted. This should occur as soon as possible at the beginning of a humanitarian relief operation, and continue regularly throughout it. 'Consultation' means exchange of information and views between the agency and the beneficiaries of its work. The exchange will be about:
  - ➔ The needs and aspirations of beneficiaries
  - ➔ The project plans of the agency
  - ➔ The entitlements of beneficiaries
  - ➔ Feedback and reactions from beneficiaries to the agency on plans and expected results
- Establish systematic feedback mechanisms (see Section 2.3.5; *Annex 3*) that enable:
  - ➔ Agencies to report to beneficiaries on project progress and evolution
  - ➔ Beneficiaries to explain to agencies whether projects are meeting their needs
  - ➔ Beneficiaries to explain to agencies the difference the project has made to their lives
- Respond, adapt, and evolve in response to feedback received, and explain to all stakeholders the changes made and/or why change was not possible.

Source: Emergency Capacity Building Project (2007) Impact Measurement and Accountability in Emergencies: The Good Enough Guide.

There are a number of advantages to participatory M&E, disadvantages should also be addressed.

Box 1.9: The advantages and disadvantages of participatory M&E

- Evaluations show that involving people improves project impact. It empowers them to analyze and find solutions for their own situation (as "active participants" not "passive recipients").
- Builds local capacity and ownership to manage and sustain project achievements. Increases likelihood of acceptance and utilization of findings.
- Builds collaboration between beneficiaries, staff and partners.
- Reinforces accountability to beneficiaries.
- Can save money and time in data collection compared to using project staff.
- Provides direct field input to facilitate management decision making to execute corrective actions.

- Can require more time and cost to train and manage local staff and community members, and slow down activities.
- Requires skilled facilitators to ensure that everyone understands the process and is equally involved.
- Can challenge quality of data collected where vested local interests are involved. Data analysis and decision making can be dominated by the more powerful voices in the community (related to gender, ethnic, or religious factors).
- Demands genuine commitment of local people and the support of donors, since the project may not use the traditional indicators or formats for reporting findings.

1.5.2 Beneficiary involvement in M&E

Engaging **community participation should happen at the earliest possible moment in a project;** it can never be too early but could be too late. Communities struck by emergencies know what they need and should be engaged in needs assessment from the outset of a project, and throughout the project cycle as demonstrated below.

Box 1.10: How to involve people throughout the project

	Step	Details
☐	**1. Before assessment**	• Determine and clearly state assessment objectives • Inform the local community and local authorities well before the assessment takes place • Include both women and men in the project team • Make a list of vulnerable groups to be identified during the assessment • Check what other NGOs have done in that community and get copies of reports
☐	**2. During assessment**	• Introduce team members and their roles • Explain the timeframe for assessment • Invite representatives of local people to participate • Create space for individuals or groups to speak openly • Hold separate discussions and interviews with different groups, for example: local officials, community groups, men, women, local staff. • Ask these groups for their opinions on needs and priorities. • Inform them about any decisions taken. Note: If it is not possible to consult all groups within the community at one time, state clearly which groups have been omitted on this occasion and return to meet them as soon as possible. Write up findings, describing the methodology and its limitations. Use the analysis for future decision-making.
☐	**3. During project design**	• Give local authorities and community, including the village committee and representatives of affected groups, the findings of the assessment • Invite representatives of local people to participate in project design • Explain to people their rights as disaster-affected people • Enable the village committee to take part in project budgeting • Check the project design with different groups of beneficiaries • Design a complaint and response mechanism
☐	**4. During implementation**	• Invite local community, village committee, and local authorities to take part in developing criteria for selection of beneficiaries • Announce the criteria and display them in a public place • Invite the local community and village committee to participate in selecting beneficiaries • Announce the beneficiaries and post the list in a public place • Announce the feedback and complaint mechanism and encourage beneficiaries to raise complaints

☐	**5. During distribution**	• If recruiting additional staff for distribution, advertise openly, e.g. in newspaper • Form a distribution committee comprising the village committee, government officials, and NGO staff • Consider how distribution will include the most vulnerable, such as disabled people, elderly people, and other poor or marginalized groups • Give the local authority and local community a date and location for distribution in advance where and when safety allows • List items for distribution and their cost and display this list in advance in a public place • Include people living a long way from the village or distribution point and consider to provide transport costs • In order to include vulnerable people (e.g. pregnant women) distribute to them first • Ensure people know how to register complaints
☐	**6. During monitoring**	• Invite the village committee to take part in the monitoring process • Share findings with the village committee and community

Adapted from: ECB (2007) Impact Measurement and Accountability in Emergencies: The Good Enough Guide; Tool 3

A key aspect of community engagement is informing people about ACF and its mandate to manage expectations around what ACF can or cannot do. Information should be provided as often as possible about project plans, entitlements of beneficiaries (in terms of goods and services and accountability), progress monitored and results noted. **It is imperative that information is provided at every stage of the project cycle, until the project exit strategy is completed.**

The extent to which a project actually encourages participation, beneficiary accountability and level of participation should also be monitored.

1.5.3 Community Participatory Methods

Primarily, it is important to **agree with communities** the way in which **communication and participation** will occur, that the **most vulnerable (particularly women, children and the elderly) are not excluded** from communication (particularly during needs assessment and monitoring stages) and that communication is undertaken consistently.

A number of locally available formal and informal communication channels can be used to provide information including notice boards, town criers, community meetings and ceremonies, newspapers, and radio broadcasts in local languages. Staff overseeing communications should be well briefed, about the role and mandate of ACF and the project.

A number *(see Annexes 7, 11-22)* of different participatory approaches and tools can be used to encourage participation. These include:

- Semi-Structured Interviews
- Focus Group Discussions
- Pair-wise Ranking
- Wealth Ranking
- Proportional Piling

- Transect Walk
- Seasonal Calendar
- Venn Diagramming
- Mapping Analysis
- Most Significant Change
- Decision Making Analysis
- Strengths, weaknesses, opportunities and threats (SWOT) Analysis
- Community Meetings and Verbal Reporting

For more information and guidance please consult ACF Food Security and Livelihoods Assessment Guidelines (2009).

When seeking community participation in a project, it is important to be aware of potential barriers to the participation of the entire community or specific target groups (e.g. women). Ways of addressing these should be discussed with the community. Examples are included in Box 1.11.

Box 1.11: Potential barriers to community participation in an ACF project

Potential barriers	Potential solutions to address barriers
• Community ability (e.g. time, interest, availability) to participate – e.g. women have too many household chores to have the time to participate • Psychosocial impact induced by shock (e.g. war or disaster) – e.g. trauma in some prevents participation • Awareness in community of participation benefits or community priorities/interests that differ from project • Barriers to inclusive gender participation – i.e. participation of women • Barriers to inclusive participation of marginalized groups (by age, cast, wealth, religion etc) • Communal groups and networks	• Undertake a time analysis to see how much time and at what times of the day people can participate • Create project conditions that allow participation from a cross-section of the community • Conduct awareness-raising of intentions of project and how the community can benefit • Work with community on ways in and extent to which women can participate • Work with community on ways in and extent to which marginalized groups can participate • Work through existing community groups

Adapted from: ACF (2006), *Community-Driven Participation in Humanitarian Relief Programming*

1.6 Undertaking Monitoring and Evaluation

Who is responsible for overseeing and implementing monitoring depends on the size, structure, and resources of each project and ACF country programme. Responsibility can vary from:

- M&E and Project Officers or others responsible for project implementation are likely to undertake monitoring activities (e.g. data collection and analysis);
- Project Managers, Coordinators and Country Directors are then likely to compile monitoring reports based on the analysis they are given, as well as oversee evaluation management;
- Coordinators and Country Directors are also responsible for overseeing that M&E activities are undertaken in line with project requirements, and coordinated between projects and partner

organizations.

At the time of writing, dedicated M&E resources are not always made available to all projects and country programmes. To rectify this it is recommended that:

- **Budget and human resources** are explicitly allocated for M&E activities, and that these are included in project activity plans (see step 2.3.3);
- **Dedicated people** are available to oversee M&E activities, and clear M&E roles and responsibilities spelled out in M&E plans (see step 2.2).Ideally these people would have strong M&E technical knowledge to be in a better position to consider what data can be collected, analyzed and reported on and how. Where capacity is a constraint, an M&E capacity-building plan should be put in place to build up necessary skills;
- Coordinators and Country Directors should focus on making decisions based on monitoring data provided, rather than only carry out monitoring activities and allow a separation between operational and strategic review and decision-making.

1.7 Monitoring Results and Impact Using a Logical Framework

1.7.1 How to assess impact

Most monitoring activities tend to focus on short-term tangible results in the form of process/ activities, countable outputs and sometimes outcome, rather than longer term change.

To truly assess the extent to which a project has contributed to longer term change, it is important that a project M&E Plan (see section 2.2) emphasizes the use of methodologies that can assess the extent to which longer term change has been achieved.

Box 1.12: The basic elements of impact measurement

Impact measurement means measuring the changes in people's lives (outcomes) that result from a humanitarian project, striking a balance between qualitative and quantitative data. At a minimum, humanitarian project staff should:

- Establish a basic description (profile) of affected people and related communities.
- Identify desired changes, in negotiation with affected people, as soon as possible.
- Track all project inputs and outputs against desired change.
- Collect and document individual and community perspectives through participatory methods in order to:
  - ➔ Increase understanding of what change they desire
  - ➔ Help establish a baseline and track change.
- Explain methodology and limitations to all stakeholders, honestly, transparently, and objectively.
- Use the information gathered to improve projects regularly and proactively.

Source: ECB (2007) Impact Measurement and Accountability in Emergencies: The Good Enough Guide

1.7.2 Logical framework as part of an M&E system

A **project logical framework (logframe)** is an important tool through which to **summarise the project plan**, mapping the **multiple levels of project objectives and associated results** (measured through indicators) in the short, medium and long terms. It should be derived by undertaking a "problem tree" analysis that breaks down problems faced by communities to build

them back up into a “solution tree” or logframe.

Indicators are units of measure, that define ways in which t**o measure whether objectives have been achieved or not**. They are called indicators given that they are often only indicative of whether an objective has been achieved rather than wholly demonstrating it. Indicators should be SMART (Specific, Measurable, Achievable/appropriate, Relevant/realistic, and Timebound).

By mapping out the logical flow or chain of results expected (see *Annex 23*: Designing a Logframe and Indicators), progress against indicators at each level of the logframe can be monitored or evaluated.

Box 1.13: Definitions for logframe terminology

Logframe objectives Definitions		Objectively Verifiable Indicators (OVI) definitions		Sample Means of Verification (MoV)
Overall Objective [Goal]	Broad project objectives in terms of longer-term benefits to beneficiaries and wider benefits to society. The Overall Objective will not be achieved by the project alone; the project aims to contribute to it.	**Impact**	Indicators measuring mid to long term change in conditions of the community (e.g. % change in household food security)	E.g. Baseline and Endline survey (including household interviews & focus group discussions)
Project Purpose	The benefits to be received by the project beneficiaries or target group as a result of the services provided by the programme	**Outcome**	Indicators describing medium-term effects of intervention outputs. (e.g. % change dietary diversity in population with access to food or cash)	E.g. Post-Distribution Monitoring survey; Post-Harvest Monitoring survey
Results [Outputs]	The outputs produced by undertaking a series of activities. These are the services delivered to the intended, and it should be possible for project management to be held accountable for their delivery.	**Outputs**	Indicators describing the immediate effects of an activity; tangible products, goods and services, and other immediate changes leading to the achievement of outcomes. Outputs are mainly measured in numbers (e.g. number of people or % of population served).	E.g. Beneficiary distribution list; attendance lists

Activities	The tangible goods and services delivered by the project. (e.g. distribution of cash grants)	**Process**	Describing the activities undertaken (e.g. Amount of cash distributed)	E.g. Distribution / logistics/ finance records

It is worth noting that measuring impact can be challenging, can take longer to measure, and it might not always be possible to attribute an individual project activity to the impact achieved. Increasingly a multi-sectoral approach to measuring impact is preferred.

Indicators should be measurable, through clear Means of Verification, and should each have a clear target and baseline against which to measure progress, as exemplified below.

For ACF's FSL projects, a selection of core indicators which are mandatory and a selection of optional thematic indicators by project area have been defined to shape logframes (see *Annex 23*).

Summary of Chapter 1

Chapter Summary

1. **Monitoring is the systematic and continuous collection, analysis and utilization of information on project achievements throughout an intervention**. There are many different types of monitoring including setting of baselines and endlines. A good monitoring system should be **simple, relevant, participatory, analytical, useful and accessible**.

2. **The purpose of monitoring is to assess the extent of progress against plans**, identify risks or problems and solutions to these; the **degree of relevance** of a project in **meeting needs; identify learning; and providing data for evaluations**.

3. **Consideration of M&E activities should begin as early as possible in project assessment and design stage**, to ensure appropriate means of measuring progress, results and quality are built into the project structure. Necessary steps are covered in Chapter 2.

4. **The difference between monitoring and surveillance** is that **surveillance** focuses on the regular analysis of a multi-sector **context** of target populations / areas, rather than on continuous analysis of **project** changes, as monitoring does.

5. **Evaluation is the impartial examination of humanitarian action** that occurs **at certain points in time of a project**, intended **to draw lessons and improve policy and practice, and enhance accountability**. Evaluation is less frequent than monitoring, occurring at a project's mid-point, end or real time, and assesses whether project results were achieved effectively, efficiently and sustainably, and any lessons learned.

6. The **purpose of an evaluation can be to assess the extent to which project plans were achieved** (accountability-oriented evaluation) or **capture lessons learned** that can be used for decision-making and future projects (learning-oriented evaluations). While most evaluations seek to achieve both, there should be clarity on the primary purpose so appropriate methodologies can be used.

7. **The difference between evaluation and capitalization** is that evaluations are undertaken **for accountability or lesson learning purposes** and can be externally or internally driven, while **capitalization focuses on knowledge sharing** within an organisation and to actors.

8. **A project M&E system** is a combination of processes, tools, staff, equipment and activities used to **collect, manage, analyze, report and disseminate M&E data**.

9. The **purpose of an M&E system** is to **measure project effectiveness, efficiency and impact,** assess the extent to which it is **achieving objectives and relevant in addressing needs** effectively and efficiently, meeting **stakeholder accountability requirements**.

10. An M&E system **contributes to learning** to inform current and future programming.

11. The core tools of an M&E system include the project document or proposal; project logframe; project M&E plan; project budget; reporting templates.

12. **A participatory M&E system** ensures a sizeable local involvement in reviewing M&E findings and input into decision making on how a project is altered accordingly.

13. **A project logframe summarizes the project plan**, mapping the multiple levels of project objectives, associated results in the short, medium and long terms, risks and assumptions. It should be derived by undertaking a "problem tree" analysis breaking down problems to build a "solution tree" or logframe.

14. **Indicators are units of measure, used in a logframe, to measure whether project objectives are achieved**, and are the basis for monitoring activities. They should be SMART (Specific, Measurable, Achievable, Relevant, Timebound).

CHAPTER 2
STEP-BY-STEP APPROACH TO M&E

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CHAPTER OBJECTIVE

The aim of Chapter 2 is the introduction to a step-by-step approach to setting up a project M&E system and associated tools to facilitate this, including a set of core FSL indicators.

A few aspects to consider ahead of reviewing this section include:

- **Thinking about M&E should begin at the identification of needs stage**, when a problem analysis is being undertaken, consultation with beneficiaries is happening and indicators of the type and scale of the problem are being assessed (see section 1.4.6). Steps 1-3 should be put in place during project formulation or planning stage and before implementation starts, to ensure an appropriate M&E system is in place allowing project staff and managers to check that the project is on track. If project activities started, it is difficult to go back and set up an M&E system. The project team will not get the full benefit of it and may see it as a burden, while planning for it will help their ability to deliver.
- The below **checklist should then be reviewed at project formulation or planning stage** – i.e. When project ideas are being developed into operational project plans, and beneficiaries and other stakeholders are being consulted in more depth about project plans.
- All the below steps are applicable to **all contexts** – emergency, recovery and longer-term development projects. For projects in emergency contexts, steps will necessarily have to be covered faster, whereas for recovery projects, those in chronic crises or developmental projects, more time will be required in planning for and carrying out the steps.

2.1 Step 1: Agree on Purpose and Principles of the Project's M&E System

Step 1: Agree on purpose and principles of the project's M&E system
Objective of step: Ensure M&E requirements of stakeholders are covered and there is agreement on purpose and basic principles of M&E system to be established
Timing: During project proposal design, before starting to plan for monitoring
Activities: 1.1 Agree on the purpose of the project M&E system 1.2 Confirm stakeholder information requirements 1.3 Agree on the extent of stakeholder participation 1.4 Determine M&E milestones (e.g. evaluations)

The following activities should be undertaken in Step 1, at project formulation stage:

2.1.1 Agree on the purpose of the project's M&E system

As detailed in section 1.4 an M&E system should outline the purpose and approach to M&E in a project. The purposes of the M&E system will determine its structure. **Agreeing on the purpose of the project M&E system will determine the information it needs to include, the methodologies used for collection and analysis of data, and the capacity, technical and financial resources required to deliver it.**

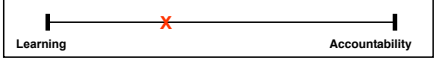
The M&E system will largely be determined by the project indicators agreed on, which will be used to determine the efficiency, effectiveness and impact of the project. These and the purpose of the system should be agreed on and commonly understood as an approach adopted by the project team, through a workshop involving key project staff. Pre-work will be required to get input from other stakeholders (see section 2.1.2).

As highlighted in section 1.4 the following should be considered as the purpose of the M&E system:

- Guide **understanding of progress against project objectives to shape decision-making**;
- Measure project **effectiveness, efficiency and impact;**
- Meet **internal and external accountability requirements** highlighting the extent to which the project delivers the desire to key stakeholders, particularly beneficiaries; and
- Contribute to **learning** that informs current and future programming.

Agreement should be reached on the extent to which the M&E system should facilitate **learning from the project versus accountability on performance** to key stakeholders. This can be agreed on as a spectrum demonstrated in Figure 4.

Figure 4: Learning vs. Accountability spectrum



Box 2.1: Accountability vs. learning oriented M&E system	
If the M&E system is more **learning-oriented**, then:	If the M&E system is more **accountability-oriented** then:
• There tends to be a greater focus on qualitative data, documenting learning and assessing how it has been applied to current work and how it can be applied in future;	• Focus tends to be on quantitative data to assess progress against logframe targets of current project. Reasons for variance against targets can also facilitate learning;
• Data gathered and analyzed is more likely to be used to inform internal stakeholders of learning;	• Data gathered and analyzed is more likely to be used to inform external stakeholders of progress against plans;
• Learning will tend to be used to continuously revise more fluid plans.	• Plans will tend to be static, so that progress can be measured against these.

Agreeing on where your priorities are on the spectrum will also determine how to allocate resources.

As well as learning and accountability objectives, other purposes of the M&E system may be to:

- Assess the extent of **project coverage** and the effect on people excluded from activities;
- Assess the extent to which project benefits can be **sustained** after activities cease (e.g. undertaking a 12 months post training survey to assess the extent to which knowledge through training has been sustained);
- Assess the extent to which the project is in **compliance** with ACF standards (e.g. ACF International Charter), sector standards (e.g. Sphere), sector codes (e.g. Red Cross and NGO Code of Conduct), agreements and contracts signed (e.g. donor requirements and Memoranda of Understanding), Government regulations and laws and ethical standards.

The information requirements of key project stakeholders (e.g. donors) will also contribute to shaping the purpose of the M&E system (see *Annex 24*).

Methods and tools to assess each of these are covered in section 2.1.2.

2.1.2 Confirm stakeholder information requirements

An M&E system will usually serve multiple information needs for multiple stakeholders. In agreeing on the purpose and structure of the M&E system, it is important to be clear on **who the M&E system is being set up to serve and what their information needs are.**

A common misconception is that M&E is done solely to meet the accountability requirements of donors and Headquarters (HQ). While these stakeholders are indeed important, **the key stakeholders should be the project team and management that can use the information to make evidence-based decisions on changes required to the project.** Partners who are supporting project implementation are also important, in that M&E analysis can help improve the realization of common objectives. Beneficiaries as the end users are the other key stakeholder; their information needs and feedback should be built into the M&E system. Input from a range of local stakeholders will increase the likelihood of using relevant information to shape the project (see section 1.5).

A stakeholder analysis should typically be undertaken at project planning stage. This will shape understanding of stakeholder information needs. However, it is recommended that a fuller analysis of their information requirements is undertaken when planning the M&E system. These can be captured in a Stakeholder Information Needs Matrix.

2.1.3 Agree on the extent of stakeholder participation in M&E

ACF encourages active stakeholder participation in project formulation, implementation and M&E activities to ensure relevant programming and accountability (see section 1.5). As detailed above, project stakeholders should be determined through a stakeholder analysis at the planning stage. Of these, the most important are the communities that are the intended beneficiaries.

Box 2.2: Community participation in M&E

The ACF *Food Security Intervention Principles* stipulate that community participation and reinforcement of local capacities should be applied throughout the programme cycle. This means that **the community should be directly involved in identifying their own needs, defining the programme** objectives, implementing the activities and monitoring and evaluating the programme. This participation is key to ensuring that the programmes are best adapted and meet both the needs and expectations of the population.

Source: ACF (2006), *Community Participation Approach Manua*l; ACF (2006), *Community-Driven Participation in Humanitarian Relief Programming*

There are however degrees of participation (see *Annex 25*), with associated resource implications that will have to be factored into the M&E plan. **Greater participation will require more resources in terms of staff time and budget** to carry out such activities. This should not be seen as a hindrance to participation; rather greater participation is likely to reduce the cost of project corrections if beneficiaries have not been significantly involved.

Aspects of M&E in which beneficiaries should participate include the below, bearing in mind that **it is imperative to have involved beneficiaries at project assessment and planning stages:**

Box 2.3: Example beneficiary participation in M&E activities through project cycle	
M&E activity type	**Means of beneficiary participation in monitoring/research activities**
Logframe and M&E Plan design, and indicator identification	Participatory project planning; Community meetings; Focus group discussions; Participatory techniques (e.g. Transect Walk, Seasonal Calendar, Mapping, SWOT analysis, Proportional Piling (*Annexes 14-16, 18, 21*)
Implementation monitoring	Feedback/complaint mechanism, Individual/Household Survey participation; Focus group discussions to review M&E findings; Participatory techniques for project decision-making (e.g. Decision Making Analysis - *Annex 20*)
Review participation	Participatory techniques (e.g. Most Significant Change - *Annex 19*); Community meetings
Evaluation participation	Participatory techniques (e.g. Most Significant Change - *Annex 19*); Community meetings
Reporting	Verbal reporting (*Annex 22*); feed M&E findings back to communities to analyze them and make recommendations; Community meetings

2.1.4 Determine M&E milestones

The ACF Evaluation Policy and Guideline details certain key milestones that should be factored into the M&E plan and included in the M&E calendar, the key one being that **all projects should be evaluated**; smaller ones of less than €400,000 budget once at the end of the project through an internal evaluation and larger ones of more than €1,000,000 at the mid-point and end-point of the project, and both as external evaluations.

It is also recommended that **After Action Reviews** (see *Annex 9*) should be undertaken after each emergency intervention to learn lessons from what went well and what went less well.

For **monitoring milestones, key minimum requirements** include:

- A **baseline survey** undertaken before project implementation commences;
- An **M&E Plan** should be put in place before project implementation commences;
- **Minimum project monitoring** requirements include:
  - ➔ **Inclusion of beneficiaries in project indicator formation**;
  - ➔ The use of **post-distribution surveys** for agricultural, livestock and pisciculture, food assistance and cash-based interventions;
  - ➔ The use of **pre- and post training surveys** for educational/training/capacity building activities; post tests should be done immediately after training and 12 months later.
- An **endline survey** should be undertaken on completion of project implementation.

2.2 Step 2: Agree on and Design Core Documents to set up an M&E System

Step 2: Agree on and design core documents to set up an M&E system
Objective of step: Ensure key M&E documents are in place to establish M&E system
Timing: During the project design and proposal writing stage
Activities: 2.1 Select project indicators and agree on a process to assess progress against them 2.2 Create M&E Plan 2.3 Agree on resources for the M&E plan

2.2.1 Select project indicators and agree on a process to assess progress against them

An M&E system is built around the project logframe, which summarises plans to address the problem(s) analysed, objectives to address this/these, and intended results (activities, outputs, purpose and goal). As highlighted in Chapter 1 (see section 1.7 and *Annex 23*), logframe indicators are the means of verification to measure progress against these objectives.

At project planning stage, logframe indicators should be agreed on. **Preliminary thinking about the purpose of a project M&E system should happen at the same time as indicator selection**, so that indicators selected can meet the agreed on purposes (i.e. efficiency, effectiveness, impact). Good quality logframes and indicators are essential to being able to effectively monitor project progress. As such, **agreement on indicators should be done through a combination of:**

- **Participatory methods** engaging beneficiaries in their articulation of what desired change looks like for them (see section 1.5);
- **Utilising ACF's core FSL indicators** that should be part of the logframe (see *Toolkit 3* and Box 2.4 below); and
- **Selecting relevant indicators from ACF's optional thematic indicators.**

When determining indicators for an FSL project, these should include ACF's core FSL indicators, as well as a selection of other relevant thematic indicators by programme area (see *Toolkit 3*). The core indicators are mandatory, while the thematic indicators are intended to supplement these, depending on the thematic area of work for each project. Project staff can select which thematic indicators they want to use to supplement the core ones, depending on the project objectives, activities and context.

NOTE: The **core indicators do not need to all be in the Logframe submitted to the donor, but should be reflected in the monitoring data collection tools** to ensure consideration of the respective indicators to measure the impact of FSL programmes on the supported population.

Core indicators – With an increasing recognition that malnutrition is caused by a combination of FSL, health, water, sanitation and hygiene, and behavioural/care factors, **the core indicators chosen seek to highlight the links and impacts they have on malnutrition**, and to encourage a more holistic approach to programming while addressing the underlying causes of malnutrition. ACF's core organizational aims are of preventing malnutrition, and where required treating it. As such, any FSL programmes implemented should link to these aims. The purpose of having core indicators is therefore:

- To ensure that all programmes **work towards these common objectives;**
- To serve as the **standard indicators** against which all programmes can report by collecting some cross-sectional comparative data;
- To encourage greater **focus on the medium and longer-term change** being brought about by programming, as opposed to focus solely on activities and outputs.

Box 2.4: ACF core indicators

What are ACF's core indicators?

ACF has selected six core indicators that give an overview of the factors affecting household FSL and ultimately malnutrition. The indicators and details about how to measure them are captured in *Toolkit 3*; guidance for each indicator and the necessary tool is provided in *Annexes 26-33*. The core indicators are mandatory across all FSL projects, and should be collected with the frequency indicated in *Toolkit 3*.

Triangulation of the core indicators results is necessary to improve and strengthen the understanding and influence of each indicator on household food security and malnutrition.

- **Dietary Diversity on Household or Individual** level measured by Household or Individual Dietary Diversity Score, or Food Consumption Score (*Annexes 26 -28*)
- **Severity of Household Food Insecurity** measured by Household Food Insecurity Access Scale (HFIAS) (*Annex 29*)
- **Availability of Sufficient Food on Household level** measured by Months of Adequate Household Food Provisioning (MAHFP) (*Annex 30*)
- **Risk to malnutrition of children under 5 years** of age in the household measured by Mid Upper Arm Circumference (MUAC) (*Annex 31*)
- **Evolution of market prices as** measured through Regular Market Price surveys (*Annex 32*)
- **Number of people benefiting** from the implemented activity or project (*Annex 33*)

Thematic indicators – Besides the core indicators, a list of thematic FSL indicators (*Toolkit 3*) have been created that focus more specifically on ways of measuring change in each thematic area. These are optional as they will depend on what specific thematic areas a project is covering and the local context, hence project staff can select the indicators most appropriate for their objectives, activities and context.

Selecting from a predetermined list of indicators facilitates standardisation and harmonisation across projects, while also allowing flexibility to adapt them to be context-specific. The thematic indicators are by no means complete but are intended to support and inspire the creation of appropriate and harmonised indicators for project and programme monitoring.

Box 2.5: ACF thematic indicators

What are ACF's thematic indicators?

As outlined in *Toolkit 3*, thematic indicators are suggested impact, outcome, output and process/ activity indicators. ACF Staff can select from the list of these indicators, which are most relevant to their work in their given context. The nine thematic areas covered in the indicators framework include:

1. Agriculture interventions, including horticulture, agriculture and agro forestry
2. Livestock and Fishery interventions, including pisciculture, cuniculture, apiculture, aquaculture
3. Food assistance, including general food distribution, food vouchers, food for work, etc.
4. Cash based interventions, including cash grants, vouchers, cash for work etc.
5. Education/Training/Capacity Building interventions
6. Disaster Risk Management (DRM) & Natural Resource Management
7. Hunger Safety Net and Social Protection Interventions
8. Income Generating Activities
9. Surveillance/Early Warning System Interventions

For each indicator, agreement will need to be reached on:

- **What variables need to be calculated** to build up the indicator information (see *Toolkit 3*);
- What **methods of data collection** (or Means of Verification) should be used to measure progress;
- What the **frequency** of data collection should be for each data set;
- What additional information and considerations are needed to ensure appropriate use of the given indicators.

A thorough review of the availability of secondary data should be undertaken to see what may be of use to the project and where it reduces the need for primary data collection. A search should be conducted online and by asking local and international stakeholders and partners on the ground for all available information, and contacting experts with special knowledge of the context and population.

Once indicators and measurement methods have been defined, a more detailed M&E plan can be developed as key pieces of data and how they will be collected have already been identified.

Box 2.6: Data Selection Criteria

When considering what data to select as part of indicator data, it is important to weigh up this data against the following criteria:

1. **Relevance**: Only collect data that meets the project stakeholder information needs, to inform project management and decision making. Excess information can be costly and make project management more difficult.
2. **Validity**: Data use should be able to measure the changes being tracked.
3. **Precision & Accuracy**: Data should represent the actual population and their situation. Both are statistical terms that are important when using sampling methods (see section 2.4.3).
4. **Coverage & Completeness**: Data should cover all study groups of interest.
5. **Reliable**: Data should be verifiable, producing the same results when used repeatedly to measure the same thing over time.
6. **Comparable**: Where possible, especially for quantitative studies, data findings can be stratified/clustered and compared across different contexts e.g. areas or population groups.
7. **Standardized**: Related to comparability, data should, when possible, use standard indicators so they can be consistent and comparable.
8. **Realistic**: It must be possible within the resources available to collect, analyse and use the data specified.
9. **Timely**: Data collection, analysis, and reporting should be timely for its intended use – e.g. to inform decision about how the project should progress. Accurate information is of little value if it is too late or infrequent. A compromise between speed, frequency, and accuracy may be necessary.
10. **Ethical**: Data collection, as well as analysis and use, should respect the dignity and security of all stakeholders involved (see Chapter 3).
11. **Secondary**: When appropriate, data that can be obtained from reliable secondary sources can save time and money.
12. **SMART**: Data should be Specific, Measurable, Achievable (or Area-specific), Relevant/ Realistic, Time-bound. Geography and demographics should be defined.

2.2.2 Create M&E plan

An M&E plan is critical for organizing project M&E activities, both so that a project team can prepare for and execute them in a timely manner to inform programming decisions, having allocated the appropriate resources for them, but also so that it can be shared with other stakeholders for coordination purposes.

An M&E plan is based on a project logframe, and details for the project cycle are the following:

- The monitoring information to be collected and analyzed for each indicator;
- The methodologies to be used for data collection and analysis;
- The frequency of data collection and analysis;
- The responsibilities to collect, analyse and report on the data;
- The usage of the data, and in what format it will be distributed and by whom.

The M&E Plan should be linked to an M&E calendar (see *Toolkit 4*) which gives an overview of when different monitoring activities (surveys etc.) and evaluations will be undertaken, helping the project team plan out their resources throughout the year and project duration.

Box 2.7: Reasons for and benefits of having an M&E plan

M&E plans are becoming standard practice in the sector. While they may be perceived as requiring time and effort to create and being yet another tool, having an M&E Plan can provide the project team and their stakeholders with a number of benefits:

- Data collection, analysis and reporting is more efficient when thinking has gone into what data should be collected and how it will be used in a planned way;
- Help project managers plan the use of resources to avoid staff overstretch;
- Avoid over-promising on data and then under-delivering. It is easier to agree what data can and cannot be collected at the outset of a project rather than finding this out when M&E activities commence;
- Allows a crosschecking of logframe content to ensure it is realistic;
- Act as a form of knowledge management and transfer. High staff turnover, particularly in humanitarian contexts mean that new staff can quickly get up to speed on project M&E requirements;
- Highlight opportunities for coordination of indicators, data gathering and sharing of data collected across projects/programmes within ACF and with partners that reduces human and financial resource requirements. Agreement on common indicators, methods, tools and formats reduces the M&E overload.
- It can require more time and money to correct poor quality data than spending a few more resources at planning stage to help get more reliable and useful data.

A rough M&E plan should be created during project formulation phase, such that appropriate resources can be requested through the project proposal. The plan should then be finalized when funding is agreed on and before a baseline is undertaken and project activities commence. Two examples are shared in *Toolkit 5 and 6*.

NOTE: Assumptions are often overlooked but monitoring them (which need to continue to hold true for objectives to be met) is critical. In this instance, an assumption should be treated like an indicator and should be included in the M&E Plan.

Examples of different monitoring activities which measure the process and progress of nine thematic project areas are included below:

Box 2.8: Considering different monitoring activities by project type

The below highlights the kind of monitoring activities being undertaken by project type. These are covered in greater detail in *Toolkit 3* - ACF Core and Thematic Indicators.

Project type	Results being assessed	Example monitoring activities
Agriculture and Horticulture	Yield/loss; production diversity; utilization; ability to sustain family needs; nutritional status; market implications	On-site monitoring; Pre- and Post-Harvest Monitoring; Pre- and Post-Distribution Monitoring
Livestock and Pisciculture	Yield/loss; rearing; species diversity and utilization; ability to sustain family needs; veterinary and paravet services; multiplication rates; disease incidence	On-site monitoring; Pre- and Post-Distribution Monitoring
Food Assistance	Utilization; nutritional status; market prices	On-site monitoring; Pre- and Post-Distribution Monitoring; Food Basket Monitoring
Cash Based Interventions	Supply & demand assessment; goods availability; seasonality; trade; accessibility; competition; number of traders / customers; utilization	Market monitoring; cash/ voucher distribution/transfer monitoring; on-site monitoring; Pre- and Post-Distribution Monitoring
Education / Training / Capacity Building	Knowledge, attitude and behaviour changes;	Pre- and Post-training Survey and 12 months follow-up survey; Attendance records
Disaster Risk (DRM) and Natural Resource (NRM) Management	Hazard/risk assessment	Hazard/risk monitoring; Cost-Benefit Analysis
Hunger Safety Net and Social Protection Interventions	Storage, coping strategies, expenditure pattern	Pre- and post-distribution Monitoring
Surveillance/Early Warning System Interventions	Early alerts issued; recommendations for response followed; partners involved	Pre- and post-programme monitoring

2.2.3 Agree on resources for the M&E plan

While the full M&E Plan and resources required for it will tend to be fleshed out once project funding has been agreed on and prior to activities commencing, it is critical to assess approximate overall resource requirements at the proposal writing stage.

Often M&E activities are not fully undertaken or are undertaken as an after-thought and therefore their full benefit is not reaped in terms of improved project performance, with this often due to their

not being properly resourced in terms of funds, human resources or capacity. Spending some time during project proposal writing stage undertaking an initial draft of the M&E Plan and resourcing required for it will help more effectively prepare for project M&E.

Typically in the humanitarian sector, **some 5-15% of the total budget is allocated to M&E costs. This can be used as a rule of thumb in preparing an M&E budget.**

2.3 Step 3: Establish Project M&E System

Step 3: Establish project M&E system
Objective of step: Ensure the appropriate plans, processes and capacity are in place for the M&E system to function effectively
Timing: After funding agreed but before project implementation commences
Activities: 3.1 Finalize M&E plan agreeing on cross-cutting variables 3.2 Assess the capacity of staff in M&E and determine the extent of external support required 3.3 Agree on budget for M&E 3.4 Train project staff on monitoring 3.5 Set up stakeholder feedback mechanism

2.3.1 Finalize M&E plan agreeing on cross-cutting variables

At this stage, details of the project cycle with the agreed on funding set the course for the preparation of implementation. The M&E plan initially drafted at project planning stage should also be finalized. This entails:

- **Reviewing the indicators and associated Means of Verification** to ensure they remain relevant and feasible with resources available and, looking at details of specific qualitative and quantitative techniques (below).
- **Agreeing on crosscutting themes that need to be monitored or evaluated** as part of the project. These may include issues pertaining to gender and equality in specific project activities, HIV/AIDS, or environmental sustainability and climate change (Disaster Risk Management and Natural Resource Management). Where this is the case, specific indicators reflecting these should be included (see *Toolkit 3*).
- **Agreeing on the balance between primary and secondary data.** Primary data are data collected directly by the project team, while secondary data are collected by others. Primary data can be expensive to collect and at times may duplicate data being collected by others. Secondary data may be cheaper as research costs are not required and can meet project needs; however, it is not always relevant (e.g. it may cover a different area to that of the project) nor always reliable. Examples of secondary data that could be used are, FSL assessments done by FAO/WFP/FEWSnet, price trends captured by the Government, NGOs or the UN, or demographic statistics available from the local or national authorities.
- Determine what data ACF or partners are already collecting, and what data needs to be collected. **To avoid duplicating research costs when data may already be available, it is important to dialogue with partners working in the same thematic and geographic areas of implementation to assess whether data can be shared.** This can often be done through sector coordination meetings, and most usefully by sharing M&E plans with partners.
- **Agree on the balance of quantitative and qualitative data required**. When finalizing the M&E plan, it is important to reflect on the value added by collecting different data and whether the right balance of quantitative and qualitative data has been included. Is the data intended to assess change over time in scale or quality? If scale, then quantitative data are required. If quality, then some quantitative data and some qualitative will be required. Is it to look at changes

in opinions? If yes, then a combination of quantitative and qualitative data is required. Is it to assess whether objectives are being met? If yes, then quantitative data against indicators is required and qualitative data to substantiate the quality aspect. Is it to look at lessons learned and what could be done better? If yes then qualitative data (e.g. through an After Action Review - see *Annex 9*) is most likely relevant. All of these questions can be answered through quantitative or qualitative research, or a mix of both (mixed methods).

Quantitative data are often seen as more objective and less biased. Qualitative data tends to focus on opinions and is sometimes seen as "less scientific" as it is not an exact measurement of what is being studied and generalisations or comparisons are limited. However, quantitative methods can be costly, and may not provide explanations on why certain data trends occur.

Box 2.9: Comparing qualitative and quantitative methods

Quantitative	Qualitative
Quantitative data refers to the use of numbers (e.g. counting, percentages, ratios, ranking, scores, etc.) and is compiled though structured approaches, e.g. surveys, participatory techniques. Responses are coded or include value scales (e.g. a 5-point scale: agrees strongly, agree slightly, neither agree nor disagree, disagree slightly, disagree strongly or not applicable).	Qualitative data refers to using words (e.g. case studies etc.). Qualitative methods use semi-structured approaches (e.g. interviews, focus groups, observation), and tend to be more participatory and encourage greater reflection. They tend to focus on opinions, behaviour and quality aspects, as well as reasons for behaviour, causes and effects.

2.3.2 Assess the capacity of staff in M&E and determine the extent of external support required

A first step to plan for M&E human resources is to **determine the available M&E experience within the project team and other potential participants in the M&E system** (e.g. the communities). It is important to identify any gaps between the project's M&E needs and available personnel, which will inform the need for capacity building or outside expertise.

Key questions to facilitate capacity assessments include:

- Is there existing M&E expertise among the project team? Does this match with the M&E needs of the project?
- Is there technical/advisory M&E support from HQ? If so, what is their availability for the specific project and where do their skills lie (thematically, qualitative/quantitative)?
- Do the target communities have any experience in M&E?

A capacity assessment should be used to shape the M&E Plan (see *Toolkit 4*) in terms of determining M&E roles and responsibilities.

Depending on internal capacity, the extent of external M&E support required should also be determined. External support would only be employed for specific technical expertise, for objectivity, to save time, or as a donor requirement. Examples of when external expertise may be relevant include:

- For project data entry and statistical analysis.
- To undertake specific studies (e.g. household surveys, baseline or endline studies).
- For external, independent, final evaluations.

In looking to bring on staff to undertake M&E responsibilities, key steps include:

- Identify M&E human resource requirements;
- Create a job description;
- Advertise for the position;
- Sort, shortlist, and prescreen applicants;
- Interview the candidates; and
- Hire and orient new staff.

It is important to use tools and mechanisms to manage the time of those involved in M&E, and assess their performance. The M&E Plan (see *Toolkit 4)* helps define these roles and the timeframe. Other tools, such as a Project Human Resource Plan and timesheets (see *Toolkit 7*) can help manage staff time. It is also important to look to staff performance management through relevant HR appraisal tools.

As a rule of thumb and depending on the size of the project some 5 to 15% of the budget should be allocated for M&E. An M&E focal point for the project should also be defined.

Box 2.10: Checklist for M&E resource planning and allocation

Activities	Key tools
• Assess the capacity of staff to realize the M&E system and provide training on M&E processes. • Assess extent of external support required. • Agree budget for M&E	• Project Human Resource Plan • M&E Capacity Checklist • Training plan • M&E Plan • Project Budget • M&E budget

2.3.3 Agree on budget for M&E

It is best to begin planning the M&E budget early at project formulation stage, so that sufficient resources can be factored into project formulation for M&E activities.

The following are five key considerations that should be made when planning the project M&E budget:

1. **Listing all M&E tasks and analyzing responsibilities in the M&E Plan** and assess resources, and associated costs against each.

2. **Break down any big items** such as baseline surveys and evaluations into their component parts (see *Annex 60*). Include any related expenses, e.g. translation, data entry, etc.

3. **Budget for human resources**, such as permanent international and national staff, local temporary staff supporting monitoring, external consultants, etc.

4. **Budget for any capacity building/training** and any tool development.

5. **Budget for capital expenditure**, such as facility costs, office equipment and supplies, data collection tools, any travel and lodging, computer hardware and software, printing, publishing, and disseminating M&E documents, etc.

It is important to remember that primary research is expensive, so the budget will be determined to a large extent on the tools and sampling methods employed which will in turn inform the expertise and human resources needed, as well as hardware and software.

Budgets should be exhaustive in order to avoid that lack of funding does hold up the process. Past practices by ACF or other NGOs in the area can be researched to determine local costs.

2.3.4 Train project staff on monitoring

A full FSL M&E Guideline training package has been developed according to these guidelines. The guidelines and the training tool kit can serve as the basis for staff and partner training, refreshers and guidance in costing and planning. For the training materials please contact the ACF HQ FSL advisors.

2.3.5 Set up stakeholder (beneficiary/staff) feedback mechanism

A feedback mechanism is a particularly important monitoring data collection method/tool. It is a means by which stakeholders can provide feedback or voice concerns or complaints about ACF and its work. **Feedback mechanisms should be an important part of an overall M&E system** where feasible. In those instances where a full feedback mechanism cannot be implemented (e.g. given security or resource constraints), **at a minimum the following ways of engaging with beneficiaries should be undertaken:**

- Explaining the purpose of monitoring and the types of monitoring that will occur;
- Discussing with beneficiaries how they can engage in monitoring; and
- Discussing with beneficiaries how M&E findings will be fed back to them for discussion on implications for potential project activity improvements where required.

Feedback mechanisms form an important component of an M&E system in that:

- Feedback reflects perceptions from stakeholders about how a project is running, and is therefore a key **means of monitoring quality and the extent to which a project is addressing identified needs.**
- Feedback can be **internal or external**. Most importantly, beneficiaries should have the opportunity to feedback their perceptions of programmes established to assist them and express any concerns/complaints. However, it is also important for other stakeholders (e.g. project staff, volunteers, partners and donors) to have the opportunity to provide feedback. Feedback can therefore be external to the project team and ACF (e.g. a beneficiary feedback mechanism), or internal (e.g. a staff complaints mechanisms). When setting up a beneficiary complaints mechanism, it is important to simultaneously allow for staff, volunteers and partner complaints. Collecting complaints from beneficiaries about those implementing the project requires allowing implementers a voice as well.
- As feedback can be **positive or negative**, it is an important means by which to assess what is and what is not working in a project; aspects working well can be reinforced, while those working less well can be addressed and valuable lessons learned. At a minimum, any feedback mechanism should include a complaints mechanism to voice grievances.
- Project staff and community leaders need to be encouraged to **view complaints as opportunities for change and learning** rather than threats to be avoided. This takes time. To mainstream this, complaints received can be included as an indicator of success in project log frames – demonstrating a commitment to accountability and participation.

Box 2.11: The benefits of a feedback mechanism

A feedback mechanism can provide multiple benefits to support project M&E including:

- **Monitoring and evaluating project performance** - Feedback from beneficiaries and staff can provide insight into whether a project is delivering as intended, and if not why not and what corrective action needs to be taken.
- **Anticipate and address potential problems -** Timely feedback can identify and respond to unintended results or potential problems before they escalate into larger problems.
- **Identify lessons and solutions** - Feedback from people concerned about the project can identify solutions to problems, corrective action, best practices, and lessons learned.
- **Increase accountability and credibility** - Due to their vulnerability, recipients of aid typically have less control and choice over the services they receive. Therefore, stakeholder feedback is an important way to hold staff responsible and answerable to beneficiaries. Feedback builds credibility and can be used to report to donors.
- **Reinforce morale and ownership** - Stakeholders (beneficiaries, staff, volunteers), feel greater involvement and ownership when consulted. This can build also team spirit.
- **Preempt rumors and misunderstandings** - It is better to have dissatisfied stakeholders expressing themselves to ACF rather than to others, such as the media. A feedback mechanism can rectify minor or unintended mistakes and clarify misunderstandings.
- **Save resources** - Feedback mechanisms can be cost-effective. Field staff are often approached by beneficiaries, or potential beneficiaries, wishing to express concerns. This can be time-consuming and is often not handled in a timely/consistent manner. A feedback mechanism can help channel such dealings in a more constructive and efficient manner saving time and project resources to ensure a project is delivering what is required.
- **External requirement** - Increasingly more donors are requiring the use of a complaint system as a means of encouraging accountability to beneficiaries.

Feedback mechanisms can take a number of different forms (see *Annex 3*), a key one of these being a complaints mechanisms, established specifically to address complaints.

Box 2.12: Complaints mechanisms as a critical part of feedback and monitoring

What is a complaint mechanism? It is an established process for stakeholders to safely voice their complaints or concerns, with these addressed objectively against a standard set of rules and principles. It allows accountability to the project and organizational stakeholders, especially the responsibility to respond to any misconduct (e.g. abuse of power, corruption and issues of sexual exploitation).

How is a complaint mechanism different from a feedback mechanism? A complaint mechanism should be part of an overall feedback mechanism, as it is an important source for monitoring stakeholder perception and satisfaction with programming. However, it is important to understand that a complaint mechanism is often established as a separate, standalone organizational procedure (and policy). Any new project should therefore follow such procedures when being designed.

Source: Emergency Capacity Building Project (2007), *Impact Measurement and Accountability in Emergencies*

A project feedback mechanism will need to be **developed and operationalised according to project needs and what is appropriate in the operating context.** It is important to **begin planning**

for a feedback mechanism prior to project implementation, and to involve key stakeholders in its shaping (i.e. those from who feedback will be asked, and those receiving or reviewing it). The following steps can be taken to establish a project feedback mechanism:

- **Agree on the purpose of the feedback mechanism (FM)** – Within the project team, agree on the purpose of the FM, ensuring those involved understand the objectives of the FM. To help agree on the purpose of the FM, the team can brainstorm a list of reasons why a FM would be useful. This can help build staff buy-in. The output: a list of reasons for having a FM.
- **Agree on what constitutes valid complaint/feedback** – Doing this up front is important to give staff a sense of where action is likely to be required in the future and where not. To agree on this, in a group brainstorm a list of the kind of feedback often received. These can be grouped by theme (e.g. relevant of project to meeting needs, compliance with codes and standards etc.) and agreement reached on the types of feedback that would require action. It is also helpful to prioritize the types of feedback agreeing on which ones would require most urgent action. A risk log (see *Toolkit 8*) can be used for this exercise. The output: a prioritized list of types of feedback and suggested response action.
- **Agree on which stakeholders can have access to the FM** – A number of different stakeholders are likely to be linked to the project in some way and may provide feedback on it, including: beneficiaries, potential beneficiaries, non-beneficiaries, the host community, volunteers, field branch, HQ staff, local authorities, partners, donors, other organizations operating in the area. The project team should agree on which stakeholders should have access to the FM and be given the opportunity to provide feedback. To do this, brainstorm the list of stakeholders and agree on who should have the ability to give feedback – this can be done using a stakeholder analysis that should have been drafted for the project. The output: Stakeholder analysis (see *Toolkit 9*).
- **Assess the most appropriate channel for communication** – There is no standard FM as ways of communicating and dealing with grievances differ across cultures. FMs can be written or oral, they can be done directly or through intermediaries, individually or in a group, personally or anonymously, depending on what is most appropriate to the context.

A number of issues should be considered in designing the most appropriate mechanism:

- ➔ **Local culture of communicating and dealing with grievances** – Consideration should be given as to whether this is done in a group or individual context in the community, and who usually facilitates (e.g. local elders).
- ➔ **Literacy levels** – Important if a written feedback mechanism is being considered.
- ➔ **Type of assistance provided** – Depending on the nature of the project different feedback mechanisms may be more appropriate. For example, if it is a housing project access to people who can view the issues may be important.
- ➔ **Protection** – Consideration around issues of protection, particularly for women and children should be given, in terms of them having access to the feedback mechanisms or ramifications of participation.
- ➔ **Resources available** – Depending on the resources available for the project more labor intensive feedback mechanisms may not be feasible in terms of funds or human resources.
- ➔ **Security situation** – If the project is being undertaken in an insecure environment, some feedback mechanisms may not be appropriate for the safety of beneficiaries, volunteers and staff. Issues of access to beneficiaries may also arise.
- ➔ **Organizational operating culture** – The presiding culture needs to be one in which there is commitment to listening to and acting upon feedback. Particularly for internal feedback, there needs to be an openness to receiving and acting on it.

- **Design FM** – Agreement will need to be reached on the process for collecting and processing feedback and who should handle feedback/complaints. Normally two levels of boards are set up to handle complaints. One to review and handle less sensitive issues and the other for more sensitive issues; as part of this, agreements should be reached on how complaints should be processed and addressed and feedback given to complainants. The process agreed on should be clearly documented so that staff and volunteers are clear on it and if evaluated, documentation is available. A complaints log (see *Toolkit 10*) can also be kept to provide an overview of complaints received and how they were addressed. Ideally this should be summarized for managers through the quarterly reporting process so that there is higher-level awareness of the nature of the feedback.
- **Agree on how feedback can be submitted:** The method by which feedback can be given should be agreed on so as to be appropriate to the local context. (Examples are outlined in *Annex 3)*
- **Using a standard feedback/complaint template:** A standard template for capturing feedback should be used (see *Annex 3*) and made readily available at all the points of feedback.
- **Communicating the process to stakeholders:** Communication to users is critical for the effective functioning of any system. An information campaign to intended users should cover:
  - ➔ The purpose of the FM
  - ➔ The intended users of the FM
  - ➔ How the FM operates – how users can provide feedback (through what channels), frequency of availability of the FM, who is on the frontline facilitating the feedback collection on behalf of the organization.
  - ➔ How feedback will be handled
  - ➔ What response can be expected
- **Learning from feedback:** Statistics around feedback provided should be collected (ideally through the complaints log – see *Toolkit 10*), and trends identified (for example, high frequency of one particular type of feedback suggests action is required). Lessons learned should feed into decision-making and into readjustment of project plans, as well as into future project planning.

2.4 Step 4: Agree on Field Monitoring Data Collection and Management Process

Step 4: Agree on field monitoring data collection and management process
Objective of step: Determine the most relevant data to be collected, its source, data collection method, timing and frequency of collection, the people responsible, and the intended audience and use of the data, and how data will be systematically and reliably stored, managed and accessed
Timing: During project implementation, before each round of monitoring
Activities: 4.1 Agree on relevant data collection methods/tools 4.2 Determine beneficiary counting 4.3 Agree on sampling requirements 4.4 Interview guide and questionnaire creation 4.5 Recruitment and training of field monitors/data collectors 4.6 Undertake on-site monitoring 4.7 Triangulate data collection sources and methods 4.8 Define data entry and management process

2.4.1 Agree on relevant data collection methods/tools

A list of Data Collection Methods, Types and Sources and when they can be used is summarised in *Annex 4*. It is important to agree on what data collection methods and tools will be used well in advance of the data collection itself, to ensure the appropriate resources, including people with the appropriate skills are available for data collection. **Data collection can be expensive, therefore planning for it is critical.** When data collection methods have been agreed on, these should be summarized in the M&E Plan.

In general the following **checklist for data collection preparation** should be considered:

Box 2.13: Checklist for data collection preparation

Check box	Step	Details
☐	**1. Confirm intended use of data to be collected**	• Check that the information being collected is necessary/ sufficient. Collect only what is necessary for project management – e.g. reviewing project objectives, indicators, and assumptions.
☐	**2. Agree data collection tools**	• Agree on methods, collection time, human resources required and skill sets of data collectors. This can help raise and address any issues with data collection well in advance of collection commencing.
☐	**3. Check sample size**	• Check that the sample size that is necessary to assess change, is adequate and manageable.
☐	**4. Prepare data collection guide**	• This ensures a consistent and standardised approach to data collection amongst those involved.
☐	**5. Recruit data collectors**	• Consider if local people (university students, community workers etc.) can be used for data collection.
☐	**6. Train data collectors**	• Training should focus on data collection purpose, techniques, tools, ethics, culturally appropriate communications and practical tips.
☐	**7. Communicate with population**	• Notify beneficiary population, communicating policies on confidentiality and participation and addressing any concerns. Ensure any required permission is obtained from local/national authorities and data collection is in line with any stipulated regulations and local customs.
☐	**8. Consider other options to support monitoring, e.g. photography, GIS, self-evaluation tools, etc.**	• Consider local skills and capacities, consider permission for photography, and how it can be used for documentation and monitoring.

Appropriate data collection, for monitoring and evaluation, will include quantitative and qualitative data. Likely different methods will be used:

- Household interviews
- Semi- structured interviews
- Focus groups discussions
- Observations

Different tools can be employed to support and facilitated the above methods:

- Proportional Piling
- Ranking
- Zoning
- Mapping
- Etc.

Guidance to all of these can be found in the respective annexes and in the ACF FSL Assessment Guidelines (2009).

2.4.2 Determine beneficiary counting

A key aspect of data management will be beneficiary counting. Each project should keep a clear and confidential database with a list of direct beneficiaries. To ease data collection on this, it is important to define who is and who is not a direct beneficiary by project/activity type, such that a standard way of counting beneficiaries is agreed on. Examples and further explanation are given in *Annex 33*.

2.4.3 Agree on sampling requirements

Sampling is a critical aspect of planning the collection of primary quantitative data. Most projects do not have sufficient resources to measure what is occurring across a whole population (e.g. a census), nor is it usually necessary. Sampling is used to save time and money by collecting data from a subgroup of the population to make generalizations about the larger population, within a specified margin of error with a known probability.

Box 2.14: Defining sampling

What is sampling? Sampling is the selection of a representative portion or part of a whole population or group of things that could be analyzed, to make conclusions about the whole. For example, when doing a survey, it would be expensive and difficult to survey the entire population being targeted. Sampling allows the selection of a proportion of that total population to give representative answers to questions. In designing your sampling methods it is essential to minimize potential bias (see Chapter 3) and try to accurately represent the whole population. A key question to always keep in mind is: "Who is being included and who is potentially being excluded in light of our sampling methodology?" Choices therefore have to be made about:

- What the appropriate method is for selecting samples;
- What the appropriate sample size is (e.g. how many households to sample from the population); and
- Who should be included in it so it is representative of the whole population (e.g. which households should be selected).

What is the purpose of sampling? To reduce the time and cost of data collection about a population by gathering information from a subset of that population.

What is the sample or target population? It is the whole population from which a representative sample is drawn. Common examples of sample or target populations in FSL surveys include the entire population of specific geographic areas such as a nation, province, region or town. Refugee or IDP camps may also be defined as sample populations. The population should be well defined before determining a sample and undertaking a survey.

What is the sampling frame? It is a list of the total population or units or a geographical boundary from which a sample is drawn. In strictly controlled refugee camps or villages with defined boundaries and little in–out migration, camp lists may be exhaustive and provide a useful sampling frame. In more fluid situations where populations change or are not known, geographic areas may serve as the sampling frame.

What is a sampling bias? It is the tendency of a sample to exclude some members of the population and over-represent others. A common source of bias in FSL surveys, especially in emergency and displacement contexts, is when the sampling frame does not include the whole sample population. For example, a survey to assess the household food security of IDP households in a conflict-affected area may be strongly biased if insecure areas where IDPs are found are not sampled or if only camp-based IDPs are sampled, with those living in host families left out. In such cases the sample population may need to be reconsidered, or limitations must be clearly spelled out and interpreted in the report. Again the question to consider is "Who is being included and who is potentially being excluded in light of the sampling methodology?"

What is the sampling unit? It is the element or unit selected in sampling which the data refers to. Most food security and livelihoods indicators use 'households' as the sampling unit, while nutrition surveys may use children under 5 years of age especially in anthropometric surveys. Thus, in collecting data on income, assets and coping strategies to determine household food security, individual household units are sampled from all the households in the sample population.

What is a control group? It is a group of households with similar needs and vulnerability as the programme beneficiaries, who are monitored but who are not benefiting or participating in the programme or project. ACF cannot use control groups to establish a comparative analysis of its project impacts on the population in need, due to ethics and need to respond to identified needs. It is hence recommended to use a **stepped-wedge sampling** method (see *Toolkit 11*), which is using several generations and groups of beneficiaries as comparativ e groups to define and measure impact.

The process of sampling includes the following six steps. For more information and detail consult the ACF FSL Assessment Guidelines (2009).

1. **Formulate objectives and define what needs to be measured** – Here agreement should be reached about what the survey being undertaken hopes to achieve (usually, what progress a target population has made in reaching project objectives), on which population or area it should focus, and what themes or issues will be addressed. This will inform what methodology will be used to address the selected issues. For example, determining a survey on agricultural knowledge, attitude, and practice/behaviour can assess the extent to which agricultural training has resulted in changing behaviour.

2. **Select the appropriate sampling method** – Five different methods are considered below as the most relevant and appropriate for ACF:

    a. **Probability sampling**: This is also known as 'random' or representative sampling, and is possible when every sampling unit has an equal chance of being selected, the probability of being selected is known and the selection of the sample is made using random methods. Both selection in a geographical area and the households or individuals within a given location should be made randomly. Depending on the context, random sampling tends to be preferred to non-random methods as it is the only one that theoretically has the potential to represent the entire sampling frame. Probability sampling is used especially in cases where quantitative data are collected and statistical analysis is called for. In the food security and livelihood assessment this would pertain to any use of household questionnaires or collection of data at the household level, which will be generalized to the larger sample population. Possible methods include **Simple Random Sampling, Systematic Sampling, Stratified Sampling, Probability Proportional to Size Sampling, Spatial Sampling and Cluster or Multistage Sampling**. The key aspects are covered below:

        i. **Simple random sampling** – The most commonly used sampling technique, this involves **selecting a proportion of the population randomly** for interview.

            - **The pros and cons of this method:** Each person thus has an equal probability of selection, however it is open to error as those selected may not be representative of the total population. Stratified sampling, discussed below, attempts to overcome this by using information about the population to choose a more representative sample.
            - **When this method is appropriate:** For ACF projects, this method would apply when looking at a target population of 200 to 3,000 people, and when you have a complete and up-to-date list of beneficiaries by location. When the population is scattered and vulnerability levels within the target area is heterogeneous, cluster sampling can be used in this case. Quantitative surveying is appropriate here.

        ii. **Systematic Sampling** – This involves arranging the target population according to some ordering scheme and then selecting elements at regular intervals (e.g. every 10th) through that ordered list. However, the first one should be selected randomly. After a first household is selected at random, the following households are visited

'systematically' using a "sampling interval" determined by dividing the total number of households by the number needed to give an adequate sample.

- **The pros and cons of this method**: This method is useful where lists are unavailable. If the same features apply at periods through the list however, this method means findings may be unrepresentative of the population.
- **When this method is appropriate**: This is appropriate where a list of households exist or where the population is geographically concentrated and dwellings are arranged in a regular geometric pattern. This is the most common sampling method used to select households within a cluster, e.g. in a camp, village or urban context.

For example, if 400 households are on a list, and 20 need to be interviewed, the first step is to choose the first household at random using a random number table or other method – e.g. a choice of # 220. Because 400 divided by 20 equals 20, the sampling interval will be 20. Following, select every 20th household on the list starting from # 220 - 220, 240, 260 etc., continuing at the beginning of the list when the end is reached until arrived at the target number, 20, and the starting point is reached.

iii. **Stratified sampling** – This is relevant where the population can be divided into a number of distinct categories, strata or zones (e.g. categories such as farmers and nomads, or livelihood zones such as coastal fishing vs agricultural). Random samples can then be selected from each category. Quantitative surveying is appropriate here, as are qualitative methods.

- **The pros and cons of this method**: Dividing the population into distinct strata can allow more in-depth analysis into each group which would not be possible when looking at the population as a whole, and also for the use of different sampling approaches to each strata depending on what is more appropriate. Some potential drawbacks however are that identifying strata and implementing such an approach can increase the cost and complexity of sample selection. If this approach is used, it is best to have fewer categories for ease of data management.
- **When this method is appropriate**: When there are distinct categories within the total population, or when different groups face different conditions. This is particularly relevant for zoning, where an area should be zoned by livelihood or other criteria prior to carrying out the sampling, and population data for each identified zone collected or estimated. The results of the zoning exercise can then serve as the sampling frame for rapid assessments and surveys intended to be representative of the local range of livelihoods.

iv. **Cluster sampling** – This is relevant when a population can be divided up into groups or "clusters" (e.g. by area). Quantitative surveying and qualitative methods are appropriate here.

- **The pros and cons of this method**: This can be a very cost effective method as a list of all beneficiaries is not required, but the population size of each cluster (e.g. village) should be known. However if clusters have a bias within them, that can skew findings.
- **When should I use it?** When a detailed list of all beneficiaries is unavailable, when the target population is large (i.e. in ACF project terms, > 3,000), and when the population is scattered and vulnerability within an area is heterogeneous.

v. **Purposeful (non-random) sampling** – This is a qualitative method looking at a small population, where stratification is also common.

- **The pros and cons of this method**: Can assess majority of a population, if small. There are potential benefits in terms of ability to undertake trend analysis, as well as low cost and speed of analysis.
- **When this method is appropriate**: This is appropriate for smaller, targeted populations, when quantitative data may not be very useful as statistics are less reliable for generalizations about the larger population. Also appropriate where time and/or money are limited, or where the context or M&E objectives are more appropriate for non-random approaches and triangulation of quantitative findings.

vi. **Exhaustive sampling** – This is when the whole population is surveyed. For example, if a project is targeting a whole community, all will be surveyed. Similarly, if a project focuses on certain groups in a community, then all of those people would be interviewed for the survey. Quantitative surveying is appropriate here.

- **The pros and cons of this method**: An assessment can be made of a whole population and therefore the margin of error on research is reduced. However, it can be expensive and difficult to survey the entire population being targeted.
- **When this method is appropriate**: This method is relevant when looking at small populations (e.g. for ACF projects up to 200 people).

Box 2.15: Sampling methods

Sampling method	Is a detailed beneficiaries list required?	What is the appropriate total No. beneficiaries?	Is population distribution an issue?
Simple random	**YES**	**> 200 - < 3,000** with a detailed beneficiary list	**YES**, it can be. If villages are scattered, you can only use this methodology if vulnerability level within the target area is homogeneous.
Stratified	**NO**	**> 200** without beneficiary list. Ok for large numbers	**NO**. If the population is scattered, and vulnerability level of targeted beneficiaries is heterogeneous, use this methodology.
Cluster	**NO**	**> 200** without beneficiary list. Ok for large numbers	**NO**. If the population is scattered, and vulnerability level of targeted beneficiaries is heterogeneous, use this methodology.
Purposeful	**YES**	**< 50**	**NO**
Exhaustive	**YES**	**< 200**	**NO**

Source: *ACF FSL Assessment Guidelines*, 2010

b. **Non-probability sampling**: is any sampling method in which some units have no chance of being selected or if the probability of selection is unknown. This is commonly used in qualitative methodologies including selecting key informant interviews and focus groups, and involves the selective judgment of the enumerator or community leaders with a high potential of introducing bias into the results, but is useful for triangulation with other methods (see section 2.2.11). Purposive, Convenience and Snowball sampling methods are the most common non-probability sampling methods.

   i. **Purposive sampling** – Here the researchers decide which groups or individuals to interview. Attempts are made to minimize bias and select a sample which best represents the population under study. To reduce bias, it can be used with other random approaches, for example, by agreeing specific number of communities to be visited, but then selecting respondents within the clusters randomly, or stratification.

   ii. **Convenience sampling** – Here respondents are chosen because they are accessible or "convenient" and this is therefore a practical solution. However, it can have high bias due to diverse differences, especially in geographic, political and social isolation, between individuals and communities which are accessible and those who are not.

   iii. **Snowball sampling** – This resembles the process of taking a small ball of snow and rolling it to gather more and more snow along the way until it becomes a big ball. Key informants are often sought out due to their specific knowledge of the situation. These first informants then point the researcher to other possible informants, who have experience in the relevant issues. As new informants are found, the snowball grows.

3. **Define the sample frame** – Define what the population to be surveyed looks like – for example, all women, children etc. Pull together the list of every member of the population in the sample group to be surveying.

4. **Determine the sample size** – define how many people/households will be selected from the total population for the survey, such that the results of the survey will be representative of the whole targeted population, and thus statistically accurate. A sample can be done through a variety of methods (above) and the sample size is determined in accordance with acceptable margins of error and confidence. Highlighting these enable the reader to see how representative the results are of the population considered.

Projects should aim for a **95% level of confidence with a 5% error margin**[2] for a high level of accuracy.[3]

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[2] The margin of error is where your results have an error of no more than X%, while the confidence level is the percentage confidence in the reliability of the estimate to produce similar results over time. These two determine how accurate your sample and survey results are - e.g. to achieve 95% confidence with an error of 5%, if the same survey were done 100 times, results would be within +/- 5% the same as the first time, 95 times out of 100. There are a variety of simple sample size calculators on the internet, e.g. http://www.dimensionresearch.com/resources/calculators/conf_prop.html (Just enter 95% as your desired confidence level, then enter your sample size (denominator) for analysis and the result either the % or the numerator and the software will automatically calculate the confidence interval. An alternate website is: http://www.custominsight.com/articles/random-sample-calculator.asp

[3] For purposive sampling, the accepted rule for household FSL assessments is to sample between 50 and 150 households for each reporting domain the assessment wishes to draw conclusions on. The goal in selecting the locations to visit within the assessment area is to capture the diversity. If the area in question is homogeneous this will require visiting fewer sites, while heterogeneous areas demand visiting more sites. In each site it is optimal to visit around 10 households. For random sampling, it is recommended that between 150 and 250 households (or other sampling units) are visited for each reporting group to be compared – e.g. geographic area, livelihood group etc. In cluster sampling approaches, the sample should reach the upper limit of this continuum due to the design effect incurred in multi-stage sampling. ACF (2010), ACF Food Security and Livelihoods Assessment Guideline

When using a stratified sampling or zoning approach, the following calculation can be used:

$$n = \frac{N}{1 + N \times e^2}$$

n = sample size
N = population
e = error level

Source: ACF DRC (2010) *Monitoring Guidance Notes*

Examples are detailed on the box below:

Box 2.16: Sample sizes with 5% accuracy

Number of beneficiaries	Minimum sample size for simple random	Minimum sample size for cluster	
<= 500	217	450	+ 10 % margin of error for each
<= 1,000	278	570	
<= 1,500	306	630	
<= 2,000	322	660	
<= 3,000	341	690	
<= 4,000	350	720	
<= 4,500	384	780	
<= 5,000	384	780	
<= 10,000	384	780	
<= 100,000	384	780	

Source: ACF Afghanistan (2010) Household Survey Field Guide for FSL Staff

When presenting survey findings, the accuracy level used should be detailed in the methodology section of the report, along with the full sampling methodology.

5. **Selecting the sample and sample size** – The people/households to participate in the survey should be decided on. This should be done in line with what sampling methodology has been decided on (see point 2: Select the appropriate sampling method).

6. **Address bias** – It is important to remember that if sampling procedures cannot be carried out rigorously, the data gathered will not represent the population as a whole but only the population surveyed. That needs to be clearly reflected in any final report.

Once sample sizes have been agreed on, the process of data collection commences. This can be done in a number of different ways addressed below.

2.4.4 Interview guide and questionnaire creation

Questionnaires are required for quantitative data collection in a number of monitoring types, such as Baselines, Endlines, Post-Distribution Surveys and Post-Test Surveys.

Depending on whether a qualitative or quantitative list of questions is being shaped (e.g. for interviews/focus groups vs. surveys), there are two main approaches to formulating questions:

1. **Structured questions**: These are closed and standardized questions to which there is a list of possible tick-box answers, and tend to be used in sample surveys to answer "what" questions. Questions will tend to start along the following lines: "Which of the following…?", "To what extent...?", "How many…?", "Yes or no…?", "When…?", etc.

2. **Semi-structured questions**: These tend to be more open-ended seeking opinions, and will tend to be used for qualitative research (e.g. focus groups). These tend to be "why" or "how" questions (e.g. How have your farming practices changed relative to before the training?). As these are in respondents' own word, they can be more difficult to aggregate, analyze, interpret, and report.

Structuring of the questionnaire itself will thus vary depending on the purpose and type of data required. Examples are included for each of the key questionnaire types in *Annexes 34 and 35, and Toolkits 2 and 12*. A few rules of thumb to consider for questionnaire creation include:

Box 2.17: Checklist for questionnaire preparation		
Check	**Step**	**Details**
Checklist for questionnaire drafting:		
☐	1. **Guidance note** creation for questionnaire	• Questionnaires should be structured to include a **guidance note on how the questionnaire should be used.**
☐	2. Include **warm-up general questions** to start questionnaire	• Questionnaires should start with some **opening questions on general information about the respondent(s)** to serve as a warm-up for the discussion.
☐	3. Avoid leading questions	• When writing questions for the questionnaire, **avoid leading questions** that suggest an answer.
☐	4. Ensure **coding** for all answers	• For a quantitative questionnaire, **ensure all answers are appropriately coded** (i.e. given a number) to facilitate analysis.
☐	5. Create a **topic guide** for interviews and focus groups	• If conducting semi-structured interviews or focus groups, create a **topic guide** to ensure key focus areas are covered and not side-tracked. A topic guide can include the following questions: i) Warm-up questions (generally introductory questions about the household), ii) the key questions that need to be answered by the interview, iii) wrap-up questions (e.g. on lessons learned)
☐	6. Agree what **software** will be used for data capture and entry	• Ensure there is agreement on the **method/ software to be used to create the questionnaire and capture data**; i.e in Sphinx, Word, Excel, MS Access, SPSS.
☐	7. Ensure staff handling data have **appropriate skills** and training	• Ensure **those who will be collecting, inputting and analysing data have the appropriate skills or training** to do the task. Many resources are wasted when this is not factored into planning and staff are then unable or do not have time to analyse data.
☐	8. Ensure any **translations** are done well and on time	• Where translations are required, ensure they are done on time for all relevant materials (e.g. questionnaires, support materials, training materials for enumerators etc) and that resources are factored in for translation back into the language in which the questionnaire was developed. Sufficient time and able translators need to be allocated to the work to ensure apt translation and avoid unusable data.

Checklist for questionnaire review and validation:		
☐	1. **Review** questionnaire	• Several team members should carefully **review the questionnaire** in all languages used (as a "fresh" pair of eyes reviewing it), and edit to ensure questions are clear, relevant to the information sought and to the local context.
☐	2. Review translations against original questionnaire	• Ensure **translations of the questionnaire match with the original** information-seeking intent.
☐	3. Keep to **standardized** questionnaires	• Avoid adding new questions or sizeable changes, as more standardized questionnaires that can be compared across regions are more useful.
☐	4. Check **correct version** is used	• Ensure version-control so that all versions of the questionnaire and question numbers match, and the final version is being used.
☐	5. **Validate questionnaire**	• Put aside a week or so for field test and coordinator validation of the questionnaire.
☐	6. Create **interview protocol card**	• Ensure that an **interview protocol card** explaining respondent rights has been **created and disseminated** to all data collectors.

To ensure respondents are at ease with the interview process and understand their rights, use of an Interview Protocol Card (see below) by data collectors helps put respondents at ease.

Box 2.18: Creating an Interview Protocol Card

Your rights as a respondent

1. You have the right not to be interviewed or to terminate the interview at any time.
2. You have the right not to answer any question.
3. Nothing you say will be attributed to you directly or indirectly without your permission.

Source: Adapted from: Buchanan-Smith, M. & Cosgrave, J. (2010) *Evaluation of Humanitarian Action,* ALNAP

2.4.5 Recruitment and training of field monitors/data collectors

In preparing to recruitment data collectors[4] the following four steps should be taken (see *Annex 36* for more details):

1. **Determine the number of data collectors required**
2. **Agree on desired skills for the data collectors**
3. **Agree on desired skills for supervisors**
4. **Develop job description for the data collectors**

2.4.6 Undertake on-site monitoring

On-site monitoring is key to day-to-day assessment around whether the project is running effectively, efficiently and on-track.

Box 2.19: Undertaking on-site monitoring

What is on-site monitoring? This entails the live observation of activities while they are being undertaken, and beneficiaries are being engaged in these.

What is the purpose of on-site monitoring? The purpose of on-site monitoring either at distribution points or training locations is to check on the distribution process and what beneficiaries are actually receiving. By monitoring project activities their implementation be checked to ensure it is on schedule, that the right things are being distributed to the right people, and that quality procedures are in place. Observing activities in action can highlight ways in which operational and project procedures can be improved.

What does on-site monitoring entail? Particular attention should be paid to (see *Toolkit 12*):

- **Management of commodities**: type, quantity, quality, amount distributed, losses etc.
- **Management of cash:** quantity, amount distributed, losses etc.
- **Beneficiaries**: number, gender, age breakdown, appropriate targeting etc.
- **Performance of staff and partners**: in line with operating procedures, MOUs etc.
- **Quality of training**: in line with objectives, comprehension, learning by doing, attendance etc.
- **Adherence to cross-cutting issues**: gender, environment, HIV/AIDS etc.
- **Relationships with key local stakeholders**: communities, partners, authorities etc.

For specific approaches to on-site monitoring see the On-Site Monitoring Checklist (see *Toolkit 12*).

2.4.7 Triangulate data collection sources and methods

Triangulation is the process of **using different sources and/or methods for data collection, to reduce bias and crosscheck data for validity and reliability**. Triangulation can include a combination of primary and secondary sources, qualitative and quantitative methods, or participatory and non-participatory techniques.

[4] Data collectors may also be called field monitors, interviewers, enumerators or surveyors.

Box 2.20: Explaining triangulation

What is triangulation? It is the key technique to ensure accuracy and reliability in qualitative and mixed method research. Essentially, triangulation consists of looking at data from different sources to see whether they support the same interpretation and broaden the understanding and perspective.

How is triangulation undertaken? It can be based on the following:

- **Method triangulation:** Comparing data generated by different research methods (e.g. comparing observations with group interviews)
- Source triangulation: Comparing information from different key-informants, e.g. women and men, field and HQ, etc.
- **Researcher triangulation:** Comparing information from different researchers.
- **Analytical triangulation:** Comparing the results of different analytical techniques to see how they compare, for example, you could compare how the number of references in official documents to a particular issue varies, against how the level of funding for that issue varies.

2.4.8 Define data entry and management process

Data entry and management are critical aspects of the M&E system, linking data collection with its analysis and use. They require a clear set of procedures around skills, templates and equipment, to reliably enter, clean, store, manage, and access M&E data. Data management systems will vary by project needs, size, and complexity. Once they have been agreed on, those undertaking data entry should be trained on how to enter data correctly. Five key considerations for planning a project's data management system are:

1. **Agree on data format:** The format in which data are entered/recorded, stored and reported in is a key aspect of overall data management. Standardized formats and templates improve data organization and storage. Data are likely to be stored in many forms, which largely include:

    - **Numerical data** – Should be captured in spreadsheets, databases (see below and *Toolkit 13*) and where relevant for survey data in Sphinx;
    - **Descriptive data** (e.g. narrative reports, checklists, forms) – Should be saved with a full descriptive title, date and version as Word documents;
    - **Visual data** (e.g. pictures, videos, graphs, maps, diagrams) – Should be saved with information on the subject matter, location, source and date in the document title;
    - **Audio data** (e.g. recordings of interviews, etc) – Should be saved with information on the subject matter, location, source and date in the document title.

When data are entered into templates/databases, it is important that all those undertaking data entry use the same format and coding structure. There should be supervision and random spot-checking of quality during data entry. To ensure ease of storage and use, all data should be clearly labelled with the **subject matter, date of creation, version number and where relevant location and source**. This also applies for physical data (such as written forms stored in office filing cabinets).

2. **Agree on data organization conventions**: A project should have a filing and knowledge management convention, where information should be categorized electronically and physically for ease of access and use. This can be done in a number of ways, so agreement should be reached based on what is most appropriate for the project:

- **Chronologically** (e.g. day, month, quarter, year);
- **By location**;
- **By content** or focus area (e.g. different objectives of a project), by format, (e.g. project reports, donor reports, technical documents); and
- **By version**: Versions should be systematically labelled by date and/or version number (e.g. 1.0, 1.1, 2.0, 2.1, etc.). Final versions that will not be changed should be marked final.

3. **Agree on data access**: Data should be available to intended users and secure from unauthorized use. Agreement will need to be reached on the following issues for data availability include data:

   - **User access** – Who should have permission to access and access to the data and if so how (e.g. shared computer drives, folders, intranets, online shared access through DropBox or other technologies). Data should be classified security purposes, (e.g. confidential, internal, public etc);
   - **Key word searches** – Consider how data can be searched and found (e.g. by keywords);
   - **Archiving** – Consider how data will be archived and retrieved for future use;
   - **Dissemination** – In line with the M&E plan, agreement should have been reached on which stakeholders should have access to what data and how (see Section 2.6).

4. **Agree on the data quality control procedures**: It is important to identify procedures for checking and cleaning data entered, and how to treat missing data. In data management, poor data can be the result of the miss-entered (mistyped) data, duplicate data entries, inconsistent data, and accidental deletion and loss of data. These problems are particularly common with quantitative data collection for statistical analysis.

5. **Responsibility and accountability of data entry and management**: It is important to identify who will be responsible for developing and/or maintaining of the data management system, assisting team members in its use, and enforcing any data management protocols. For confidential data, clear lines of authorization should be in place.

Quantitative data tends to be the most challenging to manage. To facilitate **tracking progress against indicators agreed on in a logframe, a project can establish a database**. The database serves as a useful data management tool that can ease reporting amongst other things. Databases templates are included in *Toolkit 13*.

This **Indicator Progress Database template** (see *Toolkit 13*) **is intended to mirror the logframe and M&E Plan so it facilitates data collection against all project indicators for key periods in time** (monthly, annually and for the lifespan of the project). Its purpose is to **act as a means of storing all the data relating to progress against a project's plan, in one place for ease of review and reporting**. That means that it does not just capture data relating to activities, but also to higher levels on indicators (outputs, outcomes and impact). Data from this can be copied and pasted into the ACF monthly Activity Progress Report (APR) for reporting purposes (see *Toolkit 14*). A summary of the sections of the database is included in *Annex 37*.

Understanding variance is key to project management and an important part of the data management process for a project.

Box 2.21: Explaining variance against targets
What is variance? Variance is the difference between targets set in plans and actual results. **Why is it important to track and explain variance against targets?** 1. Tracking progress against targets helps to highlight if a project is on track in the timeframe planned. If actual performance is less or greater than targets, identifying the variance shows how big the gap is, why there is a gap and what needs to be done to correct it; 2. Tracking variance can highlight how realistic expected results are; 3. Explaining variance between targets and actuals can help shape resource planning and inform decision making; 4. Explaining why there is a variance can help capture lessons learned to feed into plan revision or future planning; 5. Paying attention to variance encourages critical analysis of project performance. **A rule of thumb is that if variance is greater than 10% this should be explained in project reporting.**

2.5 Step 5: Agree on Monitoring Data Analysis Process

Step 5: Agree on monitoring data analysis process
Objective of step: Ensure data are being properly analyses and key recommendations and actions agreed
Timing: During project implementation
Activities: 5.1 Agree on data analysis plan 5.2 Prepare the data for analysis 5.3 Assess key findings and trends 5.4 Identify challenges and solutions 5.5 Agree on recommendations and action planning

Data analysis is the process of converting raw data that has been collected into usable information that can support decision-making around project management. **Data analysis** involves looking for **trends, clusters or other relationships between different types of data, assessing performance against plans and targets, forming conclusions, anticipating problems, and identifying solutions and best practices for decision making and organizational learning.**

2.5.1 Agree on data analysis plan

A clear plan for data analysis can largely be expressed in the M&E Plan, but may also need further elaboration about the purpose of the analysis, timeframe, methods, tools/templates, allocation and responsibilities. Data analysis is integrally linked to the data reporting and dissemination. The following key steps should be taken when planning for data analysis:

- **Agree on the purpose of data analysis**: What and how data are analysed is determined by project objectives and indicators, as well as the target audience and their information needs. Data analysis should therefore be appropriate to objectives in the project logframe and M&E plan. For example:
  - ➔ Analysis of output indicators is used for project monitoring to determine if activities are occurring according to plans and budget. Depending on the data, analysis should thus occur on a regular basis (e.g. weekly, monthly and quarterly) to identify any variance or deviations from targets. Programme managers can then look for alternative solutions.
  - ➔ Analysis of outcome indicators is typically used to determine medium and long term impact or

changes – e.g. in people's knowledge, attitudes, and practices (behaviour). By their nature, they require less frequent analysis, but will be the kind of information that less operational audiences (e.g. senior managers, donors, partners) will look for.

- **Agree on the frequency of data analysis**: This will depend largely on the frequency of data collection, and information needs of users, reflected by the reporting timetable. Data analysis can coincide with key reporting dates, to feed into reports, but it is important to remember that it is time consuming and sufficient time should therefore be allocated.
- **Responsibility for data analysis**: Analysis of monitoring data may be done by data collectors or by the Project Manager. Ideally there should also be an opportunity to discuss and analyse the data findings in a wider group including other project staff and managers, and potentially also partners, beneficiaries and other stakeholders. A wider discussion can bring multiple perspectives, help crosscheck data accuracy, and improve critical reflection, learning, and utilisation of information. A problem, or solution, can look different from the perspective of HQ, field office and communities. Stakeholder involvement in analysis helps build ownership of M&E data, acceptance and credibility.
- **Format for data analysis**: As with data management, the format in which data are captured will either facilitate or hinder analysis. Consideration should be given to whether the format used will allow for the full analysis required or if data has to be exported into other formats.

2.5.2 Prepare the data for analysis

Data preparation: Sometimes also called data "reduction" or "organization," this involves cleaning the data and getting it into a more usable form for analysis, including:

- **Editing qualitative data** by summarizing narratives into main ideas and highlighting critical points. Key points can then be used and clustered or coded into key themes or trends for analysis.
- **Coding quantitative data** in line with the initial questionnaires, cleaning and collating it to look for trends, while cross-checking the data for accuracy and consistency.

There are six steps for preparing quantitative data for analysis:

1. Nominate a person and set a procedure to ensure the quality of data entry
2. Enter numerical variables in spreadsheet or database.
3. Enter continuous variable data on spreadsheets.
4. Code and label variables.
5. Deal with missing values.
6. Ensure Data Cleaning Methods

Data organisation can begin during the data collection. The format by which data are recorded and reported can play an important role in organizing data and reinforcing critical analysis. For example, an indicator database can be designed to report not only the actual indicator performance, but also its planned target and the percentage of target achieved. This reinforces critical reflection on variance.

2.5.3 Assess key findings and trends

Data analysis can be **descriptive or interpretive**, with descriptive analysis informing interpretative. Descriptive analysis involves describing key findings (e.g. conditions, states, and circumstances) from the data, while interpretive analysis helps explain findings (e.g. causal relationships, trends etc). Descriptive analysis focuses on what happened, while interpretive analysis seeks to explain why it happened, and what might be the causes. The box below highlights some key prompt questions to aid analysis.

Box 2.22: Prompt questions for descriptive and interpretive analysis	
Descriptive analysis prompts	**Interpretive analysis prompts**
• Are there any trends/clusters in the data?	• If yes, why?
• Are there similarities in trends from different data sets?	• If yes, why?
• Is the information showing what was expected to see (logframes objectives)?	• If not, why not? Is there anything surprising? If so, why?
• Is there any variance to objective targets?	
• Are any changes in assumptions/risks identified?	• If yes, why? How can it be addressed?

A few key points to remember when undertaking data analysis:

- Always check **if any additional information or analysis is required** to clarify a finding;
- When analysing data, focus on the **objective findings**, rather than basing analysis on personal opinions. Any assumptions (hypothesis/limitations) in data analysis should be recognized and documented;
- **Compare findings to project objectives,** looking at: planned versus actual to explain variance; demographic comparisons (such as data disaggregated by gender, age, wealth group or ethnicity) to support specific vulnerable groups, for example in a livelihoods project; geographic comparisons, for example to compare findings between livelihood zones;
- Where relevant **compare findings to other monitoring surveys or evaluations** to triangulate data findings;
- Use summary tables, graphs, diagrams, and other visual aids to help organize and describe key trends/findings – these can also be used later for data presentation. **Data presentation should be such as to effectively highlight key findings and conclusions.** For example, if looking at progress against plans, a traffic light approach can be used to highlight indicators as green, amber or red, if they are on track, slightly delayed but expected to meet targets or will definitely not meet targets.
- Consider if data needs to be **weighted or adapted for standard errors**;
- Consider if from the sample size, **inferences or generalizations can be made** about the wider population.
- **Data collected should be validated** by different sources and/or methods before being deemed "fact."

2.5.4 Identify challenges and solutions

Where data analysis has highlighted challenges, such as a sizeable variance between target and actual achievements, it is important to **analyse why such challenges are occurring** so that recommendations can be made for solutions.

2.5.5 Agree on recommendations and action planning

Recommendations and action planning are where **data are used as an evidence base or justification for proposed actions.**

There should be a clear rationale for proposed actions, linking evidence from findings to recommendations. **Recommendations should be SMART** (specific, measurable, achievable, relevant, and time-bound), **and specific stakeholders identified to take them forward**. It is also useful to **appoint one stakeholder (usually the project manager) who will follow up with all others to ensure that actions have been taken forward.**

Action for the project can be captured in a summary Action Log (see *Toolkit 15*) to ensure they are taken forward.

2.6 Step 6: Agree on Process for Monitoring Data Utilization and Reporting

Step 6: Agree on process for monitoring data utilization and reporting
Objective of step: Feeding the analysis into reports to the relevant stakeholders to inform day-to-day and longer-term decision-making and management
Timing: Agree general guidance at project planning phase and finalise details when project implementation starts
Activities: 6.1 Agree on reporting needs 6.2 Agree on reporting frequency 6.3 Confirm reporting formats 6.4 Agree on reporting responsibilities 6.5 Plan for information utilization 6.6 Facilitate decision making and planning 6.7 Facilitate learning

2.6.1 Agree on reporting needs

Reporting is a critical part of M&E because no matter how well data may be collected and analysed, if it is not well presented or reported it undermines the ultimate aim of facilitating decision-making and learning. **Reports should be prepared for a specific purpose/audience**. The key activities to prepare for reporting therefore include:

Box 2.23: Checklist in planning for reporting and data utilization

Activities	Key tools
• Agree reporting needs • Agree reporting frequency • Confirm reporting formats • Agree reporting responsibilities • Plan for information utilization • Facilitate decision making and planning • Facilitate learning	Reporting Plan (*Toolkit 16*) Stakeholder information needs Matrix (*Annex 24*) APRs (*Toolkit 14*) M&E Plan (*Toolkit 4*) Decision log (*Toolkit 17*) Action log (*Toolkit 15)* Learning log (*Toolkit 18*)

Reporting is a resource-intensive process, and it is critical to carefully plan for it so that it can be used to best facilitate project decision-making. Reporting content should be limited **only to what is necessary and sufficient for its intended purpose.** However, sufficient context or situation analysis should be included and analysis made to facilitate decision-making.

Box 2.24: What is the purpose of reporting?

Reporting is a key part of the M&E system as it:

- Communicates to key project stakeholders whether a project is on track against plans;
- Highlights progress and achievements/results against plans for project staff and management;
- Highlights how needs are being addressed and what results have been seen;
- Highlights risks/blockages to help managers decide on mitigating measures required;
- Contributes to transparency and accountability tso all stakeholders;
- Provides data that can be used for communication/visibility/resource mobilization and relationship management with communities, authorities, partners and the media;
- Should encourage and increase in two-way communication up and down chain; and
- Captures learning from projects.

As highlighted in Section 1.4, a Stakeholder Information Needs Matrix (see *Annex 24*) can be used to assess the information and therefore reporting needs of key stakeholders, to ensure the format, frequency and content of reporting meets these needs.

A Reporting Plan (see *Toolkit 16*) can be used to summarize all reports compiled by the project, country programme or organisation, to allow stakeholders to see what reporting is undertaken at a glance. However, the team may prefer to include a reporting schedule as part of the M&E plan calendar (see *Toolkit 4*).

A key aspect is **differentiating between external and internal reporting needs. While external reporting is important for accountability, internal reporting plays a more crucial role in actual project implementation and lesson learning to facilitate decision-making**. Particular attention should be given to internal project monitoring through APRs and survey findings, as these will provide information for external reporting.

2.6.2 Agree on reporting frequency

Reporting frequency should reflect the information flow and decision-making needs of project stakeholders. For example, a fast-changing humanitarian context will require more frequent reporting and a weekly and monthly basis to different stakeholders, while a longer-term developmental context may only require quarterly, bi-annual or even annual reporting. Some key points to consider in planning the reporting frequency include:

- **Frequency should be based upon the informational needs of the intended audience**, and timed to inform key project planning, decision-making, and accountability events;
- **Frequency will be influenced by the complexity and cost of data collection**. For instance, it is much easier and affordable to report on a process indicator for the number of workshops participants, than an outcome indicator that measures behavioral change in survey which requires more time and resources.
- Data may be collected regularly, but **not everything needs to be reported to everyone all the time**. For example:
  - ➔ A Security Officer might want security reports on a daily basis in a conflict setting;
  - ➔ A Project Manager may want weekly reports on process indicators to monitor activity implementation;
  - ➔ A Coordinator may want monthly reports on outputs delivered to check they are on track;

- ➔ Senior management may want quarterly reports on outcome indicators of longer-term change; and
- ➔ Donors may want annual reports on project impact.

2.6.3 Confirm reporting formats

Once the reporting audience (who), purpose (why), and timing (when) has been identified, it is then important to **determine the key reporting formats that are most appropriate for the intended user**. This can vary from written documents to visuals. Either way, some documentation by way of capturing progress will be required, in a number of potential formats.

Box 2.25: Summary of reporting formats

Report type	Frequency	Audience	Purpose
Situation reports (e.g. PM planning report)	Weekly	Project Manager (PM), Coordinator	Monitor context changes to facilitate decision-making
Activity Progress Reports (APRs)	Monthly	PM, Coordinator, HoM, HQ advisors & managers	Monitor activity progress to facilitate decision-making
Monitoring survey findings reports	Depending on M&E Plan	Project Team, Coordinator, HoM, HQ advisors, Communities, Partners, Local authorities, Donors	Monitor project progress and results seen to facilitate decision-making
Evaluation reports	Mid/end project	Project Team, Coordinator, HoM, HQ advisors & management, Communities, Partners, Local authorities, Donors	Assess impact; learn lessons for current/ future projects
Capitalization reports	End project	Project Team, Coordinator, HoM, HQ advisors & management, Partners	Learn lessons for current/future projects
Annual reports	Annual	Donors	Accountability on resources
Donor reports	Annual / twice yearly	Donors	Accountability on achievement of plans and resource use

It is important that report formats and content are appropriate to the needs of intended users, as **presentation can play a key role in how well it is understood and put to use**. For example, reports with graphs and charts may work well with project management, participatory discussion meetings with field staff, community (visual) mapping for beneficiaries, and a glossy report or website for donors. Reporting should be translated in the relevant language.

Box 2.26: Tips for effective report writing

- **Time planning** – Plan the report writing beforehand, and allowing sufficient time.
- Use an **executive summary** to summarize the overall project status and highlight any key issues/actions to be addressed.
- **Explain reasons for any variance between targets and actual**, detailing what the lessons learned have been and if any actions are required.
- **Identify and summarize specific actions required** in response to the report findings and recommendations, and the respective people responsible and timeframe.
- Be **clear and concise**, avoiding long sentences and jargon, spell out any acronyms.
- **Explain the importance of any data included** – Do not leave the reader to do the analysis.
- **Use formatting**, such as bold or underline to highlight key points.
- **Use graphics, photos, quotations, and examples** to highlight or explain information.
- Be **accurate, balanced, and impartial.**
- Ensure **coherence** throughout the report, and **avoid contradiction** between different sections.
- **Translate reports** to the relevant language(s), e.g. for beneficiaries, stakeholders, donors.

2.6.4 Agree on reporting responsibilities

It is important to specifically identify the people who will be responsible for each report. This can be the same person identified in the M&E Plan (see section 2.4) who analyses the data; it is most likely to be the Project Manager or Coordinator, or other for small country programmes, e.g. in link with HQ advisors.

Consideration should also be given to **who is responsible for presenting M&E data at forums** such as community meetings, conference calls with HQ, donor meetings, coordination meetings etc. It does not need to include everyone involved in the reporting process, but the key person with overall responsibility for each reporting product.

While it is useful to involve a wider group of people in the report writing process, **one focal person should ultimately be responsible.**

2.6.5 Plan for information utilization

The overall purpose of the M&E system is to provide useful **information. Therefore, information utilization should not be an afterthought, but a central planning consideration!** For this reason, the informational need of stakeholders introduced in the initial M&E planning step, has been a reoccurring topic throughout all M&E planning steps.

Box 2.27: Considerations to ensure effective information utilization

Below are the different ways in which information might be utilized:

- **Project implementation** – Inform decisions to guide and improve ongoing project implementation.
- **Learning and knowledge sharing** – Advance organisational learning for current and future programming.
- **Accountability and compliance** – Demonstrate how and what work has been completed, and whether it was according to specific standards or donor requirements.
- **Celebrate achievements and advocacy** – Highlight accomplishments and impact, and advocate for further change.

2.6.6 Facilitate decision making and planning

Decision making and planning are at the heart of data utilization. **It is ultimately up to the user/ decision-maker to decide when and how to put it to use**. The more effectively data are presented, the greater the likelihood of facilitating utilization. This is where M&E planning merges with project management, and where **standard project management tools are useful to facilitate action**.

Procedures for documenting and responding to information findings and recommendations should be built into the Project Cycle Management system. At the project level, this can take the form of:

- A **decision log to keep a record of key project decisions made** (see *Toolkit 17)*. The value of this is that staff can go back to this to check that all decisions are followed through with, that they are recorded for institutional memory and if a disagreement arises over why a decision was made the log can be referred to for the reasoning; something which can also be useful for audit purposes.
- **An action log kept by Project Managers to ensure M&E findings and decisions made are followed up and acted on** (see *Toolkit 15*). Such a mechanism should specifically explain what actions will be taken, including their timeframe and responsibilities; it should also explain why any recommendation or identified issue may not be addressed. Follow-up should be systematic and monitored and reported on in a reliable, timely, and open manner so that the project team are kept updated. One system that can be used to highlight priority action areas is the use of "traffic lights", where actions are marked as green, amber or red. Green highlights actions that are on track, amber marks those that might not be achieved in the time allocated and red marks those that are static or delayed and must urgently be addressed.
- Recording of strategic decisions, the reasons for them and related actions can also be useful in a project **lessons learned log**, to inform longer-term strategic decision-making and act as a source of knowledge management for future projects to refer to (see *Toolkit 18*).

Decision and action logs are also useful to record explicit responses of project issues identified in M&E reports and recommended actions.

2.6.7 Facilitate learning

M&E has a key role to play in facilitating learning, demonstrated by the connecting of M&E findings back into project planning in the PCM (see figure 3 in section 1.4.6). **However, this will not be realized unless what is learned is documented and reflected on to inform future project and organisational planning.**

2.7 Step 7: Review and Revise M&E Plans Based on Progress

Step 7: Review and revise M&E plans based on progress
Objective of step: As the project proceeds, revise plans where required to reflect actual progress and lessons learned
Timing: During project implementation
Activities: 7.1 Regularly review and update the M&E system 7.2 Review ability to collect, enter, analyze and utilize data 7.3 Review decision-making process 7.4 Review resources for M&E 7.5 Manage the stakeholder feedback mechanism

2.7.1 Regularly review and update the M&E system

While the project is being implemented it is important to review the M&E system to ensure it is delivering its intended purpose, as well as re-forecasting as with any project component to ensure that sufficient resources are being allocated to it for it to deliver as planned. The **effectiveness of the M&E system in achieving its purposes** (see section 1.4.2) should be monitored and reviewed and the system updated and refined regularly. M&E planning, as with any form of project activity, should be a dynamic rather than static process. The M&E system should ideally be field tested before it is put into operation and changes in methods, tools or capacity addressed. Challenges to the M&E system that might occur during a project and potential solutions to them include:

- It might be felt that **data collected does not indicate project progress or facilitate decision-making** around ways in which to improve the project to attain its stated objectives; consideration should then be given to collecting alternate/additional data;
- There might be an issue around whether **data collected is being appropriately entered and managed**; retraining of staff might then be necessary;
- There might be an issue around whether **data collected is being fully analyzed and utilized**; processes of analyzing and utilizing data should then be reviewed;
- The **cost of conducting M&E activities might be higher than planned**; in this instance budgets should be reviewed and budget line item flexibility utilized;
- Stakeholders may express **concerns or grievances with M&E processes**; this should be discussed openly with stakeholders, and agreement reached on how to improve processes;
- There may be **sudden demands for more M&E information**, such as to investigate unexpected issues identified during data analysis; M&E resources should then be reallocated;
- There may be **changes in M&E capacity**, due to increased skills or turn over of staff that can impact the M&E plan; it is therefore advisable to have back-up M&E focal points for each project.

It is important to remember that projects are as dynamic as the context they operate in and the objectives they seek. Objectives may change due to contextual factors (i.e. due to civil conflict or natural disaster), external changes (i.e. in donor funding or government policy), personnel/capacity changes, or simply to refine and improve strategies and activities. It is also important to revisit the stated assumptions in the logframe and whether they hold or change project objectives. Such changes can affect the original M&E plan.

A mechanism to review and update the M&E plan is therefore recommended, and should describe **by whom, when, how and how frequently the M&E plan is reviewed**. The timing of such reviews will depend largely on the timeframe of the project itself.

As well as project M&E systems, **organizational M&E processes should also be reviewed**, such as through a meta evaluation (see *Annex 10*) or through After Action Reviews (see *Annex 9*).

Finally, it is important to ensure that **any changes to the M&E system are clearly explained to key stakeholders, especially when requiring donor approval** (e.g. in instances where changes to the logical framework and indicators are required).

2.7.2 Review ability to collect, enter, analyze and utilize data

As well as reviewing data collected, agreement should be reached about **how often, by whom, and how the M&E system should be assessed** to see if it is meeting its intended purpose. This review should include an assessment of the extent to which:

- Data are properly collected, entered, analysed, communicated and utilised;
- Findings are being disseminated through the right channels, at the right time to be used, to the appropriate stakeholders and utilised by them.

The review can be conducted through spot-checks by Project Managers as well as through After Action Reviews (see *Annex 9*) with those involved. Questions to ask include:

- Are data collected being analysed and reported on to key stakeholders?
- Are data collected proving relevant to assessing project performance?
- Are data collected and reported on being used to facilitate decision-making?

Where negative answers are coming up, consideration should be given to how processes and resource allocation should be altered to ensure that data are ultimately used to ensure a project is meeting assessed needs.

2.7.3 Review decision-making process

A key aspect of the M&E system is that it should **facilitate evidence-based decision-making** at both field and HQ level, though primarily at field level. As such it is critical to review the extent to which:

- **Stakeholders feel that their information needs are being met** (see section 2.1.2 and section 2.7.4 below) such that they feel **empowered to make evidence-based decisions;**
- **Stakeholders are actually using the information** to make evidence-based decisions;
- **Decisions are being documented and implications being fed back** into the project process and M&E system.

Again, an After Action Review (see *Annex 9*) is the most useful way of reviewing this. Questions around the following should be discussed:

- Are data findings and reports being read?
- Are data findings and reports being systematically reviewed through a number of different fora (e.g. project meetings to review APRs, survey findings or evaluations, meetings with communities to review activities and change processes etc.)?
- Are managers using data findings to guide decision-making, particularly around resource allocation?
- Are M&E findings being used to revise plans (short-term activity-plans as well as overall project plans)?

Where negative answers are coming up, again consideration should be given as to how processes could be altered to ensure data are user-friendly and used to inform decision-making.

2.7.4 Review resources for M&E

Critical to the M&E system functioning effectively is the **appropriate and sufficient resources (human, financial, equipment and time) allocation:**

- As part of regular **budget reforecasting**, a review should also be undertaken around whether sufficient financial resources have been allocated for the M&E system to function as required.
- A regular **review of the M&E plan and calendar** (see *Toolkit 4*) should ensure any changes in timing and resources are updated.
- Following M&E training for staff, follow-up and on-the-job support should be provided to ensure that staff capacity is sufficient to meet M&E system requirements.

Box 2.28: Checklist for M&E resource planning and allocation

Activities	Key tools
1. Undertaking daily monitoring	M&E Plan (*Toolkit 4*)
2. Review ability to collect, analyze and utilize data	Lessons Learned Log (*Toolkit 18*)
3. Review decision-making process	Action Log (*Toolkit 15*)
4. Review resources for M&E	Decision Log (*Toolkit 17*)
	M&E budget

Questions to consider include:

- Are there sufficient human and logistics resources to undertake the M&E activities planned?
- Are the appropriate technical skills available to deliver on the M&E activities planned?
- Are the tools, templates and software used appropriate to M&E requirements?
- Are financial resources sufficient to fulfill M&E plans?
- Where negative answers are coming up, again consideration should be given to how resources can be reallocated or more/fewer sought to deliver on plans.

2.7.5 Manage the stakeholder feedback mechanism

Reviewing and revising the M&E plans also includes regular reviews of the stakeholder feedback mechanisms to ensure stakeholders are adequately involved and taking part in the M&E system. This process includes:

- Feedback/complaints are being **collected and documented**;
- Feedback/complaints are being **raised with the relevant parties and acted on;**
- **Updates and resolutions to feedback/complaints are being discussed and communicated back with the relevant stakeholders;**
- **Follow-up is happening with those stakeholders** to ensure that the feedback/complaint has been fully addressed.

As previously highlighted an Action Log (see *Toolkit 10 and 15)* can help keep track of the status of feedback/complaints being addressed.

As well as addressing feedback/complaints, the mechanism itself should be regularly reviewed to check:

- If it is **being utilized;**
- If the **communication channels established are appropriate and accessible to the intended stakeholders**;
- If the communication channels within ACF are working properly such that the **full mechanism cycle is functioning effectively,** from feedback/complaints are raised, to their being communicated to the relevant people, acted on and fed back to stakeholders.

If the above prove to be challenging, it is recommended that **focus group discussions should be held to ascertain why aspects of the feedback mechanism are not working, with recommendations agreed on as to how to rectify these** and responsibilities and timeframes allocated to address these. One overall responsible focal point should be charged with following up to ensure these recommendations are being taken forward.

2.8 Step 8: Agree on Process of Evaluation Management

Step 8: Agree on process of evaluation management
Objective of step: To clarify a process of evaluation management, how evaluation recommendations should be followed and reviewed
Timing: During implementation or evaluation
Activities: 8.1 Determine the purpose of the evaluation 8.2 Planning evaluation Terms of Reference and commissioning evaluation 8.3 Agree on evaluation methodology 8.4 Agree on evaluation preparation and research undertaking 8.5 Plan country/field visits 8.6 Agree on evaluation reporting 8.7 Agree on evaluation findings dissemination plan

This section is intended for those managing evaluations, as a step-by-step approach to how an evaluation should be overseen, with checklists included to ensure each step is covered.

As detailed in section 1.2 an evaluation is a systematic and impartial examination of humanitarian action intended to draw lessons to improve policy and practice, and enhance accountability (see Buchanan Smith, M. & Cosgrave, J. in Bibliography), with most based on assessing performance against the OECD/DAC criteria: **Impact, Coherence, Coordination, Coverage, Relevance / Appropriateness, Effectiveness and Efficiency.**

The ACF Evaluation Policy and Guideline outlines details of which projects should be evaluated and how (see Box 2.32 below):

Box 2.29: ACF Evaluation Policy and Guideline - summary of key points

The below summarizes six key points of the Policy to be taken into account in the M&E Plan:

1. **Which projects should be evaluated? All ACF interventions should be evaluated**: from single projects and multi-project programmes to country-level and regional strategies.

2. **What type of evaluations should be undertaken? The type of evaluation used will vary according to the size and length of the intervention**. Smaller interventions (<€ 400,000) should be evaluated once using internal self-evaluation tools, whilst larger interventions (> €1,000,000) should be evaluated twice using external evaluators;

Tab e of valuation types by project budget size		
Budget	Timing	Type of Evaluation
<€ 400,00	Final Evaluation	Internal
€400,000 – 1,000,000	Final Evaluation	External
> €1,000,000	Mid-Term & Final Evaluation	External

Particular emphasis should be placed on **evaluating and documenting pilot or innovative technical approaches** including advocacy strategies, **regional programmes, partnerships and collaborative initiatives.**

3. **Should emergency projects/responses be evaluated?** ACF responses to **rapid-onset emergencies** (e.g. Haiti Earthquake or Pakistan) **should be the focus of more elaborate evaluation processes**, using a specifically designed ToR (see *Annex 38*);

4. **When should programmes be evaluated?** Final evaluations should be carried out as close as possible to the end of the programme. This will ensure that evaluations are able to capture the full extent of the intervention, its activities and its impact. Some interventions might need lag time to be able to measure impact, hence a 6-12 months post-project evaluation might be appropriate.

5. **Who should commission the evaluations? At field level, Heads of Mission and Programme/ Project Coordinators** should ensure that **evaluations are included in the relevant budgets. At HQ, Programme Officers, Desk Officers, Technical Advisors and Project Coordinators should ensure that evaluations are included in internal and donor proposals.**

6. **How much should be budgeted for evaluations?** There are **no set costs for evaluations**; costs will be determined by a number of factors including the type and/or size of the intervention being evaluated, the country in which it takes place, the length of the evaluation and the skill set necessary to evaluate the programme, its strategic importance and the decision on an internal or external evaluation process. In order to provide some general guidance, ACF-UK will produce an up-to-date Annual Evaluation Budget, with a suggested total amount and an individual cost for all relevant budget lines.

Source: *ACF Evaluation Policy* 2011

The box below complements the above box by detailing how to manage an evaluation in seven steps. Before the process is embarked on, an evaluation manager should be agreed; this is most likely to the Programme Manager or Coordinator:

Box 2.30: Evaluation steps and responsibilities checklist			
Step	**Tasks**	**Responsibility**	**Output**
1. Define purpose of the evaluation	• Determine whether evaluation will be accountability or learning-oriented • Determine the intended audience • Agree timing of evaluation	• Evaluation Manager • Country Director / Coordinator	
2. Planning and commissioning an Evaluation Terms of Reference	• Agree evaluation criteria • Map out evaluation stakeholders • Draft evaluation ToR including resourcing • Circulate ToR for feedback/approval • Select and brief evaluation Steering Group • Undertake Evaluator/ Consultant selection	• Evaluation Manager • Evaluation Manager • Evaluation Manager • Evaluation Manager • Evaluation Manager • Evaluation Manager (+ Steering Group)	• ToR & budget • Steering Group ToR • ToR/Tender document
3. Evaluation inception	• Brief Evaluator/ Consultant • Undertake initial research • Draft Inception Report • Circulate Inception Report for feedback and approval	• Evaluation Manager • Evaluator/ Consultant(s) • Evaluator/ Consultant(s) • Evaluation Manager and Steering Group	• Inception report
4. Evaluation preparation and research	• Undertake project documentation desk research • Conduct interviews (HQ/ email/phone) • Plan country visit(s) • Plan evaluation report dissemination/ communication plan	• Evaluator/ Consultant(s) • Evaluator/ Consultant(s) • Evaluator/ Consultant(s), Evaluation Manager and Steering Group	• Interview notes • Visit plan • Dissemination plan

5. Country visit(s)	• Planning in-country activities • Draft and circulate visit schedule • Undertake in-country desk research • Undertake in-country workshop(s) • Draft and circulate visit report	• Evaluator/ Consultant(s) • Evaluator/ Consultant(s) • Evaluator/ Consultant(s) • Evaluator/ Consultant(s) • Evaluator/ Consultant(s)	• Visit schedule • In-country workshops • Visit report
6. Reporting	• Draft report and evaluation summary • Circulate report for comment • Edit and revise report • Circulation revised report for comment • Management response facilitated • Final amendments to report	• Evaluator/ Consultant(s) • Evaluation Manager • Evaluator/ Consultant(s) & editor • Evaluation Manager • Evaluator/ Consultant(s) & Evaluation Manager	• Draft Report • Revised Report • Final Report
7. Dissemination	• Distribution and publication of evaluation report and summary • Evaluation findings dissemination workshops with key stakeholders (field office, HQ, donors, partners, beneficiaries) • From evaluation recommendations agree actions with stakeholders	• Evaluation Manager • Evaluator/ Consultant(s), Steering Group and Evaluation Manager • Evaluation Manager	• Evaluation report • Workshop(s) • Post-Evaluation Action Plan

Source: Adapted from: DFID, (2005), *Guidance on Evaluation and Review*

2.8.1 Determine the purpose of the evaluation

As part of the process of agreeing on a project M&E plan (see section 2.4), project evaluations should be mapped out. The purpose of these should be clarified to agree whether they are more geared towards **accountability** (i.e. assessing the extent to which a project has achieved its aims with resources provided, either as part of internal or donor requirements) or towards **learning** (i.e. to learn lessons that can be fed back into existing or future project planning). This will determine whether the evaluation is internal or external (see *Annex 39*).

A key aspect of determining the evaluation purpose is agreeing on **who is the intended audience of the evaluation** (donor, internal management, the project team, beneficiaries etc.). Depending on the information needs of the intended audience, the evaluation should be structured accordingly.

Depending therefore on whether it is accountability- or learning-oriented the following differences in approach may apply:

Box 2.31: Planning for an accountability vs. learning-oriented evaluation		
Characteristic	**Accountability-oriented**	**Lesson-learning oriented**
Terms of Reference (ToR)	Likely to be set by those external to the programme, e.g. country director/HQ.	Likely to be set by those directly involved in the programme e.g. programme coordinator.
Evaluation team composition	Independent external team.	Internal team of project staff, or mixed team of project and non-project staff.
Resources (time & budget)	Likely to require more time and may be more expensive, particularly if external evaluators are recruited and a more thorough review of project details is required.	Likely to be less resource intensive in most areas, save internal staff and time .
Emphasis in approach	Methodology of data collection and analysis emphasise objective, assessment of achievement of plans with resource available.	Process of reflection and reaching conclusions emphasised – more subjective.
Evaluation type (see *Annex 10*)	Likely to be undertaken at end of project to check achievement against plans.	Likely to be undertaken during project for lessons to feed back into current/future project(s), e.g. through real time evaluation. After Action Reviews (see *Annex 63*) are particularly useful and cost-effective for internal learning.
Management style	More directive	More facilitative
Report dissemination	In public domain	Internal to organisation/restricted/ external

Source: Adapted from: Buchanan-Smith, M. & Cosgrave, J. (2010) *Evaluation of Humanitarian Action,* ALNAP

Finally, at this stage agreement should be reached on the approximate **timing of the evaluation**. The Country Director and Coordinators should aim to include a final external evaluation for each project. Desk Officers and Technical Advisors should check internal and donor proposals and budgets to ensure that evaluations have been included where appropriate. Managers should also be aware that evaluation of the overall country strategy, as well as specific project should be incorporated accordingly.

2.8.2 Planning evaluation Terms of Reference and commissioning evaluations

The **standard evaluation framework recommended by the ACF evaluation policy are the OECD/DAC criteria** (see Box 2.35). When planning an evaluation, discussions should be had on whether any other evaluation frameworks should be combined with these criteria – see below.

The following six steps should then be followed to plan and commission the evaluation:

1. **Agree on the evaluation framework and criteria**: The OECD/DAC evaluation criteria are often the preferred framework for evaluations, agreed on by a cross-section of sector representatives. The table includes some sample evaluation questions that can be used with this evaluation framework. While it is not an exhaustive list, "less is more" in evaluation Terms of Reference; namely it is better to focus on a few key questions that the evaluator can expand on rather than creating an exhaustive list that may constrain the evaluator's flexibility.

Box 2.32: Sample evaluation questions against the OECD DAC evaluation criteria

Criteria	Definition	Sample questions
Appropriateness / Relevance	Relevance is concerned with assessing whether the project is in line with local needs and priorities (as well as donor policy).	*How far did the project meet the main needs of the affected population?* *To what extent was the affected population involved in the intervention?*
Effectiveness	Effectiveness measures the extent to which an activity achieves its objectives/purpose, or whether this can be expected to happen on the basis of the outputs.	*To what extent are programme objectives being reached/likely to be reached? Did the outputs achieved result in the desired outcomes?*
Efficiency	Efficiency measures the outputs (qualitative and quantitative) achieved as a result of inputs. This requires comparing alternative approaches to achieving an output, to see whether the most efficient approach has been used.	*Are the inputs (money, time, human and material resources) appropriate in relation to the outputs/results?*
Impact	Impact looks at the wider mid to long term effects of the project - social, economic, technical, and environmental - on individuals, gender- and age-groups, communities and institutions. Impact can be intended or unintended, positive or negative, macro (sector) or micro (household) level.	*What change has happened as a result of the project/ programme? Was in interned / unintended, positive / negative change?*
Connectedness (Sustainability)	Connectedness refers to the need to ensure that activities of a short-term emergency nature are carried out in a context that takes longer-term and interconnected problems into account. Connectedness has been adapted from the concept of sustainability - the idea that interventions should support longer-term goals, and eventually be managed without donor input.	*If appropriate, has the project been planned with the longer-term in mind?* *Will benefits likely be sustained for an extended period after the project ends?* *Has learning from past projects been used to shape this one?* *Is learning fed back into adjusting this project or captured for future work?*

Coverage	Coverage is the need to reach major population groups facing life-threatening suffering wherever they are.	*Were any groups excluded from assistance? How (criteria) has support for different groups been prioritized?*
Coherence	Coherence is the need to assess security, developmental, trade and military policies as well as humanitarian policies, to ensure that there is consistency and, in particular, that all policies take into account humanitarian and human-rights considerations.	*To what extent was the project consistent with Government policy?* *To what extent was there coordination happened with other actors (Government, UN, NGOs)?*
Coordination	Coordination is the extent to which the interventions of different actors are harmonised with each other, promote synergy, avoid gaps, duplication, and resource conflicts.	*Were there any gaps or duplication in the sectors covered?*

Source: *OECD DAC criteria guide* (2001)

In utilizing the DAC criteria for an evaluation, achievement against each should be scored using a five-point scale of the ACF Evaluation Policy as detailed in Table 1 below:

Table 1: Scoring achievements against the OECD DAC Criteria

Criteria	Rating (1 low, 5 high)					Rationale
	1	2	3	4	5	
Impact						
Sustainability						
Coherence						
Coverage						
Relevance/ Appropriateness						
Effectiveness						
Efficiency						

As well as the above criteria, a project can also be evaluated against initial project hypotheses, its logic model or theory of change as detailed in its logframe.

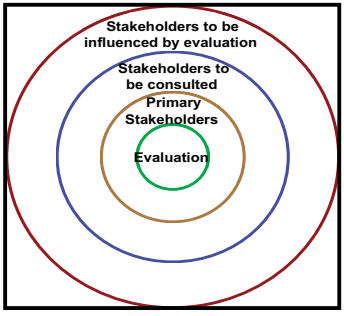
Other criteria from sector or specific thematic frameworks can also be added to the evaluation criteria. This might include **specific codes or standards for adherence and quality** such as Sphere, ACF Charter, Code of Conduct, The Humanitarian Accountability Partnership, Groupe URD Quality Compass etc). It might include specific **thematic frameworks on FSL**, such as the Household Livelihood Security framework, the Household Economy Approach, or the Sustainable Livelihoods Framework or frameworks around specific types of FSL contexts, such as complex emergencies. It might also include specific frameworks on cross-cutting issues such as: the Hyogo Framework for climate change and the environment, the Characteristics of a Disaster-Resilient Community for DRR, the IASC Gender Handbook criteria, and protection principles for the most

vulnerable as laid out in a number of frameworks, amongst other things. This might include **specific codes and standards for adherence and quality and specific thematic frameworks on FSL or other thematic specialization** (see *Annex 40*).

Frameworks for specific approaches, such as training, can also be used.

2. **Map out the evaluation stakeholders**: Not all stakeholders will hold equal interest in the project, it is important therefore to map stakeholders. The diagram is one way of doing it, aided by the below prompt questions:

- Who are the primary stakeholders for this evaluation? How can you engage them, encourage their ownership, and ensure relevance of the evaluation to their needs?
- Which other stakeholders do you need to consult?
- Which other stakeholders need to be informed?
- Which stakeholders need to be influenced?
- Which stakeholders' needs should you prioritise to make the evaluation do-able and retain focus?



Source: Adapted from: Buchanan-Smith, M. & Cosgrave, J. (2010) Evaluation of Humanitarian Action, ALNAP

3. **Draft evaluation ToR including resourcing**: An evaluation Terms of Reference (ToR) should be drafted in line with the Evaluation ToR template (see *Annex 38*). This should be costed and a budget (see Box 2.32) for the evaluation included (see *Toolkit* 19). A draft timetable of the evaluation (see *Toolkit 20*) should also be put in place and finalized with the evaluator.

4. **Circulate ToR for feedback/approva**l: The ToR should be circulated to key stakeholders for feedback and approval; this might include project stakeholders, HQ and the donor.

5. **Select and brief evaluation Steering Group**: If this is an external evaluation, a Steering Group comprising of project stakeholders and people independent to the project can be appointed to support the Evaluation Manager in steering the evaluation.

6. **Undertake Evaluator/ Consultant selection**: If the evaluation is to be external, then the ToR should be put to tender for evaluators to bid. If it is to be internal, the ToR should be circulated amongst the likely team for feedback. If local project staffs are included in the evaluation team, some training may be required.

2.8.3 Agree on evaluation methodology

Once evaluators (internal or external) have been agreed on, the following four steps should be taken:

1. **Brief evaluator:** The evaluation manager should brief the evaluator on the project background, key stakeholders, key project documents and purpose of the evaluation.

2. **Undertake initial research**: Following the briefing and provision to the evaluator(s) of key documents, they should spend some time reviewing these to draft an inception report.

3. **Draft Inception Report**: The evaluator(s) should compile a short Inception Report for submission to the evaluation manager and circulation to the evaluation steering group (see *Annex 41)*.

Box 2.33: The purpose of an inception report

What is an inception report? An initial report prepared by the evaluator(s) demonstrating understanding of the project and purpose of the evaluation and approach to be adopted.

What is the purpose? The aim of the inception report is to:

- Highlight at an early stage any **differences in understanding** the evaluation between the evaluation manager and the evaluation(s).
- Provide an opportunity for the evaluation manager to assess how the evaluator(s) **plan to approach the evaluation**.
- Enable the evaluator(s) to **turn the terms of reference into a feasible task list** that is agreed with the evaluation manager.
- Allow the evaluator(s) to **plan work in a coherent way**.
- Provide stakeholders with a **clear statement of intent** by evaluators so that they can highlight or clarify any concerns or misunderstandings that they have with the proposed approach.
- Provide the evaluation manager with an opportunity to address problems with the evaluator(s)' understanding and approach before they become issues, including on:
  - ➔ The context of the project/intervention.
  - ➔ The context of the response and of the activities to be evaluated.
  - ➔ The purpose and intent of the evaluation.
  - ➔ The concern of stakeholders.

The Inception report should include key aspects covered in the evaluation ToR, fleshed out following initial briefings and documentation review, including:

- **Evaluation background and context**: Should demonstrate a clear understanding of the context.
- **Evaluation objectives**: Should demonstrate understanding of the purpose of the evaluation.
- **Methodology**: Should map out a clear logical approach to undertaking the evaluation, methods to be used, and how they will answer the questions posed by the evaluation. If quantitative surveys are to be undertaken, the full sampling method should be outlined along with details of who will undertake the data collection, entry and analysis.
- **Timetable**: Should include a clear realistic timetable of activities and key milestones, including travel itinerary, allowing a check with the project team that timing does not clash with any other

planned project activities. Milestones for reporting should also be included (see *Toolkit 20* for Evaluation Timetable Template).

- **Roles and responsibilities**: Should clearly assign roles and responsibilities to those involved, including the steering or advisory group.
- **Stakeholder analysis**: Should identify key stakeholder who need to be engaged and demonstrate an awareness of any possible concerns held by those stakeholders.
- **Risks and mitigating measures**: Should indicate risks to the evaluation process and mitigating measures proposed, such that they can be followed up with the evaluation manager if they arise.
- **Annexes**: Should include a list of proposed interviews and focus groups, and interview questions.

4. **Circulate Inception Report for feedback and approval**: Once the Inception Report is drafted it should be circulated to the Steering Group for feedback and approval before proceeding.

2.8.4 Agree on evaluation preparation and research undertaking

With the Inception Report signed off, the evaluator(s) should then focus on undertaking some more in-depth preparation for field work and local research of other documents not reviewed previously; this could include things like monitoring reports and other more detailed data. These include the following four steps:

1. **Undertake project documentation desk research**: Time should be planned for the evaluator(s) to review more detailed key project documentation before going to the field.

2. **Conduct interviews (HQ/email/phone)**: Any interviews at HQ should be conducted before travel, ideally these should be face-to-face but failing that, by phone or email.

3. **Plan country visit(s)**: Details of field travel to the country/countries in question should be agreed on in terms of dates, locations to be visited, stakeholders (staff, beneficiaries, partners, donors) to be met and all associated administrative arrangements.

4. **Plan evaluation report dissemination/communication plan**: Having agreed on the approach and stakeholders to be consulted as part of the evaluation, a more detailed dissemination plan can now be agreed on before field work commences.

2.8.5 Plan country/field visits

On arrival in-country, final arrangements should be made for in-country research and field visits:

1. **Planning in-country activities**: Details of in-country activities (locally available documentation that needs to be reviewed, stakeholders that should be interviewed, field visits and workshops to be arranged etc.) should be agreed on with the evaluation manager, admin and logistics staff.

2. **Draft and circulate visit schedule**: A schedule of field visits to meet with key stakeholders (local communities, authorities, partners, local donors etc.) should be agreed on with stakeholders.

3. **Undertake in-country desk research**: Any additional documentation only available locally should be reviewed.

4. **Undertake in-country workshop(s) and interviews**: Workshops, focus groups or interviews with key stakeholders (staff, partners, communities etc.) should be arranged for discussion on achievements of the project. See *Annex 4: Data Collection Methods* and Sections 2.4 on data collection, analysis and utilisation.

5. **Draft and circulate visit report**: On conclusion of the field visits, findings can be summarised in a trip report. This is optional. Depending on whether the visit is concluded, a debriefing session with the Country Director, Coordinator and Project Manager can be held at this stage.

2.8.6 Agree on evaluation reporting

Having collected all the data for the evaluation, analysis and report writing should commence:

1. **Draft report and evaluation summary**: A first draft of the evaluation report should be compiled, along the lines of the below structure:

   a. **Executive Summary** (2-3 pages): Background to the project; Operational context; Objectives of the project; Purpose and audience of the evaluation (short paragraph); Brief methodology overview (short paragraph); Main findings (in order of importance); Main recommendations. **NB: There should be no more than 10 recommendations and these should be clearly linked to the findings; recommendations can either be grouped by theme or by intended user.**

   b. **Introduction**: Evaluation objectives; Scope of work; Methodology overview; Evaluation team composition.

   c. **Contextual and operational overview:** Background to the project/programme; Objectives of the project/programme and key activities.

   d. **Findings and recommendations**: Presentation of key findings and linked recommendations against each of the evaluation criteria (**NB**: Recommendations can also be summarised by key user stakeholder who should take them forward); recommendations for future programming (linked to key findings); key lessons learned.

   e. **Annexes**: ToR; Evaluation methodology; Evaluation dissemination plan; Recommendations and plan for follow-up actions; List of persons interviewed; List of documents reviewed; List of places/locations visited; Evaluation itinerary; Background information on the report authors.

2. **Circulate report for comments**: The first draft of the report should be circulated to the steering group and any other key stakeholders for feedback and comments provided to the evaluators.

3. **Edit and revise report**: Following provisions of comments, the report should be revised by the evaluators.

4. **Circulation of revised report for comments**: The revised report should be circulated to the initial immediate stakeholders for comment and any wider stakeholder groups felt appropriate.

5. **Management response facilitated**: Opportunity should be given for a management response to the report, should there be any disagreement with findings.

6. **Final amendments to report**: Feedback gathered should be used to finalise the report Translations should be made as required.

2.8.7 Agree on evaluation findings dissemination plan

With the finalisation of the report, it should be prepared in appropriate format for dissemination:

1. **Distribution and publication of evaluation report and summary**: If the report is to be published, distribution should occur in line with the plan in the appropriate format and language. For some audiences the executive summary might suffice. Where PowerPoint summaries are more appropriate, these should be crafted from the report. If the report is to be discussed with beneficiaries, the appropriate discussion guides should be agreed upon.

2. **Evaluation results dissemination workshops with key stakeholders (field office, HQ, donors, partners, beneficiaries**): Workshops should be arranged as appropriate to discuss findings and results with key stakeholders. These should be arranged well in advance to ensure attendance, and the report and executive summary circulated beforehand to allow time for stakeholders to absorb findings for a facilitated discussion. As with any workshop organisation, the structure and content should be mindful of the audience. Workshops should aim to assess the findings and delve into the reasons for these, as well as potentially also agree on action points based on the recommendations made.

3. **With evaluation recommendations agree actions with stakeholders**: As part of dissemination workshops discussion should be had on whether stakeholders agree or disagree with the findings and recommendations made by the evaluation. For the recommendations agreed on, a Post Evaluation Action Plan (see *Toolkit 21*) should be drawn up with key stakeholders, and responsibilities and timeframes.

Summary of Chapter 2

Chapter Summary

1. **There are 8 key steps required to set up an M&E system. These are:**
   Step 1: Agree on purpose and principles of the project's M&E System
   Step 2: Agree on and design core documents to set up M&E system
   Step 3: Establish project M&E system
   Step 4: Agree on field monitoring data collection and management process
   Step 5: Agree on monitoring data analysis process
   Step 6: Agree on process for monitoring data utilization and reporting
   Step 7: Review and revise M&E plans based on progress
   Step 8: Agree on process of evaluation management

2. **Each step should be undertaken at key stages of the project cycle**. Steps 1-2 should be undertaken during project design, Step 3 before implementation commences and Steps 4-8 during implementation.

3. **All steps are applicable to all contexts (emergency, recovery and longer-term developmental projects), the difference being the speed with which they are planned and undertaken, the type of data collected and methods used.** For emergency contexts data cycles will necessarily be shorter, with a greater focus on output rather than outcome data. Evaluations therefore are necessary to address the latter.

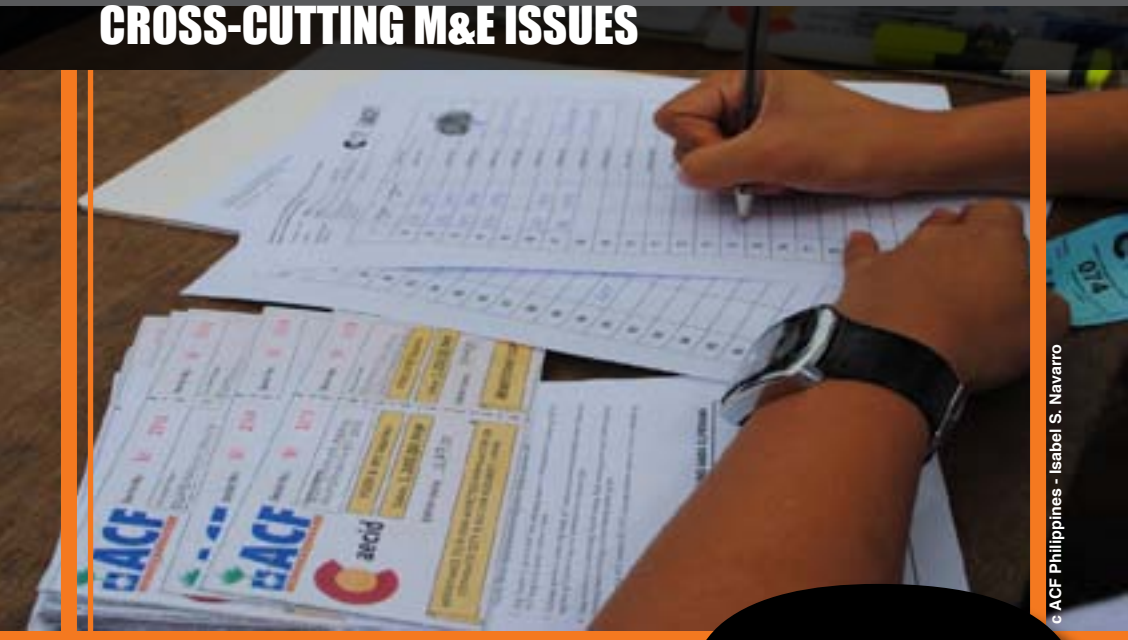
4. **Using ACF's standardized core indicators**: When determining indicators for an FSL project monitoring plan, **ACF's core FSL indicators should be used for all FSL projects**. These are nine mandatory indicators that give an overview of the factors affecting FSL and ultimately malnutrition, given that ACF's core organizational aims are of preventing malnutrition, and where required treating it. They include:

- Dietary Diversity on Household or Individual level measured by Household or Individual Dietary Diversity Score, or Food Consumption Score (*Annexes 26 -28*)
- Severity of Household Food Insecurity measured by Household Food Insecurity Access Scale (HFIAS) (*Annex 29*)
- Availability of Sufficient Food on Household level measured by Months of Adequate Household Food Provisioning (MAHFP) (*Annex 30*)
- Risk to malnutrition of children under 5 years of age in the household measured by Mid Upper Arm Circumference (MUAC) (*Annex 31*)
- Evolution of market prices as measured through Regular Market Price surveys (*Annex 32*)
- Number of people benefiting from the implemented activity or project (*Annex 33*)

5. **The purpose of ACF's core indicators that all FSL projects should use is to ensure all projects work towards these common objectives**; to serve as the standard indicators against which all projects can report against by way of starting to collect comparative cross-project data; to encourage greater focus on the medium and longer-term change (outcomes and impact); and, to encourage greater focus on the medium and longer-term change being brought about by programming, as opposed to focus only on activities and outputs.

6. **ACF's core indicators should be supplemented with thematic indicators**; these include a selection of other relevant but optional indicators laid out by thematic area. These cut across all FSL areas of work, and focus more specifically on ways of measuring change in each thematic area. These are optional as they will depend on what specific thematic areas a project is covering, so project staff can select those indicators most appropriate for their activities. Selecting from a predetermined list of indicators also facilitates standardization across projects, while also allowing flexibility to adapt them to be context-specific.

CHAPTER 3
CROSS-CUTTING M&E ISSUES



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3.1 Step 1: Ensure M&E System Complies with M&E Standards and Ethics 97
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3.3 Step 3: Assess which Cross-cutting Issues to Build into the M&E System 103
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CHAPTER OBJECTIVE

The aim of this section is to recognize the factors that make an M&E system effective and valid. In order to do so, it needs to adhere to internal standards within ACF as well as general M&E standards. It also needs to recognize and address cross-cutting issues that lie within the environment.

3.1 Step 1: Ensure M&E System Complies with M&E Standards and Ethics

Step 1: Ensure M&E System complies with M&E ethics and standards
Objective of step: To ensure that the M&E system adheres to the M&E ethics and legal considerations that should be built into the M&E process.
Timing: During project design and proposal writing stage
Activities: 1.1 Abide by M&E ethical practices particularly informed consent and confidentiality 1.2 Abide by M&E principles of participation and "do no harm" 1.3 Ensure transparency and address corruption 1.4 Abide by M&E standards 1.5 Minimize error and bias in M&E

3.1.1 Abide by M&E ethical praoctices particularly informed consent and confidentiality

This section focuses on the ethical and legal considerations that should be built into the M&E process. **The quality, reliability and therefore credibility of M&E findings and subsequent decision-making can be compromised if ethical considerations are not taken into account. In particular, the welfare of those involved in and affected by M&E should be safeguarded**. M&E processes should therefore abide by international professional ethics, standards and regulations to minimize any negative ramifications or risks to stakeholders, particularly local stakeholders, and ensure credibility and accountability. Key considerations include:

Box 3.1: M&E principles and ethical considerations checklist	
Consideration	**Description**
Informed consent	Any form of social research is conducted on the basis of informed consent. Potential respondents should be informed of the interview purpose: • The purpose of the data collection and what it is looking to find out, • How the information will be used for and whether it will be published. They should also be informed of the interview ground rules: • Option of confidentiality, • Means of information gathering and recording, • Participation requirements. For key informant interviews this can be done with an Interview Protocol Card (see *Annex 42*). Once rules have been explained, respondents consent for participating should be sought. Humanitarian evaluation information in particular is normally gathered on the basis that comments by respondents are not attributed to them as they may occur in complex emergencies or contexts where respondents could be at risk if identified. Names can be replaced by "Respondent One", "Respondent Two" etc. If one respondent is made anonymous, it may be appropriate for all respondents at that location to be anonymous.
Anonymity / confidentiality	A person's right to provide information in confidence and anonymously should be built into evaluation data collection, with potential respondents asked about their preference for anonymity. Any sensitive information should not be traceable to its source (e.g. sensitive opinions). For monitoring, certain personal information is required for accountability purposes (e.g. name, number if household members etc.).
Systematic Inquiry	All research should be thorough, using appropriate methods of enquiry and the highest technical standards, and based on valid data. Information should be validated using multiple approaches and sources.
Competence	Data collectors, enumerators and analysts should be equipped with the appropriate training, skills and experience to undertake the data collection required and should only be expected to work within the limits of their professional training and competence. There should be continuous striving to improve methodologies and practice skills.
Integrity	ACF organisational procedures should be adhered to as part of any research and any challenges to these raised with the relevant people. Any real or potential conflict of interest should be highlighted. Misrepresentation of data and results should be avoided. Any issues that arise suggesting any wrongdoing should be reported.
Respect and cultural sensitivity	Local customs on dress code, personal interaction, religious beliefs and practices, should be respected and cultural sensitivity shown. Differences in religion, gender, disability, age, sexual orientation and ethnicity should be taken into account in research.
Right to privacy	People may not want to openly discuss issues and should have the option to decline.

Time constraints	People may be extremely busy and their participation in research can be burdensome. Ample notice should be given as much as possible and demands on time minimised.
Responsibility for outputs	Criticism can have serious consequences for individual (particularly national staff) and organizational reputations. Those collecting and reporting on data should be mindful of any potential consequences, in terms of security and local presence, for those involved in the data collection and reporting.
Accountability	Research undertaken should be in line with the Terms of Reference agreed and results presented accurately, identifying any limitations or uncertainties that could impact on interpretations. All expenditures should be accounted for to ensure value for money.
Omissions	Where issues and findings arise that are not directly part of the research but relate to the project, they should be acknowledged and discussed with the relevant staff.
Balancing values and cultural norms	There is a delicate balance between some cultural practices and the deprivation of fundamental human rights. Sensitive topics should be treated with care, such as in dealing with marginalized groups (e.g. internally displaced people or ethnic minorities), following traumas (e.g. natural disaster, or conflict, or domestic violence). The UN Universal Declaration of Human Rights should serve as an operating guide in such instance.

Source: Adapted from: CIDA (1990), *CIDA Evaluation Guide*, pp.26-28

3.1.2 Abide by M&E principles of participation and "do no harm"

As much as is feasible, appropriate and dependent on funding, **M&E should be participatory** (see Section 1.5). Local involvement increases the legitimacy and likely utilization of M&E information, as well as ownership for and support of the process. As discussed in Chapter 1, at a minimum stakeholders should be consulted when planning an M&E system. A key aspect of such participation is that an M&E system should facilitate stakeholders to express any concerns or complaints, and have a process in place for addressing these. (See *Annex 43* for Establishing a community based M&E system).

As highlighted in Chapter 1, **M&E activities should facilitate accountability and learning** by collecting data that can facilitate learning what works and what does not through the project, and taking the appropriate decisions to correct areas not working.

As with any humanitarian or development activity, **the principle of "do no harm" should be upheld in M&E activities**. Data collectors and those disseminating M&E findings/reports should take into account where information might endanger or embarrass respondents or those non-community members involved in conducting the research. While the integrity of findings should not be compromised given the legal and ethical responsibility to report evidence of criminal activity or wrongdoing that may harm others (e.g. child abuse, domestic violence etc), no harm should come to those involved.

3.1.3 Ensure transparency and address corruption

Increasingly the humanitarian sector is moving to a trend of greater transparency, at least in terms of sharing evaluations. Greater transparency however is still required in sharing M&E findings amongst communities of practice and beneficiaries.

Lessons from recent mega-disasters such as the Asian Tsunami, Haiti or Pakistan, where there is a high concentration of resources, have highlighted the need for clear policies of *zero tolerance* on

corruption and transparency in the utilisation of funds. However, the monitoring of potential or actual lower level corruption in projects should also continually be reviewed and checked.

3.1.4 Abide by M&E standards

M&E should be conducted in line with codes and standards appropriate and relevant to ACF and the project being undertaken, and adherence to them monitored. These can include:

- **The ACF Charter** requires adherence to the principles of: Independence, Neutrality, Non-Discrimination, Free and Direct Access to Victims, Professionalism and Transparency.
- The **Sphere Project Handbook six core 'process and people' standards** that are relevant to each of the technical sectors, include i) people centred humanitarian response, ii) coordination and collaboration, iii) assessment, iv) design and response, v) performance, transparency and learning, and vi) aid worker performance. See Box 3.2 below on the key indicators of monitoring.
- **The Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief** requires adherence to the principles of: i) Humanitarian imperative, ii) Basis of need, iii) No proselytizing, iv) Not foreign agents, v) Respect culture, vi) Build on local capacities, vii) Involve beneficiaries, viii) Reduce vulnerability, ix) Accountable both ways, x) Respect victims as human beings.
- **Professional standards in M&E** including ACF's Evaluation Policy and any sector or donor standards being adhered to under a particular project; these might for example include OECD/DAC Principles, the UN Evaluation Group (UNEG) Norms and Standards, and American Evaluation Society standards, although this is not an exhaustive list but more can be found in the bibliography of this manual.
- **ACF thematic FSL programme guidelines and manuals** should be built into the M&E system.

Box 3.2: Sphere monitoring & evaluation indicators and guidance notes

Key monitoring indicators

1. Information collected for monitoring is timely and useful, is recorded and analysed in an accurate, logical, consistent, regular and transparent manner and informs ongoing programmes.
2. Systems are in place to ensure regular collection of information in each technical sector and identify whether the indicators for each Sphere standard are being met.
3. Women, men and children from all affected groups are regularly consulted and involved in monitoring.
4. Systems are in place enabling a flow of information between the programme, other sectors, the affected groups, the relevant local authorities, donors and other actors as needed.

Key evaluation indicators

1. The programme is evaluated against stated objectives and agreed minimum standards to measure overall appropriateness, efficiency, coverage, coherence and impact on the affected population.
2. Evaluations take account of views and opinions of affected population, and host community if different.
3. The collection of information for evaluations is independent and impartial.
4. The results of each evaluation are used to improve future practice.

Source: Adapted from: Sphere (2011), Sphere Handbook, Chapter 1. *Standards Common to all sectors*, pp.37-39

3.1.5 Minimise error and bias in M&E

Key to ensuring reliable M&E data is the minimizing of error and bias. The latter occurs when a researcher's opinion influences data collection or when disproportionate weight is placed on some aspects of the research. This can undermine the accuracy and precision of research, and can be minimized by the appropriate use of specific tools and approaches, including:

- **Representative sampling and selection** – Selection bias should be avoided in selection criteria by ensuring that the people, places, and time periods selected for data collection are representative of the project population, location and context. Repeat studies of the most successful and/or convenient sites or populations to reach should be avoided.
- **Neutral/objective questions** – Leading questions that push respondents in a particular direction should be avoided in qualitative and quantitative data collection. Questions should be neutral in their phrasing. For example, asking "what benefits has this project brought to you and your family?" pushes the respondent to reply to the affirmative. Using a more neutral question, such as, "what changes have you seen as a result of the project?" gives the respondent the option of providing positive or negative feedback. The enumerator then has the option of probing further to understand the reasons feedback provided.
- **Effective data management** – More common with quantitative data, poor data management such as through miscoding or incorrect data entry should be minimized by ensuring data collectors, those undertaking data entry and data analysis are appropriately trained. A random selection of data forms collected should also be checked against data entered.
- **Effective data analysis** – Bias resulting from poor analysis and correlation of data, particularly quantitative data, can happen in instances of analysis of excessively small sample sizes or ones not representative of the population. Interpretation of quantitative data on assumptions that are not tested can also result in error or bias. Where the reasons are not understood for data results differing to those expected, further qualitative research undertaken can probe into reasons.
- **Use of control groups** – The use of "control groups" not affected or assisted to compare to those populations affected by crisis and assisted can give a sense of progress. However, this is not agreeable with ethical considerations of a humanitarian situation and organisation in terms of non-provision of assistance where it might be required, as well as availability and interest amongst those not assisted. (See as well *Toolkit 11*)
- **Triangulation of data and sources** – Checking data collected against similar data collected by other sources in-country and globally can also test for error. For example, data collected by ACF on nutrition or crop production in a particular locality can be cross-checked against that collected by other NGOs, by the UN or by Government statistical services in that country to highlight if there are any differences that need to be followed up. Similarly, data can be cross-checked against international food security and livelihood databases (see Box 3.4: Global Food Security and Livelihood Data Sources).

Box 3.3: Nutrition data sources

The following sources can be used to triangulate nutrition data in-country and globally:

- Demographic Health Surveys,
- Multi Indicator Cluster Surveys,
- Other national health and nutrition surveys,
- National nutrition surveillance systems.
- WHO Nutrition Landscape Information System,
- WHO Vitamin and Mineral Nutrition Information System,
- Complex Emergency Database (CE-DAT),
- Nutrition in Crisis Information System (NICS),
- Unicef Standing Committee for Nutrition Database (SCN)

Box 3.4: Global food security and livelihood data sources

The following sources can be used to triangulate food security and livelihood data:

- Famine Early Warning System Network (FEWS NET - http://www.fews.net)
- Global Information and Early Warning System (GIEWS http://www.fao.org/giews/english/index.htm) Other key publications by FAO include: Food Outlook, Crop Prospects and Food Situation.
- Crop and Food Security Assessment Missions (CFSAMs)
- The Livelihoods Resource Centre (LRC - http://www.livelihoodsrc.dfid.gov.uk/)
- The International Food Policy and Research Institute (http://mobile.ifpri.org/)
- National Government / Ministry databases; most times with the National Ministry of Agriculture.

- **Appropriate methods and indicators** should be used to ensure appropriate analysis. For example, to assess food security a number of different methods can be used, such as calculating the change in the number of livelihood assets owned or accessed by the households, one of ACF's core indicators.
- **The accuracy of data can be tested by repeating data collection over a period of time, over a geographic area and a population to show trends and ensure it is representative.**
- **Lessons learned** from data can be captured in a Lesson Learned Log (see *Toolkit 18*).

3.2 Step 2: Monitor the Application of Codes & Standards

Step 2: Monitor the application of codes & standards
Objective of step: To make sure the relevant codes and standards are appropriately being applied and adhered to.
Timing: During project design, proposal writing and implementation
Activities: • Ensure there is clarity on which mandatory codes and standards are being adhered to by the project • Ensure there is clarity on which optional codes and standards are being adhered to by the project

As well as adhering to best practices in M&E in line with relevant codes and standards, **M&E activities can also be used to monitor and evaluate a project's adherence to sector codes and quality standards**. A project is likely to have to adhere to certain mandatory codes and standards, such as the ACF Charter. **Adherence to these needs to be built into the M&E system.**

Adherence to government regulations and laws, and sector-specific requirements can also be built into an M&E system. This can be done by including them in agreements and contracts (e.g. Memoranda of Understanding), building them into logframes and M&E plans as specific indicators whose progress can be monitored or evaluated against.

3.3 Step 3: Assess which Cross-cutting Issues to Build into the M&E System

Step 3: Assess which cross-cutting issues to build into the M&E system
Objective of step: This steps focuses on making sure all cross-cutting issues are recognized, taken into consideration and built into the M&E system.
Timing: During project design and proposal writing
Activities: 3.1 Ensure access by most vulnerable or marginalized groups is monitored 3.2 Ensure gender issues are monitored 3.3 Ensure consideration of HIV/AIDS is monitored where appropriate 3.4 Ensure consideration of the environment, climate change issues and Disaster Risk Management (DRM) are monitored where appropriate

Any M&E system should factor in all cross-cutting issues included in programming, including representation of all groups (with a particular focus on the most vulnerable or marginalized groups), issues of gender, HIV/AIDS and the environment.

3.3.1 Ensure access by most vulnerable or marginalized groups is monitored

The collection, analysis, and reporting of data should include a breakdown of the most vulnerable socio-demographic groups of the population (by gender; by age, such as children under five, 5–14 year-olds, those aged 60 and over; pregnant and lactating women; and any other distinctive or marginalized groups e.g. Internally Displaced People, specific ethnic groups, disabled people or Orphans and other Vulnerable Children -OVCs). This M&E focus on marginalized groups will help highlight whether their needs are being addressed and inform project decision-making.

3.3.2 Ensure gender issues are monitored

All data collected, analyzed and reported on should be broken down by sex to look at and address the impact of any unequal power distribution between men and women. Women may, for example, have less access to or control over resources for themselves and their children, which should be monitored and addressed by the project. Services focusing solely on women may similarly result in negative consequences for men missing out, which again should be monitored and addressed. Activities focusing solely on women, such as livelihoods opportunities, may result in a backlash towards them by men folk if they feel their role in the home or society is being undermined; something that can ultimately have negative consequences for the target female group. Consideration on how to address such issues by sector (e.g. FSL) is detailed in the IASC Gender Handbook. Given such instances, it is important that sex-disaggregated data be collected so that any gender-related issues can be addressed.

Gender-sensitive indicators can be used to point out gender-related changes over time, reflecting on the status and roles of women and men over time, and so assessing gender equity.

Box 3.5: Sample gender sensitive indicators

The following gender-sensitive indicators could be considered:

1. **Indicators of participation** such as:
- Number of local women's and men's groups established
- Membership of groups by sex, and rate of growth or drop-out of membership by sex
- Number of women and men in key decision-making positions
- Socio-economic, age and ethnic make-up of women and men attending meetings
- Level of input by women and men in project planning, implementation and M&E activities
- Number of women and men participating in training

2. **Indicators of access**:
- Input access and take-up rates by sex (e.g. % of those taking up livelihoods opportunities that are female/male)

3. **Indicators of Knowledge, Attitude and Practice**:
- Number of women/men indicating increased knowledge or changed attitude or practice

4. **Indicators of benefit**:
- Benefits going to women/men by socio-economic class, ethnicity and age (e.g. greater crop yields)
- Uses made of community benefits, by sex, class, ethnicity and age
- Average household expenditure of female/male headed households
- % of available credit, financial and technical support services going to women/men

Source: CIDA (1996), *Guide to Gender-Sensitive Indicators*

3.3.3 Ensure consideration of HIV/AIDS is monitored where appropriate

A further group for which socio-demographic data can be disaggregated is People Living with HIV/AIDS (PLWHAs). For example, in the distribution of food assistance, livelihoods or income generation support activities, PLWHAs might be a specific target group. Here data should be collected to highlight whether sufficient support is being provided to cater for the needs of this group and to ensure that this group is not discriminated against (see pages 44-56 of the IASC Guidelines for HIV/AIDS Interventions in Emergency Settings). Consideration of groups marginalized on several fronts, such as HIV and gender, should also be given in programming through considering relevant frameworks, like WHO and UNAIDS Inter Agency Task Team guides (see bibliography).

3.3.4 Ensure consideration of the environment, climate change issues and Disaster Risk Management (DRM) are monitored where appropriate

For activities relating to natural resource management, DRM and climate change adaptation, thematic indicators are provided in the indicator framework of this manual (see *Toolkit 3*). Consideration should be given to collecting, analyzing and reporting on data that reflects the extent to which climate change issues are being addressed, as mapped out in ACF's Disaster Risk Management and Climate Change Guidelines and Policy, and the Hyogo Framework. This could include instances such as collecting data on activities that improve utilization of scarce resources (e.g. fuel efficient stoves to reduce firewood consumption), activities that promote Disaster Risk Management (e.g.

reforestation) and that optimize land-use (e.g. planting and cultivation practices).

Similarly, data on how vulnerable or resilient communities are to disasters can be collected in line with the framework outlined by John Twigg (see bibliography) to assess the effectiveness of DRM activities.

Summary of Chapter 3

Chapter Summary

1. **M&E ethics and standards refer to a series of considerations in obtaining and handling information from and about project stakeholders**, particularly beneficiaries, which are outlined in a number of sector standards. These considerations include: Informed consent; Anonymity / confidentiality; Systematic Inquiry; Competence; Integrity; Respect and cultural sensitivity; Right to privacy; Responsibility for outputs; Accountability; Omissions; and, Balancing values and cultural norms. These should all be taken into account when structuring M&E research. It is particularly important to uphold the principle of "do no harm" in M&E as well as wider project activities.

2. **It important to adhere to M&E ethics and standards to ensure the quality, reliability and therefore credibility of M&E findings**. Decision-making based on M&E data can be compromised if ethical considerations have not been taken into account. In particular, the welfare of those involved in and affected by M&E should be safeguarded.

3. **Key sector standards that should be used to shape project M&E include** the ACF Charter, The Sphere Project Handbook, The Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief and theme-specific ACF standards in M&E including ACF's Evaluation Policy and Guideline. Requirements of these should be built into the design of M&E.

4. **An M&E system should factor in all cross-cutting issues included in programming, including representation of all groups** (with a particular focus on the most vulnerable or marginalized groups), **issues of gender, HIV/AIDS and the environment**. Data on these should be collected through the M&E system to ensure access by most vulnerable groups is monitored so that they are not marginalised, and to ensure that issues pertinent to local communities such as sustaining their environment, are addressed.

ANNEXES

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Annex 1: How to Undertake a Trend or PESSTLE Analysis

What is a trend analysis?

A trend is the general direction towards which movement is made. A trend analysis is about assessing the external operating environment in which an organisation is working, how that environment is changing and what the implications on the organisation will be.

Key areas in which to undertake a trend analysis are summarised as a PESSTLE[1] analysis and include:

- **Politics** – What are the major changes happening in the field of politics that could impact the project (e.g. elections, Government policy or requirements of humanitarian organisations).
- **Economics** – What are the major economic changes happening that could impact the project (e.g. changing prices).
- **Social** – What are the major social changes happening that could impact a project (e.g. changing demographics, tension between social groups).
- **Security** – What are the major security changes happening that could impact a project (e.g. security threats limiting access to a project site).
- **Technology** – What are the major technology changes happening that could impact a project (e.g. increasing use of SMS messaging for communication with beneficiaries).
- **Legislative** – What are the major legislative changes happening that could impact a project (e.g. legal position of NGOs in-country).
- **Environment** – What are the major environmental changes happening that could impact a project (e.g. effects of climate change).

Beyond looking at the above, you can also undertake a trend analysis to consider the following:

- **Internal trends** – What are the major internal changes happening in a project or within ACF that might impact a project (e.g. changes in structure or increasing focus on certain areas of work).
- **Competitor/Comparator/Sector trends** – What are the major changes happening in projects undertaken by other organisations similar to that being carried out by ACF in the area (e.g. change of cash transfer modality from paper voucher to smart cards).

How can a trend analysis be facilitated?

To facilitate a trend analysis it is best to get as diverse a group as possible (including decision-makers and technical experts) to brainstorm what the key trends shaping a project's operating environment are. [2]

[1] PESSTLE = Politics, Economics, Social, Security, Technology, Legislative, Environmental

[2] The following sources can provide some useful insight into trends for the project: HPG, Feinstein Centre, IRIN, ALNAP - For example, ALNAP's "State of The Humanitarian System", Human Development Reports, OECD DAC reports, EIU

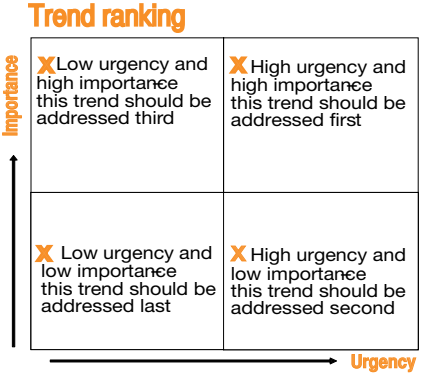
How can a trend analysis feed into operational planning?

Step 1: A SWOT[3] Analysis can be undertaken against each trend identified in the PESSTLE analysis to assess the extent to which an organisation is able to deal with the trend and therefore what, if any, subsequent action is required. For example, each political trend identified should be ranked as a Strength, Weakness, Opportunity, Threat or Neutral:

- **Strength** – i.e. that the project/organisation is able to deal with a trend well, no action is required.
- **Weakness** – i.e. that the project/organisation is not well placed to deal with this, and therefore mitigating actions may be required to avoid this trend potentially turning into a threat for the organization.
- **Opportunity** – i.e. that this trend presents an opportunity for the project/organisation. Action should be taken to take advantage of this opportunity.
- **Threat** – i.e. that this trend presents a threat to the project/organisation. Action should be taken to mitigate the threat before it damages the project/organization.
- **Neutral** – i.e. that this trend presents no implications for the project/organisation and therefore no action is required; consider potentially ongoing monitoring in case the issue becomes an opportunity or threat.

Step 2: Agreeing actions required. Once trends have been classified as Strengths, Weaknesses, Opportunities, Threats or Neutral, actions that should be taken need to be agreed upon for those trends classified as Weaknesses, Opportunities or Threats.

Step 3: Prioritising action required. Those trends classified as Weaknesses, Opportunities or Threats should be prioritised to ensure those which are the most urgent/important are addressed first. Trends should be ranked in order of importance/urgency. That can either be done as a prioritised list highlighting which actions should be dealt with first and potentially require more resources to do so, or they can be plotted on an urgency/importance grid as demonstrated in the diagram.



Step 4: Agreeing resourcing. For each action, resources to achieve that action should also be discussed as an approximate (i.e. approximate rounded numbers in terms of budget, people and other resources). Responsibility for carrying out these actions should be allocated.

Note: All these trends will be relevant for the whole project, although some may be specific to parts of it. As such, prioritised actions should shape the project's overall plan.

What should be the outputs of a trend analysis?

The output of a trend analysis should be a list of trends against each area of PESSTLE, which have been categorised as Strengths/Weaknesses/Opportunities/Threats/Neutral, actions against those classed as Weaknesses/Opportunities/Threats are each given a prioritisation ranking. The table below shows an example of how this can be done.

To ensure there is no duplication of trends and to condense the list, once the full list has been agreed upon it should be reviewed and clustered – i.e. those trends which are very similar should be grouped into one overall trend.

PESTLE analysis	Trends	SWOT(N) categorisation	Action required	Prioritisation
Politics	• Trend A • Trend B etc	•S •W etc		
Economics	• Trend A • Trend B etc			
Security	• Trend A • Trend B etc			
Social	• Trend A • Trend B etc			
Technological	• Trend A • Trend B etc			
Legislative	• Trend A • Trend B etc			
Environmental	• Trend A • Trend B etc			
(Sector-specific)	• Trend A • Trend B etc			
(Internal)	• Trend A • Trend B etc			

Annex 2: Types of Monitoring

There are different types of monitoring, including the following in order of importance for projects:

- **Results / progress monitoring** – Assesses the effect and change brought about by the project, in terms of the three levels of results (Outputs, Outcomes and Impact – see *Annex 1*). To follow up on these results, a baseline against which to establish progress should be in place (e.g. comparing Pre-Harvest and Post-Harvest monitoring results). Progress against outputs and outcomes can be gauged through monitoring, while impact (both intended and unintended, positive and negative) is usually assessed through evaluations. Assessing the extent of progress against each level of results allows for adjustments to be made where required. For example, monitoring lower level results such as outputs, allows project managers to assess whether these are contributing towards higher level results (outcomes and impact), and if not, what alteration in inputs and activities can be applied to correct this.
- **Process or activity monitoring** – Assesses if resources or inputs (e.g. funds, goods in kind, human resources) are being used at the planned rate, and activities are happening in line with activity plans to delivery outputs. This is particularly important for managers in terms of determining resource allocation.
- **Financial monitoring** – Looks at whether income raised and expenditure spent are in line with project plans, as well as assessing actual cost for inputs and activities against those in the budget. This is done through budget follow up in liaison with the Finance and Admin team.
- **Beneficiary monitoring** – Assesses beneficiary perception of and satisfaction with a project. The Feedback or Complaints Mechanisms (see *Annex 17*) can help track perceptions of the beneficiaries. As the key stakeholders in an intervention, this allows them to participate in the project and provide feedback which is crucial to a project's success. Gathering indirect beneficiaries' and non–beneficiaries' feedback can also gauge success of a project.
- **Context monitoring** – Assesses any changes in the context in which the project is being carried out. Changes in context may affect assumptions and risks held by the project. Surveillance of the FSL context is a particular type of context monitoring. Context monitoring is about the wider operating context of a project including the funding, political, security and legislative context that can affect project implementation or the ability of the target population to respond to it. Changes in context may require a revision of project assumptions or risks, and potentially even planned results.
- **Market monitoring** – This assesses changes in markets, such as availability and price of goods. This helps determine whether the markets are able to provide the goods and services required by a population or whether the population is able to access these with the support of an ACF intervention. Market monitoring allows for assessment on whether an intervention is required where a market is not meeting needs, or whether an existing intervention is having the desired effect on markets. This is a key part of surveillance and project monitoring, e.g. cash transfers.
- **Compliance monitoring** – Assesses the extent to which a project is in compliance with ACF's mandate and ACF codes (e.g. ACF International Charter), agreements and contracts (e.g. donor requirements and Memoranda of Understanding), key sector standards (e.g. Sphere), sector codes (e.g. Red Cross and NGO Code of Conduct, and People in Aid), Government regulations and laws and ethical standards. Indicators against these requirements can form part of a logframe.
- **Risk or assumption monitoring** – Assesses whether there is any change in assumptions made about the project and risks to it. Assumptions are about the external operating environment; this is linked to context monitoring. Whereas risks are when assumptions about the external operating environment do not hold; they can also be internal. Indicators to track change in risks or assumptions can be used.

- **Capacity monitoring** – Assesses the sustainability of capacity built through the project, this can either be in households, communities or organizations, and is often as part of wider programme or organizational monitoring.

Annex 3: Types of Feedback/Complaint Mechanisms

Feedback/complaint mechanisms will vary depending on the project type and what is appropriate for the context. There are different options for how feedback is sought, with some examples listed below. Typically a combination of the below mechanisms is the best approach, as mixed methods typically have a higher likelihood of success.

Community feedback/complaint mechanisms

- **Feedback (comment) box** – Community and other stakeholders (e.g. volunteers) can submit written feedback or complaints through this. This can be a sealed box located in a community center or at a branch office, which should be checked regularly. This method is limited in confidentiality, (even if people do not record their names with the feedback, they can be identified when submitting them), and would be inappropriate if local literacy levels are very low.
- **Regular community meetings** – In instances where it is culturally acceptable to discuss feedback/complaints publically, this is a good forum for community feedback, but may be less appropriate for sensitive issues.
- **Designated "feedback days" for the local office to receive feedback** – These are fixed days for which stakeholders are informed and the local project office prepared to receive "walk-in" feedback. It is important to properly prepare. A sign-up sheet for appointments may be advisable if there is a risk of crowds gathering at the office.
- **Information booths** – These can be open regularly in project implementation areas that may not have access to the local office, making project representation more accessible and encouraging information sharing and feedback.
- **Monitoring visits focused on stakeholder feedback** – Field visits can be a valuable opportunity to get stakeholder feedback firsthand. Typically, this is best done through direct dialogue with stakeholders. Stakeholder inclusion during the visit, either within their own communities or to other communities, can encourage feedback to be expressed more readily, but care should be given that other stakeholders do not feel inhibited providing feedback with the presence of their peers.
- **Focus group discussions** – These can be a useful method to elicit feedback during monitoring visits or self-assessment exercises.
- **Online feedback** – Internet access and literacy levels would be a limiting factor, but this is particularly useful for feedback from stakeholders such as staff and partner organizations, and it can readily be shared with other stakeholders, such as country or international headquarters.
- **Posted mail or phone feedback** – Access can again be a limiting factor, as can associated costs, including postage or establishing a designated phone line with trained people to answer calls and record feedback. The costs of a "designated" line can be reduced by using an existing phone line, but designating set hours for receiving feedback calls, (similar to the open-office "feedback days" discussed above).
- **A combination of the above mechanisms** – As with many things, mixed methods have a higher likelihood of success. Using multiple feedback channels allows the project to draw on the benefits of each.

Staff feedback/complaint mechanisms

- **Regular project team meetings** – Staff team meetings can allow issues to be identified and directly addressed in an open and transparent manner. For more sensitive issues, individual

meetings between project team members and their supervisor or a senior manager might be more appropriate.

- **Direct access to senior managers** – An "open-door" policy where stakeholders feel they can approach and discuss concerns with senior management is a good practice, especially within the project team itself. This can especially be useful for sensitive complaints that stakeholders feel uncomfortable sharing in a more public forum. However, with large numbers, this can be a strain on time and human resources. Letting stakeholders know how they can set up appointments with senior management can assist this process.
- **After action reviews** – This can be a very powerful tool for getting feedback and building a common understanding and approach. Four key questions should be reviewed by the project team when undertaking an AAR:

  1. What was planned?
  2. What actually happened?
  3. What went well?
  4. What could have been better?

- **Self-assessment** – This exercise involves key stakeholders and can be done through periodic reviews or a mid-term evaluation.
- **Individual feedback by email/phone/post** – As with community feedback mechanisms, these channels can also be used for staff feedback.

Feedback/Complaint Form

Feedback/Complaint Form
1. DETAILS OF PERSON PROVIDING FEEDBACK OR LODGING COMPLAINT - *to be filled in by the person providing* feedback
Name: **Address:** **Other information:**
2. FEEDBACK/COMPLAINT - *to be filled in by the person providing feedback*
Type of Feedback: (*Project staff to include list of categories of feedback agreed based on the issue, sector, district, user etc*) **Description of feedback/complaint:** **Description of expected outcome / response:**
3. SIGNATURE - *to be signed by person providing feedback*
By signing and submitting this feedback, I accept the procedure by which the feedback will be proc¬essed and dealt with. I have been informed of the terms for appeal. **Date:** **Signature:**
4. RESPONSE- *to be filled by staff*
Response / remedy to the feedback: **Response / remedy was: (Delete as appropriate) Accepted / Not accepted / Not appealed / Appealed to:** _____ **Date:** **Staff name:** **Signature:**
5. RECEIPT - *to be filled by staff and cut off and given to person providing feedback*
Feedback number: (Unique, number): **Expected date of response:** **Place to receive response:** **Staff Signature:** **Date:**

Annex 4: Data Collection Method Types and Sources

The following summarizes key data collection methods and tools used in monitoring and evaluation (M&E) in alphabetical order. This list is not exhaustive, as tools and techniques are emerging and evolving in the M&E field. For each, some key sources are included for further information.

Method	Overview and Methodology	When to use Method
After-Action Review	A facilitated discussion that focuses on four questions: • **What was planned?** • **What actually happened?** • **What went well?** • **What could have been better?**	For internal reflection, review and lesson learning following a specific activity, an event or a project.
Case Study	A detailed descriptive narrative of individuals, communities, events, programmes, time periods, or a story (discussed below). They are particularly useful in evaluating complex situations and exploring qualitative impact. A case study only helps to illustrate data and find commonalities; only when combined (triangulated) with other case studies or methods can one extrapolate key principles. To write a case study of a project, consider the following questions: What type of project is it? What does it aim to achieve? How will it achieve this aim? What will the final output be? How many people are being assisted, and what proportion of the total catchment area is this? Why was this community selected?	Useful through-out a project to document examples of project achievements. Useful to exemplify specific activities or effects on individual households, particularly for inclusion in internal or donor reports or for communications / media messaging.
Case Study (contd)	**What is the impact on beneficiaries and how was it achieved?** When profiling an individual beneficiary consider: Personal details (e.g. Name, age, family size, who is head of HH, family circumstances, current income, current sources of income and coping strategies); Context of the person›s life: What major changes have happened in their life in the past 5 months? What assistance is the beneficiary receiving? Why? How does the beneficiary feel he/she is benefiting? What difference is this assistance making to the beneficiary? What hopes does he/she have for the future?	Useful through-out a project to document examples of project achievements. Useful to exemplify specific activities or effects on individual households, particularly for inclusion in internal or donor reports or for communications / media messaging.

Checklist	A list of items used for validating or inspecting that procedures/steps have been followed, or the presence of examined behaviors. Checklists allow for systematic review that can be useful in setting benchmark standards and establishing periodic measures of improvement.	Useful reminders for project teams that have multiple priorities.
Community Book	A community maintained document of a project belonging to a community. It can include written records, pictures, drawings, songs or whatever community members feel is appropriate. Where communities have low literacy rates, a memory team is identified whose responsibility it is to relate the written record to the rest of the community in keeping with their oral traditions.	Useful where high levels of illiteracy to help communities monitor and document change.
Community Interviews / Meetings	A form of public meeting open to all community members. Interaction is between the participants and the interviewer, who presides over the meeting and asks questions following a prepared interview guide.	Useful to provide information to communities for project kick-off, monitoring and verbal reporting back.
Desk / Document / Literature review	A review of documents (secondary data) can provide a cost effective and timely baseline or other information and a historical perspective of the project. This is a key first step in any data collection process. It includes written documentation, (i.e. project records and reports, administrative databases, training materials, correspondence, legislation, and policy documents), as well as videos, electronic data or photos. However, it can be difficult to assess the reliability and validity of some sources.	Research before a project starts and as part of an evaluation.
Ethnographic interviewing	In-depth interviewing of a limited number of individuals to provide a good picture of how a particular event has affected them. Helps to put human detail into a larger picture.	In depth research into the impact of an event.
Focus group discussion	Focused discussion with a small group (usually 8 to 12 people) of participants to record attitudes, perceptions, and beliefs pertinent to the issues being examined. A moderator introduces the topic and uses a prepared interview guide to lead the discussion and elicit discussions, opinions, and reactions. A low-cost and efficient means of collecting beneficiary views in a quicker but less rigorous way than a formal survey.	To explore issues in more detail as part of research on why certain things are happening or understand change.

Interviews	An open-ended (semi-structured) interview is a technique for questioning that allows the interviewer to probe and pursue topics of interest in depth (rather than just "yes/no" questions). A closed-ended (structured) interview systematically follows carefully organized questions (prepared in advance in an interviewer's guide) that only allow a limited range of answers, such as "yes/no," or expressed by a rating/number on a scale. Replies can easily be numerically coded for statistical analysis.	Tend to be used as part of a quantitative survey with individuals or households.
Key informant interviews	An interview with a person having special information about a particular topic. These interviews are generally conducted in an open-ended or semi-structured fashion.	When seeking specific information (e.g. from experts).
Laboratory testing	Precise measurement of specific objective phenomenon, for example, for iron content, seed, food or water quality testing.	Resource quality-checks or medical checks.
Mini-survey	Data collected from interviews with 25 to 50 individuals, usually selected using non-probability sampling techniques. Structured questionnaires with a limited number of closed-ended questions are used to generate quantitative data that can be collected and analyzed quickly.	Seeks information on specific issues using a small sample.
Most Significant Change (MSC)	A participatory monitoring technique based on stories about important or significant changes, rather than indicators. They give a rich picture of the impact of development work and provide the basis for dialogue over key objectives and the value of development programs.	To get a detailed qualitative overview of change faced by individuals/households over time.
Observation	A record of what observers see and hear at a specified site, using a detailed observation form. Observation may be of physical surroundings, activities, or processes. It is a good technique for collecting data on behavior patterns and physical conditions. It is a very useful method, especially for triangulating the information from other sources. It can also be used as a primary data collection method (e.g. observing food distributions) but needs to be combined with other data collection methods (such as interviews) to ensure the observations are not misinterpreted.	Useful for project monitoring by staff or donors.
On-line survey	Limited to those with internet access. Allows quick and cheap surveys that can be used to identify issues for further analysis, e.g. through www.surveymonkey.com	Where target populations have internet access.

Participant observation	A technique first used by anthropologists; it requires the researcher to spend considerable time with the group being studied (days) and to interact with them as a participant in their community. This method gathers insights that might otherwise be overlooked, but is time-consuming.	For in-depth anthropological research.
Participatory Project Review	A form of participatory self evaluation which can be tailored to different timeframes and contexts according to need. It combines participatory methodologies, drawing from Empowerment Evaluation, and Most Significant Change. Source: Fetterman, D. M. (2001). Foundations of Empowerment Evaluation. Sage Publications. Thousand Oaks, London, New Delhi. http://evaluation.blogspot.com/ and http://wwwstatic.kern.org/gems/region4/DavidFettermanPresentation.pdf	Similar to AAR can be used for internal review, but includes beneficiaries.
Participatory rapid (or rural) appraisal (PRA)	This uses community engagement techniques to understand community views on a particular issue. They enable those from outside the community to capture knowledge that is held by the community. PRA tools can be thought of as helping communities to overtly analyse issues and to translate their analysis into a format that those outside the community can understand. They are usually done quickly and intensively – over a 2 to 3-week period. Examples of PRA techniques include (see *Annex 33* - Establishing a Community-Based Monitoring System Guidance Note and *Annexes 40-51*): • **Calendars (seasonal, 24 hour, multi-annual) and other calendars** • **Proportional piling** • **Ranking (pair-wise, wealth, seeds, coping strategies, etc)** • **Transect walk** • **Mapping (wealth, hazard, mobility, social, resource, risk, network, influence, relationship etc)** • **Venn diagrams** • **Time lines/histories** • **Stakeholder analysis**	Useful throughout the project at assessment, planning, monitoring and evaluation phases to get more in-depth information about a community.
Questionnaire	A data collection instrument containing a set of questions organized in a systematic way, as well as a set of instructions to the enumerator/interviewer about how to ask the questions (typically used in a survey).	Useful at assessment, monitoring and evaluation phases.

Rapid appraisal (or assessment)	A quick cost-effective technique to gather data systematically for decision-making, using qualitative and quantitative methods, such as site visits, observations, and sample surveys. This technique shares many of the characteristics of participatory appraisal (such as triangulation and multi-disciplinary teams) and recognizes that indigenous knowledge is a critical consideration for decision-making.	For quick assessments.
Seasonal calendar	A graphical presentation of the months in which food and cash crop production and key food and income acquisition strategies take place, also showing key seasonal periods such as the rains, periods of peak illness and the lean season. Source: The Practitioners' Guide to the Household Economy Approach; Regional Hunger and Vulnerability Programme (RHVP), Save the Children UK (SC UK) and the Food Economy Group (F.E.G.). http://www.docstoc.com/docs/3466254/THE-PRACTITIONERS-GUIDE-TO-THE-HOUSEHOLD-ECONOMY-APPROACH-The-Food	At planning stage when planning activities for the year.
Statistical data review	A review of population censuses, research studies, and other sources of statistical data.	At planning, monitoring and evaluation phases.
Story-telling/ collection	Obtaining participants experiences of change by collating their observations of an event or a series of events. A success story illustrates a project's impact by detailing an individual's positive experiences in his or her own words. A learning story focuses on the lessons learned through an individual's positive and negative experiences (if any) with a project. The Most Significant Change technique is an example of this method.	For monitoring and evaluation. Can also be helpful in setting qualitative baselines.
Survey	Systematic collection of information from a defined population, usually by means of interviews or questionnaires administered to a sample of units in the population (e.g., person, beneficiaries, adults, etc.). An enumerated survey is administered by someone trained (an enumerator) to record responses from respondents. A self-administered survey is a written survey completed by the respondent, either in a group setting or in a separate location. Respondents must be literate.	Useful at assessment, and monitoring and evaluation phases.

Visual techniques	These include maps (e.g. zoning maps), diagrams, calendars, timelines, and other visual displays to examine the study topics. Participants can be prompted to construct visual responses to questions posed by the interviewers, for example, by constructing a map of their local area. This technique is especially effective as a participatory technique where verbal methods can be problematic due to low literacy or mixed language populations or in situations where the desired information is not easily expressed in either words or numbers.	At assessment, planning, monitoring and evaluation phases.
Zoning	The mapping of differences in geography, agro-ecology and types of livelihoods present in the area to be surveyed, to facilitate analysis of FSL-related challenges that may occur in an at-risk area as well as consider response options.	At assessment and planning phases.

Adapted from: Buchanan-Smith, M. & Cosgrave, J. (2010) *Evaluation of Humanitarian Action*, ALNAP

Annex 5: Individual Interview Guidance Note

What is an individual interview?

An individual interview is an interview with one person, e.g. beneficiary.

When to conduct an individual interview?

Individual interviews can be used during assessments or surveys.

How to conduct an individual interview?

An individual interview can mean a ten-minute conversation during an informal visit or a longer and more structured discussion, using a series of questions on a particular topic. Whatever the case, focus on essential information and build the interview around current concerns, for example, profiling and needs assessment, tracking changes, or seeking feedback.

Aim to interview people at times that are safe and convenient for both staff and interviewees, e.g. during lunch time, market days etc. The time your interviewee has available should determine how long your interview lasts.

Make sure that people understand why you wish to talk to them and what you will do with the information they share.

Never use people's names when using information without their permission or that of their guardian.

Start with questions that are factual and relatively straightforward to answer. Move on to more sensitive issues, if necessary, only when the person you are interviewing is more at ease.

Make sure people know that you value their time and participation. Don't end the interview too abruptly. Take responsibility for the effect on your interviewee if sensitive issues are discussed.

Record, store, and use information safely.

Tips for Interviews

- Locate elders/leaders before undertaking any interviews, explain who you are and what you are doing, and ask their permission to interview.
- Ask individuals' permission to interview them and thank them afterwards.
- Where possible, prioritize discussions with women and children, and other people likely to be marginalized or experiencing particular difficulties.
- Try and interview at least three families in each location in order to cross-check the information received.
- Ensure that people at the edge of a camp or site where the poorest families might be living, are included.
- Avoid large crowds following around if possible, since this is likely to intimidate (potential) respondents.
- Where required, ensure a good translator.

Annex 6: Household Interview Guidance Note

Duration

Approx. 1 hour for each interview

Materials

Notepads and pens.

Purpose

Involving one or more members of the household, it is a way of understanding the functioning of the household. It gives physical insights of surroundings linked to answers of questions asked.

When to use

Useful for monitoring surveys (e.g. Baseline and Endline surveys, etc.).

Process

Step 1: Introduce yourself clearly and present objectives of the interview, without raising hopes of something coming as a consequence of the interview. Answer questions that household might ask. Ask to ensure that time and location are suitable.

Step 2: If the man is with the woman and he is dominating, clarify in a subtle tone that the perspectives of the woman on certain issues are crucial. Alternatively, choose to address certain issues individually at the end of the interview. Always ensure equal participation between the man and woman and different classes within the household. Remember that intra-household participation can also be challenging.

Tips for the interviewer

When entering the home, be happy to meet the people, but do not appear inquisitive, else you will be viewed suspicious. Always allow a prelude of ordinary discussions (greetings, news, and so forth) before going into the interview. Depending on the objective of the interview, it is important to focus observation on powerless family members (the physical appearance of children and women), environment (food storage, house condition, and so forth).

Annex 7: Focus Group Discussion Guidance Note

Duration

1 to 2 hours

Materials

Prepare in advance the questions you want to ask, ensure the discussion is open. Papers, notepads, markers and pens, or consider sticks and stones when pens and papers are not suitable. Ensure beans or stones for proportional piling or when ranking exercises are available.

Purpose

A fairly small discussion group (6 to 10 people) led by a facilitator to provide a better understanding and description of several local perspectives in a community or local organization. It can be single or mixed gender but single is recommended if you want women, in particular to speak openly. The same is true for different social classes such as age, caste, religious, wealth and ethnic groups. Do not raise hopes of receiving assistance as a consequence of an interview. It can be useful to ascertain:

- Locally defined priorities.
- Resource awareness and environmental interests.
- Gender perspectives.

Objectives

- Cover maximum range of relevant topics of the context, or less topics but in detail.
- Gather concrete and detailed accounts of participants' experiences.
- Explore participants' feelings and opinions in depth.

When to use

Useful in setting up community M&E systems, assessing changes over time and reviewing findings.

Process

Step 1: Define key issues you want to discuss and develop open-ended questions for an unstructured discussion around those issues.

Step 2: Often, it is good that each participant makes an individual, uninterrupted statement of introduction in the beginning.

Some tips for the facilitator

- Introduce the initial topic followed by unstructured discussion.
- Introduce second topic based mainly on points that have already been raised.
- Allow discussion to come to an end on its own with a subtle intervention to direct it to the point if necessary.
- Ensure that everyone is participating and avoid closed questions.
- Hold off comments that do not quite fit but reintroduce them at a logical later point, i.e. "I recall that some of you mentioned something a little different earlier and I wonder how that fits into what we are discussing now".
- End interview with final summary.

The following are examples of organizational questions for a vegetable association. These can be adapted when appropriate.

- What is the purpose of the vegetable association?
- What resources does it have? Who supports it?
- How does the association make decisions?
- How do responsibilities for men and women in the association vary?

Annex 8: Observation Guidance Note

What is observation?

Observation is not a participatory tool as it is done discretely and only by the extension agent. It is only mentioned in this manual to highlight its importance, particularly in contexts where psychosocial situations ranging from stress, depression, trauma and so forth are eminent. It is also a reminder to raise the fact that observation is often helpful if it is planned.

Materials

It is suggested in some cases, to draft a list containing a couple of issues that the team wants to particularly follow and observe.

Purpose

As an additional tool to the direct approach to data collection, it captures sensitive aspects of topics discussed and provides physical accounts to analyze.

Objective

To gather additional and sensitive information without necessarily talking to the affected people.

When to use observation

For on-site monitoring purposes, e.g. on-site distribution, pre-harvest crop assessment, etc.

Process

Try to take a walk and have a look at the surroundings, sometimes discussing sporadically but not taking notes and not making people think that you have a particular purpose in mind. Hold casual discussions.

Personal Observation Example
Personal observation of the physical condition of the local surroundings, condition of crops, livestock, the physical appearance of people and their living conditions, the interactions between people, market dynamics, etc.

Annex 9: After Action Review

What is "After Action Review"?

After Action Reviews (AARs) are often used after an intervention as a simple tool to encourage reflection and learning on how the intervention was carried out, what went well and what less so. They are based on the principle of "no attribution, no retribution" to ensure that the focus of the exercise is on lesson learning rather than a tool highlighting things that went less well.

"After-action reviews are sometimes seen as an alternative to evaluation for organisational lesson learning. However they are also a good tool for humanitarian evaluations as they may identify learning that would not emerge in key informant interviews as staff have not yet had time to reflect on their experience and gain explicit rather than implicit learning from their experience. They also help to emphasize that staff in the field are sources of learning for the evaluators." An AAR conducted at the start of an evaluation can help quickly focus on the key process issues and areas of concern to field staff.

Who should participate?

An AAR is typically a tool to be used internally in an organisation, with the project team participating to reflect on how the intervention went. Bringing in other stakeholders can make the discussion and analysis richer, however, if the project team feels it is no longer a "safe" environment in which to openly reflect, it may be more advisable to stick to the core team. A separate AAR with broader stakeholder can then be held, if necessary.

How is an After Action Review carried out?

An AAR will usually last half to a full day, depending on the size of the intervention to be discussed, its complexity and the number of people involved. Ideally it should be facilitated by someone outside of the project team. It should be held in an environment where participants can sit around in a circle for discussion.

The AAR should focus on answering five simple questions:

1. What was the objective/intent of the intervention?
2. What actually happened?
3. What went well?
4. What could have been better?
5. What would we do differently next time?

To ensure lessons are learned from this exercise, it is important that findings are documented and fed back into future planning. Lessons learned can be documented in the project Lesson Learned Log (see *Toolkit 18*) and an Action Log (see *Toolkit 15*) is a useful way to ensure actions are taken as a result of the reflections.

Annex 10: Types of Evaluations

Evaluations can be divided into a number of different categories. These include:

Evaluation types depending on timing:

- **Mid-term evaluations** – These are formative evaluations to assess performance against plans and whether any external or internal factors changed requiring an alteration in plans. They are undertaken half-way through project implementation to assess whether any changes are required for the remainder of the project's life cycle.
- **End-of-project evaluations** – These are summative, and are undertaken at the end of a project to assess performance against intended objectives. These tend to be externally led to allow for an independent third party analysis.
- **Impact evaluations** – These are conducted some time after project activities cease to assess long-term changes achieved relative to a project's goal and purpose, and the sustainability of the project.

Evaluations by approach/methodology:

- **Project/programme/policy evaluations** – Assesses achievements of individual projects etc. against their objectives, within their given resources.
- **Meta-evaluations** – These are designed to aggregate findings or draw out common findings from a series of evaluations, so that an organization can address these. Meta-evaluations are a key part of ACF's Evaluation Policy and Guideline and are encouraged on a regular basis.
- **Synthesis evaluations** – These pull together findings from a number of evaluations.
- **Real-time evaluations** (RTEs) – These are conducted during a project's implementation to get real-time analysis of progress against higher-level objectives and facilitate immediate recommendations on changes to the project to improve implementation.
- **Thematic evaluations** – Focuses on one thematic area, such as cash or gender, across a number of projects, and look to common findings or trends. A specific type is **cluster evaluations** which focus on thematic clusters.
- **Cost-benefit analysis** – This is an economic tool used to compare the benefits against the costs of a project or activity. It values the economic benefits of a project to demonstrate improvements in human welfare and can supplement other evaluation methods to determine changes in populations.

Evaluation types by stakeholders involved:

- **External evaluations** – These are conducted by evaluators who are not part of the project team and are often independent consultants, to provide an objective assessment of performance. These tend to focus on accountability and evaluators are recruited by tender.
- **Internal or self evaluations** – There are two levels of internal evaluations. One is similar to external evaluations undertaken by staff that are not part of the project. The other is undertaken by staff working on the project. They tend to focus on learning objectives. While cheaper than external evaluations, and helping to build staff ownership of a project, they may be seen as lacking in credibility given conflict of interest.
- **Joint evaluations** – These are undertaken by a number of organizations. They tend to be useful in humanitarian contexts where interagency learning is the rationale or where attribution of impact by different projects is difficult. While costs can be shared, they carry additional costs of coordination.

The majority of evaluations should be highly **participatory** with sizeable input from beneficiaries and other stakeholders. These can get to the heart of whether needs are being met, but are more resource intense, both in terms of time and cost. However, they can result in longer term savings

by virtue of better assessing the extent to which needs are met. Evaluations should thus be as participatory as possible. Where time and money are constrained, or beneficiary access is difficult, evaluations based on staff interviews and cross-checking participatory monitoring data and previous evaluations is an alternative.

Annex 11: Semi-Structured Interviews Guidance Note

Overview

The technique of semi-structured interviews consists of permitting the people to express their point of view while guiding the logic and the subject of discussion without imposing a response (as opposed to 'quantitative' questionnaires where the questions are closed).

Purpose

The semi-structured interview is a method of acquiring knowledge of the context and of specifying the hypotheses concerning the vulnerability of the populations.

Process

It involves organized discussions with a group of people and/or individuals. The subjects of discussion are predetermined and the groups are organized according to the subject to be addressed. For example, themes of food habits, like the coverage of food needs are preferentially addressed to a group of women. The group of women is composed of 5 to 7 people including elderly women and women having small children.

The questions are asked during the interview which appear informal and non-conventional but which should be structured and guided. Using a list or a guide, the team asks open ended questions on the subjects to be addressed. The guide is established according to the objectives of the interview and the context of intervention. For example, the guide below has been prepared for a follow-up interview of food distributions with Liberian refugees residing in the Ivory Coast.

Otherwise, new subjects are addressed little by little during the development of the analysis (the guides are only semi-structured, not strict). The information collected can be either quantitative or qualitative (hypothesis, proposals).

Key Points in using Semi-structured Interviews		
Use the 6 reference points:		
- Who?	- What?	-Why?
- When?	- Where?	-How?
Estimate the response: will it be….		
- A fact?	- An opinion?	- A rumor?
Estimate the responses:		
- Suppose that... - But why?... - Please develop your idea...		
- Is there anything you want to add? ...		

The size of the group of people should not exceed 10 to 15 individuals; often, it is preferable to organize discussions with several groups during a short period (1 to 2 hours) rather than one group composed of numerous individuals, during which the conversations could become long and difficult to maintain on the intended subjects.

The discussions allow the rapid identification of the people having an 'objective' knowledge of one of the addressed subjects or those who are dynamic and involved in the community. These people are qualified as 'resource people.' The pursuit of interviews or the deepening of the subject can

be realized through these people. Even so, in certain contexts, cultural habits or even the political situation are such that only a few people will speak during the interviews. In this case, it is important, where possible, to develop semi-structured interviews with people individually.

The information obtained from group interviews is interesting to compare with that obtained from the heads of families during the family visits. It is especially important at this level to plan discussions whenever possible with the husband as well as the wife.

In certain cases, it can quickly and clearly seem that the discussion drifts off course, and that the interview will produce nothing in relation to the starting objectives. In this case it is preferable to bring it to a rapid close so as to not lose time. This should nevertheless be done in a 'diplomatic' fashion, without leaving the group feeling as though the discussion had been useless.

When to use

For project assessments, as part of monitoring surveys or in follow-up to surveys to further investigate findings.

The art of asking questions

To prevent the introduction of a bias, it is necessary to avoid:

- Closed or directed questions: Instead of 'Do you do business in Manila?' ask 'Where do you do your business?' In this way the response is not limited to yes or no, and a more complete explanation is solicited.
- Implicit presumptions: 'What is your basic food, rice or millet?' If it is neither rice nor millet, the person will probably correct the interviewer in the majority of cases. But out of courtesy some people will respond with one or the two possibilities in error.
- Vague questions: 'Is it difficult to draw water?' If you are referring to the physical difficulty of this activity, your interviewees will perhaps refer to the time used for this chore.
- Unknown units of measure: 'How many liters of water do you use per day?' The liter is not a systematically known unit. It is preferential to identify the local units of measures known and if necessary to later translate them into liters.

Tips on Do's and Don'ts	
Do's	**Don'ts**
• Prepare a list of subjects to address. Write them up as a guide for use during the interview. • Remember that the interview is structured by the team. • Present the team members and clearly explain the objectives. • Relax the conversation – be concise in the questions (one idea per question). • Allow all the team members to ask questions. • Develop the subjects using keys of semi-structured interviews. • Take on a neutral attitude, listen attentively and note what is 'not said'. • Take notes during and after the interview. • Choose the people in such a way as to obtain diverse points of view (cf. map of 'resource people'). • Take the names of the 'resource people'. • Have an open mind and be polite. • Recognize the dynamic of groups and organize 'brainstorming' sessions.	Accept the first response as evidence. Ask closed questions (yes/no responses). Interrupt the 'resource' people. Question a 'resource person' showing hesitation. Question a busy person too long. Show agreement or disagreement with the responses. Ask questions composed of more than one idea. Let it be known to a person that verification is necessary. Ask delicate questions in front of several people. Make value judgments on the conditions of life or the food proposed. Act in a manner inappropriate to the situation (attitude).

Annex 12: Pair-wise Ranking Guidance Note

Duration

About 1 hour

Materials

Notepads and pens, stones and beans.

Purpose

In a community group of about 6 to 10 people, community priorities are locally defined through a process of consultation and participation.

Objective

To understand locally defined vulnerability and the way to address them in the order of community priorities.

When to use

In project assessment or qualitative monitoring to assess change, e.g. baseline and endline.

Process

Step 1: Setup a matrix listing the most important five to ten issues of concern along the horizontal and vertical axes. Give each topic a letter or symbol chosen by the participants.

Step 2: Ask each small group to compare the urgency of issue 1 on the horizontal axis with issues 2, 3, 4, 5, and 6 on the vertical. Write a letter or symbol in each box that corresponds to the most important issue of the two which are being compared.

Step 3: Add the number of times each letter or symbol appears in the matrix. The more times it appears, the higher its rank.

	Lack of Water	Hunger	Disease	Lack of School
Lack of water	X	Hunger	Water	Water
Hunger	Hunger	X	Hunger	Hunger
Disease	Water	Hunger	X	School
Lack of school	Water	Hunger	Disease	X

Scores: Hunger 6, Water 4, Lack of water 1, Disease 1, Lack of school 1

The exercise shows that hunger is the main priority followed by water.

Step 4: Ask the group to choose someone to present the list of ranked priorities to the larger group. Discuss similarities and differences in the problems and priorities of each group. This tool is very consultative in nature.

Annex 13: Wealth Ranking Guidance Note

Duration

About 2 hours

Materials

Notepads, pens, markers, flip charts, materials for drawing on the ground, beans and stones.

Purpose

Local people usually have a strong understanding of their social and economic class differences. You can use this knowledge through consultation to obtain their perspectives about population classification according to wealth status or holdings. This information can be helpful in many ways. For example, better off families can be a strong asset for community capacity building and facilitating sustainable participation.

Objective

To identify criteria that distinguishes the poor from the rich.
To understand the social and economic characteristics of the various groupings.
To identify proportions of the population in each category.

When to use

In assessments and for progress monitoring as part of surveys, e.g. baseline and endline surveys.

Process

Step 1: Begin by asking the criteria or factors that make some people to be in different economic classes.

Step 2: To introduce the classes, talk about the rich and ask if there are other classes?

Step 3: Identify all of the social and economic characteristics (try to quantify, e.g. 10 cows, 2 wives, 9 children, etc…).

Step 4: Try to establish a proportion of the population size in each group (see proportional piling in the following section).

Note: Never allow the process to be too personal. Talking about wealth is a sensitive issue. Also try to visit multiple homes in order to represent the different categories.

Figure 7: example of a wealth ranking data analysis

		Social and Economic Characteristics			
Classes	**Proportion**	**Farm Size**	**Animal Holdings**	**Monthly Income**	**Social Standing**
Rich	5 – 10%	4 – 5 acres	20 – 30 cattle	50 - $75	Polygamists 15 – 20 dpd.
Medium	30 – 40%	2 – 3 acres	5 – 10 cattle	25 - $35	Polygamists 10- 15 dpd.
Poor	40 – 50%	0.5 – 1.5 acres	Caretakers of cattle	< $20 or 10 - $19	Monogamists 5 – 20 dpd.

Legend: dpd. – refers to dependents.

Brief analytic comments

You will notice that the poor do not have animals but instead work for the middle and rich class – this is very common and represents an element of connectedness. Some social characteristics of the poor can be mixed. For example, their family size can be the smallest or the largest. The key problem can often be a lack of productive social capital, influence, etc… In participatory programme analysis and planning, you can consult representatives of these different social classes to develop interventions that are pertinent to their vulnerability.

Annex 14: Proportional Piling Guidance Note

Duration

30 minutes

Materials

100 beans or stones, notepads, pens and a spot to demonstrate on the ground.

Purpose

This is a participatory technique used to define estimates and proportions, where numbers are needed to quantify trends in analysis. It can be used as a sub-technique in most of the tools indicated in this manual. Local people who do not have skills of formal numeracy are made to develop quantitative data in the form of proportions that reflect local settings.

Objective

To acquire quantitative data in the form of proportions from households and communities.

When to use

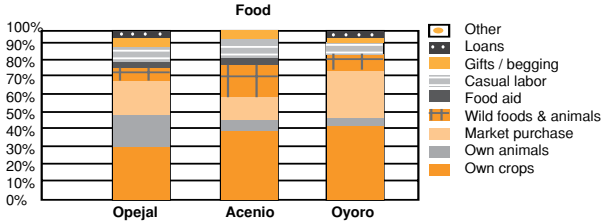
During assessments, for qualitative monitoring to measure change or during evaluations to asses change. Proportional piling is useful for collecting information about:

- Household income and expenditure
- Food quantity and proportions
- Time allocation
- Wealth group proportions

Process

The basis of your calculation is 100%. Provide 100 beans to give interviewees the flexibility of trying to establish the most accurate estimates of proportions. If you choose to provide 100 beans, each been has a value of 1%, 20 beans each have a 5% value, for 10 beans each has a value of 10%. Avoid interviewees from taking up beans one by one and representing individuals – you want them to do proportions. For example, in wealth ranking, put 100 beans on the ground and say “these beans represent all of the people in the community. Please try to show how many people are in the rich, middle or in the poor class?” Try to triangulate the question by a cyclic comparison.

Figure 9: Example of a proportional pilling



Annex 15: Transect Walk Guidance Note

What is a Transect Walk?

A walk through the respective area under monitoring or observation, specifically seek out areas of interest, e.g. agricultural production areas, animal kraals, water points, schools, markets, health centers or hospitals, areas that have been abandoned, temples, mosques, etc.

Purpose

Ensures that the monitoring team explores the whole village and looks at the differences and commonalities in the various areas of the village.

When to use a Transect Walk?

For assessment, baseline and endline monitoring purposes.

Tips on conducting a Transect Walk - Do's and Don'ts	
Do's	**Don'ts**
• Walk the periphery. • Walk in a zigzag, circle, or curve. • Talk to people you meet while walking. • Encourage willing farmers and villagers to accompany you and ask them to describe or explain the conditions or interesting observations. • Look and listen carefully. • Observe and record. • Question everything you see: who, what, where, when, why, how. • Cross-check and triangulate ask location A about location B, ask location B about location A; ask how they are different, similar; how they are connected, etc.	• Walk only in a straight line. • Walk quickly. • Lecture. • Rush.

Annex 16: Seasonal Calendar Guidance Note

Duration

About 1 hour

Materials

Notepads and pens that can allow you to draw a table on paper, or sticks and stalks to define/draw a table on the ground.

Purpose

Interviewees can be the same number as for a focus group or household interview. It helps to ascertain information on traditional planning and repartition of activities and chores within a community or household, which is crucial in designing intervention.

Objective

To know at what time of the year, agricultural, economic, social activities and so forth are done. This can be disaggregated by gender, wealth groups, etc.

When to use

During project planning, assessment, baseline and endline monitoring.

Process

Ask the community to list all the activities and then ask as to when during the year and by who the various tasks are accomplished.

Figure: seasonal calendar

Activities	Months											
	J	F	M	A	M	J	J	A	S	O	N	D
Rice farming	Lp		P	P			H	H				
Fishing								X	X	X		
House repairs										X	X	
Weddings												X
Memorials												X
Annual cultural festivals												X

Legend: Lp: land preparation, P: planting, H: harvesting, X: ongoing

If you want to plan a particular project, this calendar might help you in terms of time relevance. For example, maybe July and August might not be ideal for doing long assessments, as communities will be busy gathering harvest. It is important to indicate when people are busy, and not busy. This is a very good consultative tool for planning and designing projects in terms of accurate timing. It can also be adapted for determining seasonal vulnerability and daily household chores and activities.

Annex 17: Venn or Institutional Diagramming Guidance Note

Duration

One hour

Materials

Notepads, flip charts, markers and local drawing materials like sticks/stalks, leaves etc.

Purpose

A Venn or Institutional Diagram is a useful tool to examine similarities and differences between institutions, partners, people, and issues in a community or between communities. The diagrams are made up of a variety of circles, each representing a different actor or influence in a situation, and are sized and placed accordingly. They are useful to clarify the different interest groups, institutions and decision-making patterns as indicated by the different types below.

It can be used to:

- Clarify and understand the different interest groups, institutions and decision-making pathways.
- In monitoring and evaluation, the diagrams can be revisited to assess changes in the size of different circles, changes in boundaries and the reasons for this.

Objective

In a group discussion of about 6 to 10 people of different social groups, community members, define existing groups and their interconnections.

When to use

At assessment, project planning stage, baseline and endline, as well as for monitoring and evaluation.

Process

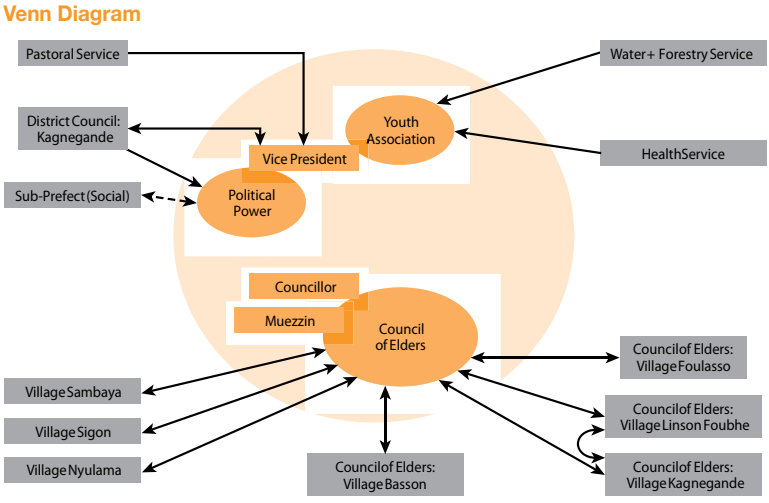
Step 1: Selection of site for exercise

- Select a spot on the ground to represent the locality.

Step 2: Drawing the diagram

- Draw circles representing communal groups and associations and place on the designated spot. The circles should vary in size reflecting differences in the sizes of the various groups or associations.
- In placing the circles on the ground, they should intercept each other to reflect interconnections between communal groups.

A simple example is demonstrated below:



Source: ACF (2010), *Food Security and Livelihoods Assessments: A Practical Guide for Field Workers,* page 206

Step 3: Analysis

- The Venn diagram above provides information on stakeholders (public & private), activities and services, means and relations, presence and usefulness, and identified gaps and difficulties to address.
- Outputs: Identification stakeholders, relationships within communities.

Following this stage, each group can now be approached to look at their objectives, activities, assets, achievements, failures, strengths and weaknesses. The results from this stage will define the process of group assistance delivery and capacity building.

The diagram supports as well the establishment of power relationships and influencing of the different groups amongst each other. Information or resource flow can be indicated by arrows, which by size will resemble the importance of the relationships.

Annex 18: Mapping Analysis Guidance Note

What is mapping?

Mapping is a useful means of visualizing the resources, services, vulnerabilities and risks in a community. These can include key features in a community such as food sources, water sources, clinics, schools, roads, trails, refuge, etc., as well as identifying risks/hazards such as flood areas, health hazards etc., and indicating which locations or groups in a community are vulnerable.

Duration

Depending on the complexity of the area being mapped, this exercise can take as little as a morning's work to several days to complete. Ideally, a minimum of one day should be allocated.

Materials

Flipchart paper, multi-colored pens, laminating materials, a map of the area to be assessed highlighting district boundaries, see-through plastic paper to overlay on a map. Local sticks, stalks and leaves to indicate and draw a map on the ground.

Purpose

Maps facilitate communication and stimulate discussion on important issues in the community. They help people to understand complex relationships, allow visual comparison of information and can be used by a community to help plan interventions.

Maps can be used for different purposes at various stages of a project cycle including:

- For assessment and planning – Various activities, community resources, important places, risks and hazards can be drawn in one map or overlaid onto a map to highlight issues that need to be addressed.
- For monitoring – Changes can be recorded on maps/photographs at various stages of the project and compared. They can also be compared with other agencies.
- For evaluation – A comparison of maps and/or photographs at different times can be used.

Objective

Mapping can be used to:

- Find out about what resources exist in a community and identify appropriate activities.
- Have common (for the community and ACF) understanding about issues faced by the community.
- Stimulate discussion with the community on resources they have and risks they face.
- Obtain general information relevant to specific issues.
- Assist insiders with planning and designing.

When to use

During project assessment and planning as well as for baseline and endline monitoring and evaluation.

Process

Mapping is a simple and powerful tool. It does not require previous experience of the facilitator and mostly relies on visual input from participants. It can be complemented with a transect walk.

Step 1: Determine who will participate

When selecting participants, samples from across the community should be selected including both men and women and possibly children who know the area and are willing to participate.

Mapping can be done in smaller groups so that all can participate equally. Larger groups can be more representative but are often unwieldy in terms of coordination. Mapping can also be done individually, with maps produced compared between individuals, livelihood groups or wealth groups. Maps can also be done in male and female only groups and then compared.

Step 2: The purpose of the map should be agreed upon

Maps tend to be used for the following three purposes:

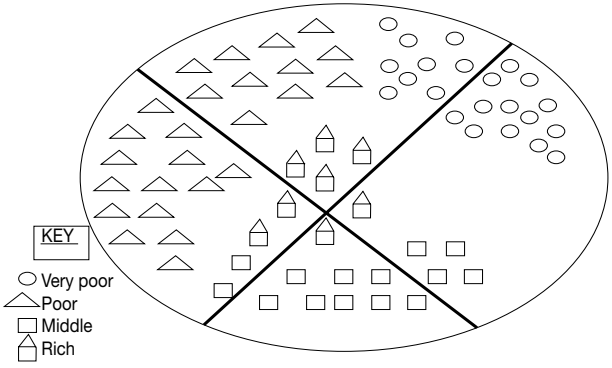
1. Livelihoods Zone or Resource Map – To show local land use zones (e.g. coast zone, plains or mountainous areas and their associated resources – see example below). This kind of map can also be used to capture other resources, such as human and animal populations and human capacities.

2. Geographical / Spatial Map – To get an overview of the main geographical features in one area. Maps features such as arrangement of houses, fields, roads, rivers and other land uses, which resources are assessable and owned by the community and individuals.

3. Hazard / Risk Map – To show hazards or risks and their frequency and severity. Also used to identify vulnerable populations in the area.

Step 3: Drawing the map

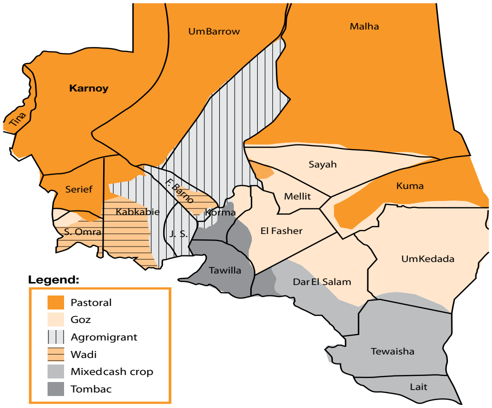
At this step, the type of map to be drawn should be agreed upon. A simple community map can be drawn such as the example below showing different wealth groups and where they are located:



Source: ACF (2006), Community Participation Manual, page 49

Alternatively more complex maps that are used by ACF staff can be drawn. For a livelihoods map (see example below), the boundaries of the livelihoods zone should be drawn. The example below illustrates the distribution of 6 main livelihood zones* across the North Darfur State in Sudan as chronically food insecure and reliant on the neighbouring surplus-producing West and South Darfur states. The population is mainly agro-pastoralist and spread over six livelihood zones. Tobacco growing is a major cash crop for populations around El Fasher. Millet is the main staple crop and is planted by most of the population and intercropped with fruit and vegetables. In the Pastoral zone, livestock sale remains the main source of income, and is sold or exchanged for grain.

North Darfur administrative units and food economy zones



Goz is an area in Eastern Darfur of plains and low hills with sandy soils. Tombac is a type of chewing tobacco. Wadi is an area of seasonal watercourses that floods in the wet season.

Source: ACF (2010), Food Security and Livelihoods Assessments: A Practical Guide for Field Workers, page 232

Maps can be drawn on a flipchart, blackboard, on the ground or in the sand. It is recommended that the map be out of material that can be preserved and referred to through-out the duration of the project. Laminating a map done on flipchart paper by a community can help preserve it, so it can be shared with other agencies or used at a later stage in the project.

Aerial photographs, GPS printouts, urban planning blueprints, and district maps can also be used as a base for a map, and a clear plastic sheet overlaid on these so that areas of importance can be sketched on to (such as the livelihoods zone example above).

If the map is to be used at a later stage, as well as preserving it, agreement should be reached on a central location (such as a community centre or government office) where the map can be displayed so it is accessible to all.

It can also be useful to take photographs or video to ensure the accurate record of the process and final map.

Step 4: Analyzing the information

To analyze the information presented on the map, consideration should be given to any challenges identified and likely driver of this and similarities/differences where a comparison is being undertaken. Discussion should be facilitated with the community to agree: i) what can change (and what not); ii) what can the community influence (and what not); iii) what can the community accept (and what not), iv) what can the project address (and what not).

Step 5: Communicating/sharing the map

The map should be made available to the community and other agencies by displaying it in a central location such as the community center or a government agency.

Step 6: Using the map for M&E purposes

Comparative maps or photographs can be used over time to indicate changes that have taken place as a result of activities undertaken.

Benefits

This tool can give a broad overview of the context of a community and look at multiple issues faced for a holistic analysis including on issues of food security, access to other resources, health issues, risks etc., how they affect a community and how they have changed over time.

The mapping can identify many different sectors and can therefore be less time consuming than using a panoply of multiple other information gathering tools.

Maps are very visual and allow communities to analyze the patterns and inter-relationships of issues and resources they have.

Community maps allow participation of both sexes in capturing their knowledge of their areas and issues they face. Maps drawn by groups of women tend to illustrate different resources, priorities, interests, and problems than those drawn by groups of men. It is useful to have two separate maps drawn by men and women for comparison.

Potential challenges

- Mapping can be time-consuming, particularly if a large area needs to be covered. Participants need to be adequately informed of how long it may take to manage expectations.
- GPS printouts or aerial photographs may be difficult to obtain, expensive, may contain sensitive information or they may be difficult to read and interpret.
- District maps drawn along administrative boundaries may not accurately represent the community perceptions of their own boundaries. All of these can be overlaid on each other.
- Conflicts may arise if inequities become apparent.
- A representative selection of the community should participate in order to validate overall community perceptions. The information should also be verified with a site visit.
- As with any participatory process, one person may dominate or direct drawing if it is done in a group, and as such the process needs to be clearly facilitated/managed.

Annex 19: Most Significant Change Guidance Note

What is "Most Significant Change"?

Most Significant Change (MSC) is a form of participatory monitoring and evaluation, in that it involves many project stakeholders in determining what change has occurred and therefore recorded, and in analyzing the data.

It is a useful form of monitoring as it can be used throughout the project cycle, providing information to help people manage the project.

It can contribute to evaluations in that it provides data on outcomes and impact that can be used to help assess the achievements of the project.

MSC is best suited to complex projects promoting social and attitudinal change.

Duration

Throughout a project, each session of capturing stories is likely to take two to three hours for each domain/subject area. Discussing stories amongst groups of stakeholders should be given about an hour at a time.

Materials

Notepads and pens

Purpose

As a monitoring technique that does not use indicators, its purpose is to capture outcomes and impact, and should be used with other monitoring techniques, which complement the qualitative information collected.

Objective

To capture qualitative information about project outcomes and impact.

When to use

For project monitoring and evaluation.

Process

The MSC process involves collecting stories of significant change from communities. Project beneficiaries are asked to share their stories which are then referred to a panel of designated stakeholders or staff who review these and select those demonstrating the most significant change focusing upon project impact. Once changes are captured, stakeholders sit together, read the stories aloud and have regular in-depth discussions about the value of these reported changes.

Step 1: Establish champions who are trained in the approach

The methodology should be promoted with key people that can act as enthusiastic skilled facilitators. A small pilot can then be carried out to learn lessons on how best to introduce it in the local context before introducing it to the wider project.

Step 2: Establish 'domains of change'

The domains of change are the broad and undefined areas where change is anticipated, e.g. attitudes to food security and livelihoods or risk reduction. Several domains can be identified including those that cater for communal rather than individual changes, negative changes and others that include stories on unforeseen issues. Between three to five domains are manageable. The deciding factor on how many to select is how much time beneficiaries can give to the process. Two to three hours should be allocated for the discussion on each domain.

Step 3: Define the reporting period

Reporting periods must reflect the length of the project and the available resources to facilitate sessions. The timeframe should complement both the review and planning cycles.

Step 4: Collect stories of change

When collecting stories, ask respondents simple open-ended questions, such as: 'Looking back over the last month/quarter/year, what do you think was the most significant change regarding your personal food security and livelihood?'

Stories can be collected using a number of techniques:

- Individual interviews
- Field staff write up unsolicited stories
- Project beneficiaries write up their own stories to pass on to staff
- Focus group discussions

Step 5: Review the stories

The simplest way to review stories is to work through the project structure at the grass roots level, namely with field staff and perhaps stakeholders. Heavy time demands may mean that if stakeholders are included, a form of payment for their time should be considered. Senior field staff as well as the central office could also be included in this compensation. The method used to collect the stories will influence the way stories are reviewed.

Step 6: Provide stakeholders with feedback

A crucial component of the MSC approach is to provide feedback to stakeholders about what was selected during the review process. This encourages organizational accountability with beneficiaries and stimulates the continued dialogue for increased learning, shared understanding and ultimately greater chances of project success. Feedback can be facilitated through:

- Community meetings
- Leaflets / publications
- Radio shows

Step 7: Verification

Verification of both the description and interpretation aspects of MSC stories should be undertaken.

With the descriptive part of a story, consider whether any information is missing and ask how accurate the facts are. Consider also whether there is enough information to enable an independent third party in order to find out what happened, when and where, and who was involved. Most stories will contain some discrepancies – the issue is the extent to which these affect the significance given to the events by the people involved or the observer reporting the event.

It may be useful to ask whether the interpretations given to the events are reasonable, however it is often impossible to disprove an interpretation, particularly when some information, especially about future consequences or knock-on effects, may not be available. Contradictions, on the other hand, can often and more easily be identified.

Step 8: Quantification

There are three ways to quantify the MSC approach:

- By counting the number of people or activities described in the story.
- Undertaking follow-up or complementary quantitative (survey-based) research to validate findings through the MSC, e.g., if a story described women going to the market for the first time, a survey could be carried out to quantify this.
- By examining the full set of collected SC stories and counting the number of times a specific type of change is noted.

Step 9: Revising the MSC process

The MSC process itself should be monitored and revised to better suit the context – changes made can include: Around the number of domains, the methodology of collecting stories, how the MSC stories are selected or fed back.

Benefits

- It is a technique that empowers programme participants to tell their stories.
- Large proportions of the developing world have oratorical traditions and thus story telling is in line with local customs.
- It is inclusive.
- It promotes regular dialogue between programme participants and staff.
- It focuses on impact.
- It promotes learning.
- It is an opportunity to understand and document community perspectives, priorities and values.

Annex 20: Decision Making Analysis Guidance Note

Duration

One hour

Materials

Notepads, flip charts, markers and pens.

Purpose

Decision making processes at the household, organizational or community level largely depend on gender, status, age, wealth or other aspects. This tool helps in providing an understanding of the dynamics of decision making processes through a participatory discussion with up to 20 people of different gender and social classes.

Objective

To obtain an idea of the process in which community members interpret power, influence and make decisions.

When to use

At the assessment and project planning stage, baseline and endline monitoring, and for decision-making as project monitoring findings emerge.

Process

Step 1: The group can choose two common but realistic problems. One should be mainly concerned with household and another with community. Then ask that the group is split into gender or social groups.

Step 2: For each of the problems draft some questions that the groups should answer:

Household decision making process:

- What decisions are taken by who, e.g. levels of responsibilities, gender, cultural norm, etc…?
- How are decisions made by different people within a family, clan or household?

Community or organizational decision making process:

- How is information shared?
- Is the decision making body representative of one, a few, or many interests of the community?
- How do you choose decision makers?

Step 3: Bring the groups together in larger groups to discuss the findings and allow a participatory sharing and triangulation of information on the various aspects both at the household and community levels.

Note: It is important both at the beginning and the end to summarize the purpose of the interview.

Annex 21: Strengths, Weaknesses, Opportunities and Threats (SWOT) Analysis Guidance Note

Duration

About 1 hour

Materials

Notepads and pens for drawing table, local materials for drawing on the ground.

Purpose

By using the same organization of a focus group discussion, it encourages and empowers communities to develop action plans by building on strengths and opportunities.

When to use SWOT analysis

During project planning or review phases, monitoring and evaluations.

Process

Like with the capacity and vulnerability tool, do a bit of preparation in advance. List the relevant characteristics of livelihoods in your table. In a consultative tone with the community, do the same on the ground or on a large board. Ask interviewees to identify the various elements in horizontal order.

Objective

To consult and collaborate with communities in developing action or intervention plans by using existing opportunities.

Characteristics	Strengths	Weaknesses	Opportunities	Threats
Local material	Forests	2 hours away	Motor transport	Logging
Labor	Young men	Not organized	Approachable	Migration
Local management	Influential chief	Poor communication	Local structures	Migration
Farming skills	Traditional	Not updated	Training	Environmental changes
Psychosocial situation	Information sharing	Lack of recreation	Psychologist present	Constant insecurity

Annex 22: Community Meetings and Verbal Reporting Guidance Note

What is a community meeting and "verbal reporting"?

Community meetings provide an opportunity to get people together to share information and focus on a specific purpose. Meetings are entry points in consulting and inviting people's involvement. If the meeting is to undertake verbal reporting on the progress the project has achieved to date, findings of a survey or evaluation, than that purpose should be made clear to attendees.

Community meetings can involve gathering an entire community, or a small representation of a few members involved in a specific issue such as cash or food distributions.

The important factor in a community meeting is that people are comfortable to come together, share their perspectives on common problems, and contribute ideas about possible solutions.

A community meeting is different from brainstorming as it focuses on a specific topic, but not to the extent as a Focus Group Discussion (which often includes the participation of experts on the topic).

It is often preferable to host smaller meetings rather than large community-wide meetings, as these allow participants to share their views more freely. However, where meetings are for information giving only, capturing a more sizeable community audience might be more appropriate. In those instances it is important to ensure that all can hear and be engaged.

Duration

Depends on the need of the meeting. Verbal reporting should be kept short – at most an hour.

Materials

Notepads, flip charts, markers and pens.

Purpose

The purpose of community meetings and/or verbal reporting is to:

- Seek participation through group discussion; this will often be initiated through some form of information sharing or information request.
- Get ideas from individuals, especially around planning and objective setting.
- Provide a forum to discuss ideas on a particular topic.
- Introduce ACF and the work it does.
- Sensitize the community on a specific topic.
- Identify issues facing the community and discuss solutions.
- Report on and review progress, evaluate program results and discuss recommendations.

Objective

To communicate information about a project; to feedback findings; to discuss aspects of the project (e.g. for coordination or organization purposes).

When to use

Before project initiation; during implementation; for monitoring and evaluation.

How to conduct it?

Note: For an effective community meeting to be held, there should be sufficient planning.

Step 1: Clarify the purpose of the meeting

Ahead of the meeting, it is important to clearly define the meeting's objective and identify key messages that you want to get across. It is also important to consider the most effective presentation style and means of discussion for the audience; namely should overheads/flipcharts/handouts be used, should the group sit and discuss in a circle? Consideration should be given to the literacy level of the group and language to be used.

Consider the following questions to prepare yourself and your team:

- Why do you want to have a meeting?
- What do you expect to achieve from it?
- What do you think the community expects to get from the meeting?

Some reasons to hold a community meeting might include, to:

- Raise awareness about ACF's work.
- Discuss options for a particular project.
- Find out the community perspective on a particular issue.

Step 2: Review records of any previous meetings

By reviewing records of any previous meetings linked to the purpose of this meeting will ensure that there is a continuation and that any decisions made and actions agreed upon have been addressed.

Step 3: Arrange the logistics of the meeting

The logistics of the meeting have to be set so as to be appropriate for the purpose. This includes a suitable venue and a convenient time and place for the meeting; availability and time constraints of different groups should be taken into account, so for example, women might not be available to attend at the same time as men.

Depending on the purpose of the meeting, the size and composition of the group should be determined.

Tips for Arranging a Community Meeting

- Avoid being too dependent on technology (e.g. power point presentations or slideshows) to mitigate issues of power access.
- Keep shared information simple, accessible to all and to the point, emphasizing key messages.
- Find out if there are (cultural) norms on how to establish communication with community leaders, appropriate format, the best time and location to meet.
- Prepare all relevant materials (e.g. handouts) well in advance of the meeting to ensure everything has been assembled.
- Check that any requirements for the meeting are in place (e.g. visual aids, electrical outlets, generator, speakers etc).
- Arrange an environment which is conducive to participation and discussion (e.g. light, quiet, availability of drinks and snacks at appropriate points).
- Include a short introduction and tailor it for those attending.
- Stick to time.
- Start with items/ issues which are easy to get agreement/acceptance on.
- Allow conflicting opinions to emerge, accepting differences of opinion, avoid judging others but ensure people are respectful and any conflict of opinion is managed.
- Allow all community representatives to have a chance to speak and share their opinions.
- End on a positive note summarizing the key points raised.

Step 4: Notify the community

The community or the group targeted for the meeting should be informed of it through the communication channels most appropriate (e.g. posters, use of the town speaker, home visits, public announcements, radio, telephone, word of mouth).

Step 5: Facilitate the meeting

The meeting should be facilitated so that it sticks to the purpose, and active participation encouraged from all attendees. Negative comments, interruptions or long contributions should be managed. Key points should be captured (e.g. on a flip chart) summarized at the end of the meeting to ensure the purpose has been met. Actions should be agreed upon, as should those responsible for carrying them out. Where relevant, the date and time for a follow-up meeting should also be decided upon.

Tips to Ensure the Inclusion and Participation of all Community Groups

- Is the location accessible to everyone? Schedule the meeting so that people can attend - this may be different times of the day for men as opposed to women.
- Consider how you can involve quieter participants and how to avoid the meeting being dominated by a few people. Consider whether it is appropriate to hold separate meetings for men and women or different groups.
- Consider whether some of the attendees who are less likely to participate in the meeting can help co-facilitate so that they can become more active in the proceedings.
- Keep the meeting short, to time, inclusive and positive.

Step 6: Keeping records and following-up on agreed action points after the meeting

After the meeting, records of the meeting (including decisions and action points) should be clearly documented and shared with all relevant stakeholders. Any outstanding points, queries or feedback should be followed up with attendees.

Tips in Verbal Reporting

- Even when people affected by the emergency have participated throughout the project, some people will know more about it than others.
- Keep the reporting short.
- Don't hide information but aim to help people remember the main points about what has happened.
- Think about what people need to know.
- Prepare a verbal presentation that suits people's needs.
- Emphasize key points.
- If you can, use posters, quotes, photos, slides, tables, and charts.
- Encourage participation: A Question & Answer session, a panel, or a short play can help.
- Encourage people to say what they think: People may have conflicting views of the project and the changes it is making. Think ahead about how you will deal with these different views.
- Listen and be tactful.
- Try to maintain a good atmosphere and good relationships between people, especially if they express different views. Try to end the discussion on a positive note.

Annex 23: Designing a Logical Framework and Indicators

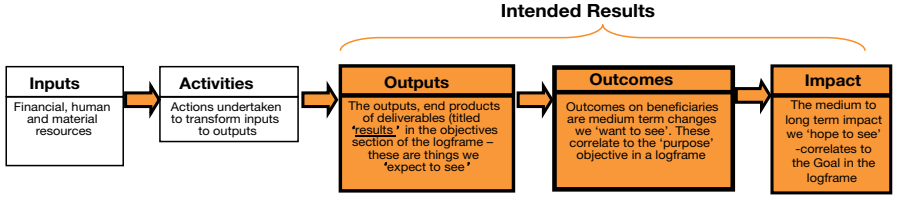
Designing a logical framework

A project logical framework (logframe) is an important tool through which to summarize the project plan, map the multiple levels of project objectives and associate results in the short, medium and long terms. It should be derived by undertaking a "problem tree" analysis that breaks down problems faced by communities to build them back up into a "solutions tree" or logframe.

The logframe is one form of a logical or logic model; a model where there should be a clear relationship of one thing leading to another. In this instance, inputs or resources are used by project activities to produce results. Results are defined as "the effects of actions, that can be intended or unintended, positive or negative" and can be split into different levels of results depending on the significance of their achievement and level of change attained. In the Results Chain indicated in Figure 4 below, three levels of results are identified - outputs, outcomes and impacts (see Box 1 below for definitions), where project activities should lead to these three results types; results in the short, medium and long term. The intended results that is hoped a project will achieve can be referred to as objectives, and are determined at the planning stage of a project.

The logical relationship of inputs leading to activities that produce outputs, which result in medium term change (or outcomes) which result in longer term change (or impact), can be mapped out as a Results Chain, as in Figure 1 below: Inputs are used to carry out activities, —> Activities produce specific outputs, —> Outputs produce outcomes, —> Outcomes contribute to the goal (impact) of a project.

Figure 1: The Results Chain (Logframe format)



A sample results chain

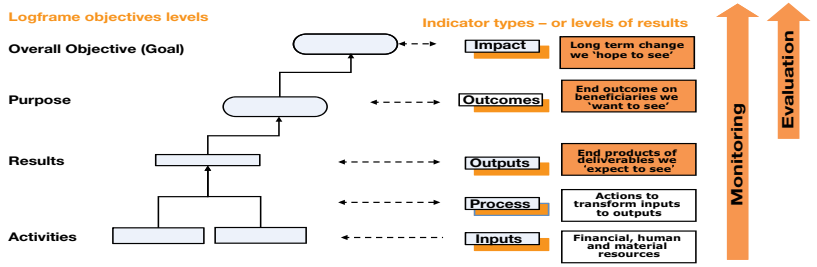
Inputs	Activities	Outputs	Outcomes	Impact
Food Aid	Distribution of food aid	- The number of people who received food aid - The quantity of food distributed	- Increase in average number of meals consumed per day - % increase in the number of people that have access to food	% decrease in malnutrition rates (SAM, and GAM)

Below in Box 1 are the definitions of each of the levels of logframe objectives and their associated results that can be measured by indicators, as well as examples of M&E activities that might measure these at each level of the logframe.

Box 1: Definitions for Logframe Terminology				
Logframe objectives Definitions		**Levels of results and associated Objectively Verifiable Indicators (OVI) that measure objectives**		**Sample Means of Verification (MoV) of indicators**
Overall Objective [Goal]	Broad project objectives in terms of the longer-term benefits to beneficiaries and the wider benefits to society. The Overall Objective(s) will not be achieved by the project alone; the project aims to contribute to them	**Impact**	Impact indicators that measure this long term change in conditions of the community (e.g. % change in malnutrition rates or mortality rates due to malnutrition)	E.g. Endline survey (including household interviews & focus group discussions)
Project Purpose	The benefits to be received by the project beneficiaries or target group as a result of utilising the services provided by the programme	**Outcome**	Indicators describing medium-term effects of an intervention's outputs. (e.g. % change in the population with access to daily rations/food)	E.g. Post-Distribution Monitoring survey; Post-Harvest Monitoring survey
Results [Outputs]	The outputs produced by undertaking a series of activities. These are the services to be delivered to the intended beneficiaries or target group, and it should be possible for project management to be held accountable for their delivery.	**Outputs**	Indicators describing the immediate effects of an activity; tangible products, goods and services, and other immediate changes that lead to the achievement of outcomes. Outputs are mainly measured in numbers (e.g. number of people or % of population served).	E.g. Beneficiary distribution list; attendance lists
Activities	The tangible goods and services delivered by the project. (e.g. distribution of seeds and tools)	**Process**	describe the activities undertaken (e.g. Metric Tonnes of food distributed)	E.g. Distribution records

Lower level results (i.e. processes and outputs) contribute to the achievement of higher ones (i.e. outcomes and impact). To assist with project planning, it is useful to draw out the logic model of the project (or theory of change), to check whether the logic of it flows and makes sense. Each level of objectives should have correlating intended results that can be measured by respective indicators.

Figure 2: Logic Model – building up a logframe



An M&E system should reflect this flow or chain of results, that builds on the logframe and is used to create an M&E plan (see Toolkit 4). Most results can be measured through monitoring, depending on the length of the project. Higher level results may take longer to become evident and therefore to measure, and may become clearer in an evaluation.

Of course, reality does not always work in a linear fashion. By mapping out the logical flow, theory of change or chain of results, the results expected from each activity or combination of activities undertaken over a period of time can at least be mapped out with correlating indicators agreed upon to measure whether the expected result is being achieved.

Any assumptions made at each stage of the logical model will be captured, and referred to in the assumptions column of the logframe.

The actual logframe (see Figure 3 below) therefore summarizes this theory of change over time by detailing each of the objectives (goal, purpose, results) intended by the project, the related indicators that measure the extent to which results against each objective have been attained, the assumptions that need to hold if each level of objectives is to lead to the next, and the means by which indicators will be measured (Means of Verification (MOV)). Indicators and the MOVs then form the basis of a project's M&E system to measure the achievement of intended (as well as unintended) results.

Figure 3: Logframe template highlighting the links between assumptions and objectives

	Intervention Logic	Objectively Verifiable Indicators (OVI)	Means of Verification (MOV)	Assumptions
Overall Objective (Goal)	Then	Impact indicators		
Project Purpose	Then	Outcome indicators	If	
Results	Then	Output indicators	If	
Activities	Then	Inputs	Costs If	
				Pre-conditions

Measuring impact can be challenging, costly and sometimes not possible for short-term projects, given that impact is change seen in the medium to long term, depending on the project objectives. Increasingly in the humanitarian sector, many argue in favour of adopting sector-wide measurements of impact rather than project-specific ones.

Designing indicators

The quality of a logframe is critical for successful project M&E, and its logical flow should therefore be rigorously checked. Logframes should be prepared as close to the field as possible with input from beneficiaries and partners. These should also key into measuring the success of objectives through jointly agreed upon indicators and means of measurement.

Indicators are means or units of measurement, that define ways in which to determine whether targets have been achieved or not. They are called indicators given that they are often only indicative of whether an objective has been achieved rather than wholly demonstrating it. Often a number of indicators are required to give a sense of whether an objective has been achieved or not.

Box 2: SMART and SPICED Indicators

The acronyms SMART and SPICED indicators act as a helpful guide to consider what a good indicator looks like (SMART) and how it should be derived (SPICED).

SMART indicators:

S Specific
M Measurable
A Achievable Or: acceptable, applicable, appropriate, attainable or agreed upon
R Relevant Or: reliable, realistic
T Time-bound

SPICED Indicators:

S Subjective - Informants have a special position or experience that gives them unique insights which may yield a very high return on the investigators time. In this sense, what may be seen by others as ‹anecdotal› becomes critical data because of the source's value.

P Participatory - Indicators should be developed together with those best placed to assess them. This means involving a project›s ultimate beneficiaries, but it can also mean involving local staff and other stakeholders.

I Interpreted and communicable - Locally defined indicators may not mean much to other stakeholders, so they often need to be explained.

C Cross-checked and compared - The validity of assessment needs to be cross-checked, by comparing different indicators and progress, and by using different informants, methods, and researchers.

E Empowering - The process of setting and assessing indicators should be empowering in itself and allow groups and individuals to reflect critically on their changing situation.

D Diverse and disaggregated - There should be a deliberate effort to seek out different indicators from a range of groups, especially men and women. This information needs to be recorded in such a way that these differences can be assessed over time.

Indicators should be measurable, through clear Means of Verification, and should each have a clear target and baseline against which to measure progress, as exemplified below.

Box 3: Sample Agricultural Indicators		
	Indicators (OVI)	**Means of Verification (MoV)**
Impact	X% change in the number of households (HH) that can meet their food needs during the hunger gap in XX region following provision of assistance (Baseline: YY%)	- HH survey - Focus group discussion
Outcome	X % increase in household production of major crops (by crop type and unit) in XX region between XX and XX period of time (Baseline: YY%)	- HH Pre- and Post-Harvest survey - Focus Group Discussion for each targeted livelihood group
Outputs	Area (hectares) of (newly) cultivated land as a result of agricultural assistance activities (Baseline: YY hectares)	- Observation - HH survey

For ACF's FSL projects, a selection of mandatory core and optional thematic indicators should be drawn on to shape indicator logframes. An overview of these is included in *Toolkit 3*.

Annex 24: Stakeholder Information Needs Matrix

The purpose of this matrix is to summarize the information of the needs of key stakeholders for a project so that project staff can build this into the M&E system. This may vary from project to project depending on the different stakeholders and depending on who covers the M&E function and what their responsibilities include. As such, the following is a suggested example:

Report / inform-ation type or format	Information required	Purpose	When	M&E Role	Recipient Stakeholder
Weekly Field Reports	Progress against activity plans; situation and problem analysis	Provide updates to managers on whether progress is on track; to facilitate decision-making to address any challenges/ problems	Weekly	N/A	Head of Mission (HoM)/ Coordinator/ Programme Manager (PM)
Activity Progress Report (quant & qual)	Progress against output & outcome (& where feasible impact) indicators; qual explanation of progress; results of any evaluations	Provide updates to managers on whether progress is on track and against planned outputs; to facilitate decision-making to address any challenges/ problems; for accountability to key stakeholders	Monthly	Collect monitoring data, support data analysis and reporting of findings; ensure any feedback is reflected in updating project plans	HoM; PM; Headquarters (HQ); Local authorities; Informal updates to communities
Survey Findings Report	Changes in communities (outcomes and impact) and analysis to explain any change or lack of change	Provide updates to managers on whether progress is on track and against planned outputs; to facilitate decision-making to address any challenges/ problems; for strategic planning; for coordination; for accountability to key stakeholders	Depends on project M&E plan	Collect data, support data analysis and reporting of findings; ensure any feedback is reflected in updating project plans	HoM; PM; HQ; Donor; Local authorities; Sector partners and other NGOs/UN; Communities

Donor Progress and End of Project Reports	Progress against plan (indicators) and results explanation; lessons learned; recommendations for future programming; spending of funds	Demonstrate results that were and were not achieved against plans and why; highlight long term change; capture lessons learned and recommendations for next phase/ future work; Accountability against agreed objectives; show value for money	Depends on donor agreement and project span	Support programme staff to assemble relevant data, support any analysis required and reporting of findings; ensure any feedback is reflected in updating project plans	HoM; PM; HQ; Donor; Local authorities; Sector partners; other NGOs/UN; Communities
Evaluation Report	(Un)intended changes in communities (outcomes and impact); effectiveness; efficiency; relevance; coherence; sustainability	Assess changes; assess how effective and efficient the project was; capture lessons learned and recommendations for current/future work; for strategic planning	Depends on project M&E plan	Internal evaluation – support or undertake data collection, analysis and report write-up; External evaluation – support desk review; data collation; ensure feedback fed into plans	HoM; PM; HQ; Donor; Local authorities; Sector partners; other NGOs/UN; Communities
Annual Report	Key events and achievements in year; annual income and spend	Show whether resources were used effectively and what was achieved for them; key events and projects; demonstrate impactful programming; human stories	Annually	Collect monitoring data, support data analysis and reporting of findings	Trustees; donors; general public; sector bodies

NOTE: Formal feedback to communities should be made on survey/evaluation findings; more informal updates of monitoring reports should also be communicated.

Annex 25: Types of Participation

Type	Characteristics of each Type
1. Passive Participation	People participate by being told what is going to happen or what has already happened. It is a unilateral announcement by an administration or project management without listening to people's responses. The information being shared belongs only to external professionals.
2. Participation in Information Giving	People participate by answering questions posed by extractive researchers using questionnaire surveys or similar approaches. People do not have the opportunity to influence proceedings, as the findings of the research are neither shared nor checked for accuracy.
3. Participation by Consultation	People participate by being consulted, and external people listen to views. These external professionals define both problems and solutions, and may modify these in the light of people's responses. Such a consultative process does not concede any share in decision-making, and professionals are under no obligation to take on board people's views.
4. Participation for Material Incentives	People participate by providing resources, for example labour, in return for food, cash or other material incentives. Much on-farm research falls into this category, as farmers provide the fields but are not involved in the experimentation of the process of learning. It is very common to see this called participation, though people have no stake in prolonging activities when the incentives end.
5.Functional Participation	People participate by forming groups to meet predetermined objectives related to the project, which can involve the development or promotion of externally initiated social organization. Such involvement does not tend to be at early stages of project cycles or planning, but rather after major decisions have been made. These institutions tend to be dependent on external initiators and facilitators, but may become self-dependent.
6. Interactive Participation	People participate in joint analysis, which leads to action plans and formation of new local institutions or the strengthening of existing ones. It tends to involve interdisciplinary methodologies that seek multiple perspectives and make use of systematic and structured learning processes. These groups take control over local decisions, and so people have a stake in maintaining structures or practices.
7.Self-Mobilisation	People participate by taking initiatives independently of external institutions to change systems. They develop contacts with external institutions for resources and technical advice they need, but retain control over how resources are used. Such self-initiated mobilization and collective action may or may not challenge existing inequitable distribution of wealth and power.

Annex 26: Household Dietary Diversity Score (HDDS) Guidance Note

What is the HDDS indicator?

Household Dietary Diversity (HDD) is the number of different food groups consumed over a given period.

How does the HDDS differ from the Individual Dietary Diversity Score (IDDS)?

While the Individual Dietary Diversity Score (IDDS) is used as a proxy measure of the nutritional quality of an individual's diet (see *Annex 22*), the HDDS is used as a proxy measure of the socio-economic level of the household. The differences in the list of food groups used to construct the HDDS and IDDS (e.g. for women or children) reflect these different objectives.

Why use DDS?

It is a useful proxy indicator for food security and livelihoods for the following reasons:

A more diversified diet is an important outcome in and of itself.

- A more diversified diet is associated with a number of improved outcomes in areas such as birth weight, child anthropometric status, and improved hemoglobin concentrations.
- A more diversified diet is highly correlated with such factors as caloric and protein adequacy, percentage of protein from animal sources (high quality protein), and household income. Even in very poor households, increased food expenditure resulting from additional income is associated with increased quantity and quality of the diet.
- Questions on dietary diversity can be asked at the household or individual level, making it possible to examine food security and livelihoods at the household and intra- household levels.
- Obtaining this data is relatively straightforward. Field experience indicates that training field staff to obtain information on dietary diversity is not complicated, and that respondents find such questions relatively straightforward to answer, not especially intrusive nor especially burdensome. Asking these questions typically takes less than 10 minutes per respondent.

When should HDDS data be collected?

To accurately capture changes in HDDS over time, data should be collected during the period of greatest food shortages (such as immediately prior to the harvest). Subsequent data collection (e.g. endline) should be undertaken at the same time of year, to avoid seasonal differences.

How is HDDS data collected?

To better reflect a quality diet, the number of different food groups consumed on household or individual level is calculated, rather than the number of different foods consumed. Knowing that households consume, for example, an average of four different food groups implies that their diets offer some diversity in both macro- and micronutrients. This is a more meaningful indicator than knowing that households consume four different foods, which might all be cereals. The following set of 12 food groups is used to calculate the HDDS:

1. Cereals (maize porridge, rice, sorghum, millet pasta, bread, rice or other)
2. Roots and tubers (cassava, potatoes, sweet potatoes or other)
3. Pulses/legumes/nuts (beans, peas, chick peas or other)
4. Vegetables and leaves
5. Fruit
6. Meat, poultry, offal (beef, goat, lamb, poultry)
7. Fish and seafood

8. Milk/Dairy products (milk, yogurt, cheese or other)
9. Eggs
10. Sugar, sugar products, honey
11. Oil/fats (oil, fat or butter)
12. Condiments (spices, tea, coffee) or other miscellaneous food

These **questions should be part of a population-based survey** applied to all the households in the sample (see below HDDS Survey Template and *Annex 35* Baseline Survey Template).

Information on household food consumption should be collected for the **previous 24-hours** as a reference period (24-hour recall). Longer reference periods result in less accurate information due to imperfect recall. When using the 24-hour recall method, the interviewer should first determine whether the previous 24 hour period was «usual» or «normal» for the household. If it was a special occasion, such as a funeral or feast, or if most household members were absent, another day should be selected for the interview. If this is not possible, it is recommended that another household be selected, rather than conduct the interview using an earlier day in the week.

Data for the HDDS indicator is collected by asking the respondent a series of *yes or no* questions. These questions should be asked of the person who is responsible for food preparation, or if that person is unavailable, of another adult who was present and ate in the household the previous day. The questions refer to the household as a whole, not any single member of the household.

The respondent should be instructed to include the food groups consumed by household members in the home, or prepared in the home for consumption by household members outside the home (e.g. at lunchtime in the fields). As a general rule, foods consumed outside the home that were not prepared in the home should not be included. While this may result in an underestimation of the dietary diversity of individual family members (who may, for example, purchase food in the street), HDDS is designed to reflect household dietary diversity, on average, among all members. Including food purchased and consumed outside the household by individual members may lead to overestimating HDDS overall. However, in situations where consumption outside the home of foods not prepared in the household is common, survey implementers may decide to include those foods. Such decisions should be clearly documented, so that subsequent surveys will use the same protocol and to ensure correct interpretation and comparison.

How is the HDDS calculated?

The tabulation of the HDDS variable should be calculated using the following steps:

Step 1: First, calculate the HDDS for each household surveyed in the sample. The value of this variable will range from 0 to 12:

HDDS = Total number of food groups consumed by members of the household. Values for A through L will be either "0=No" or "1=Yes".

Sum (A + B + C + D + E + F + G + H + I + J + K + L).

Step 2: Calculate the average HDDS indicator for the sample population.

$$\textbf{Average HDDS} = \frac{\text{Sum (HDDS)}}{\text{Total Number of Households}}$$

What should an HDDS target be?

An increase in the average number of different food groups consumed provides a quantifiable measure of improved household food access. In general, any increase in household dietary diversity reflects an improvement in the household's diet.

In order to use this indicator to assess improvements in food security and livelihoods in a performance reporting context, the changes in HDDS must be compared to some meaningful target level of diversity. Unfortunately, normative data on 'ideal' or 'target' levels of diversity are usually not available.

Two options are available to determine appropriate targets. Both of these options have the advantage that the target set represents a level of dietary diversity that is demonstrably achievable by the sample population.

1. The dietary diversity patterns of wealthier households can be used as a target, under the assumption that poorer households will diversify their food expenditures as incomes rise, and thereby mirror the consumption patterns of wealthier households. Because projects using the HDDS indicator usually include interventions aimed at increasing household income, baseline surveys generally collect some income or economic status information, in addition to the dietary data. If income data are available, the sample could be divided into three income groups (terciles of income), and the average dietary diversity calculated for the richest income tercile. The average HDDS in the richest 33 % of households can then serve as a guide for setting the target level of HDDS for the purpose of performance monitoring. Where income data are not available, income groups can be defined using proxies, such as possession of assets or other items found to be highly correlated with income in the project population.

2. In the absence of income or economic data from the baseline survey, an HDDS target can be established by taking the average diversity of the 33 % of households with the highest diversity (upper tercile of diversity).

Cross-tabulating or triangulation of HDDS results with the other core indicators (See Annexes 26-33), additional socio-demographic and socio-economic can help identify correlations between these and the HDDS. Correlations support as well a better interpretation and understanding, in case of discrepancies and local particularities in contexts.

What are potential challenges with the HDDS?

- As any participatory tool, an introductory discussion should be facilitated. As the HDDS should be part of an overall interview and not a lone standing tool, the overall introduction to the interview should capture that various topics will be discussed.
- The recall timeline includes the past 24hrs, which is easy to recall for interviewees. Though, a short term recall like HDDS, as compared to longer recall with the FCS, will provide information on a very short duration during the consumption of the household, and is hence more prone skewed results due to exemptions (e.g. special days, festivals, etc) rather than the rule (e.g. every day).
- The choice of which dietary diversity tool to use, i.e. FCS, HDDS, IDDS, depends on the objective of the implemented project. Given short term dietary diversity improvements or linkages to improved household income levels are considered, the HDDS might be the right tool (see above). Given focus on particular malnourished members in the household and linkages to care practices are considered, the IDDS (e.g. under 5 year olds or pregnant and lactating women) might be the right tool (see *Annex 27* Guidance Note on IDDS). Given longer term impact and sustainability of quality of food diversity and consumption are considered, the FCS might be the right tool (see *Annex 28* Guidance Note on FCS).

QUESTIONNAIRE - Household Dietary Diversity Score (HDDS)

Overview of the questionnaire: This questionnaire seeks to collect data on Household Dietary Diversity. This is most likely to be used as part of a baseline and or endline survey and therefore also forms part of the ACF FSL baseline template.

How to complete this questionnaire:

- *Give a title + a code to your survey (see the general guidance)*
- *For multiple choice questions, insert correct code number (1, 2 etc) or **circle** appropriate answer, as directed.*

SURVEY INFORMATION			
Q1 I would like to ask you about the types of foods that you or anyone else in your household ate yesterday (in the last 24 hours) during the day and at night. (The question should be asked of the person who is responsible for food preparation, or if that person is unavailable, of another adult who was present and ate in the household the previous day. Read the list of foods below. Circle the food in question if anyone in the household ate it. Insert any local foods [e.g. ugali, nshima], , bread, rice noodles, biscuits, or any other foods made from millet, sorghum, maize, rice, wheat, or any other locally available grain)			
(Circle the answer)		**Yes**	**No**
A	**Cereals (maize porridge, rice, sorghum, millet pasta, bread, rice or other)**	**1**	**0**
B	**Roots and tubers (cassava, potatoes, sweet potatoes or other)**	**1**	**0**
C	**Pulses/legumes/nuts (beans, peas, chick peas or other)**	**1**	**0**
D	**Vegetables and leaves**	**1**	**0**
E	**Fruit**	**1**	**0**
F	**Meat, poultry, offal (beef, goat, lamb, poultry)**	**1**	**0**
G	**Fish and seafood**	**1**	**0**
H	**Milk/Dairy products (milk, yogurt, cheese or other)**	**1**	**0**
I	**Eggs**	**1**	**0**
J	**Sugar, sugar products, honey**	**1**	**0**
K	**Oil/fats (oil, fat or butter)**	**1**	**0**
L	**Condiments (spices, tea, coffee) or other miscellaneous food**	**1**	**0**

QUALITY CONTROL

M&E supervisor_____ Date_____

Data entry_____ Date_____

For additional guidance on the HDDS, refer to FANTA's published guidance: *Household Dietary Diversity Score (HDDS) for Measurement of Household Food Access: Indicator Guide, VERSION 2, September 2006*

Annex 27: Individual Dietary Diversity Score (IDDS) Guidance Note

What is the IDDS indicator?

Individual Dietary Diversity (IDD) is the number of different food groups consumed over a given period.

How does the IDDS differ from the Household Dietary Diversity Score (HDDS)?

Individual Dietary Diversity Score (IDDS) is often used as a proxy measure of the nutritional quality of an individual's diet (notably children). This use is different from HDDS that is used as a proxy measure of household access to food.

While the questions used to collect data on dietary diversity for both uses are similar, there are some important differences that are reflective of the different objectives. For example, "sugar/honey" is included as a food group for HDDS. As an indicator of socio-economic change, the inclusion of sugar or honey in a household's diet tells us something about their ability to access/purchase food. In contrast, sugar and honey are not included as a food group in the list of food groups included in the IDDS indicator for children, because this food group is not an important contributor to the nutritional quality of a child's diet.

The table below provides a comparison of the food groups included in the HDDS and IDDS (children) indicators.

Note: Firstly, the range for each measure is different (0-12 vs. 0-8). Secondly, while the IDDS (children) includes a smaller number of food groups, the questionnaire itself includes a great deal more detail that is eventually combined into the 8 food groups when calculating the IDDS (children) indicator.

Food Groups and Weights				
HDDS Food Groups (Score: 0-12)			**IDDS (Children) Food Groups (Score: 0-8)**	
No	**Food group**	**Food items**	**No**	**Food group**
1	Cereals (Staples)	Maize, maize porridge, rice, sorghum, millet pasta, bread	1	Grains, roots or tubers
2	Roots & Tubers (Staples)	Cassava, potatoes and sweet potatoes	2	Vitamin A-rich plant foods
3	Pulses / legumes / nuts	Beans, Peas, groundnuts and cashew nuts	3	Other fruits or vegetables
4	Vegetables	Vegetables and leaves	4	Meat, poultry, fish, seafood
5	Fruit	Fruit	5	Eggs
6	Meat, poultry, offal	Beef, goat, poultry, pork, eggs and fish	6	Pulses/legumes/nuts
7	Fish & seafood		7	Milk and milk products
8	Milk / Dairy products	Milk, yogurt, cheese or other	8	Foods cooked in oil/fat
9	Eggs			
10	Sugar	Sugar, sugar products, honey		
11	Oils	Oils, fats and butter		
12	Condiments	Tea, Coffee, Spices		

If a project wishes to collect data on HDDS and IDDS in the same instrument, data collection may become confusing because of the similarities of the questions. It is important to train the interviewers to help the respondent to transition from thinking about food groups consumed by the household to thinking in greater detail about the food groups consumed by their child.

Why use the IDDS indicator?

IDDS is an indicator for individual nutrient adequacy. It is used here for highlighting consumption patterns of children = Child IDDS. It is used in household questionnaires for children 6-23 months of age, and highlights the proportion of children who receive sufficient foods, from 4 or more food groups

When should IDDS data be collected?

To accurately capture changes in IDDS over time, data should be collected during the period of greatest food shortages (such as immediately prior to the harvest). Subsequent data collection (e.g. endline) should be undertaken at the same time of year, to avoid seasonal differences.

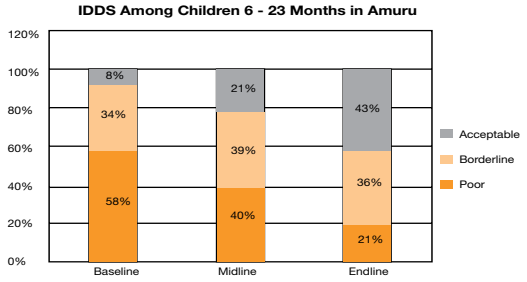
How is IDDS data collected?

These questions should be part of a population-based survey applied to all the households in the sample (see below IDDS Survey Template and *Annex 35* Baseline Survey Template). Rather than reading off the questionnaire, it is more effective to allow the caregiver to freely recall what the child has eaten the previous day (**Note**: Do not count breast milk – it is only about complementary food diet):

- Ask the caregiver to list all the foods (meals and snacks) eaten yesterday by his/her child during the day and night. Start with the first food/drink consumed the day before in the morning.
- Ask the respondent to recall the foods, circle “yes=1” for those mentioned and also circle the corresponding foods in the appropriate food group for those mentioned.
- A score of 1 is assigned if an item from that food group was consumed at least once in the reference period, and 0 if not. Score will be either 0 or 1.
- If a mixed dish was eaten, ask about and underline all the ingredients of the dish. This is important. Remember for instance that oil cannot go alone; the baby did not eat oil only; all the ingredients contained in the dish must be marked = rice, okra, oil, etc.
- Once the recall is finished, probe for food groups where no food was underlined. Write “0” in the right hand column of the questionnaire when it is ascertained that no foods in that group were eaten.

How can the IDDS data be analysed and presented?

The data can either be presented as a pie chart or as a bar chart – see example below:



The above example shows the change of dietary diversity in children between the ages of 6 and 23 months in Amuru, Uganda. Of the selected beneficiaries only 8% of them had access to an acceptable diverse diet at the beginning of the program as seen through the results of the baseline survey. By the end of the program, this number had increased to 43%. In this context, the consumption of 1 to 4 food groups was considered poor, 5 to 8 was borderline and 9 to 13 was considered acceptable.

Cross-tabulating or triangulation of IDDS results with the other core indicators (See *Annexes 26 - 33*), additional socio-demographic and socio-economic can help identify correlations between these and the IDDS. Correlations support as well a better interpretation and understanding, in case of discrepancies and local particularities in contexts.

What are potential challenges with the IDDS?

- As for any participatory tool, an introductory discussion should be facilitated. As the IDDS should be part of an overall interview and not a lone standing tool, the overall introduction to the interview should capture that various topics will be discussed.
- The recall timeline includes the past 24hrs, which is easy to recall for interviewees. Though, a short term recall like IDDS, as compared to longer recall with the FCS, will provide information on a very short duration during the consumption of the household, and is hence more prone skewed results due to exemptions (e.g. special days, festivals, etc) rather than the rule (e.g. every day).
- The choice of which dietary diversity tool to use, i.e. FCS, HDDS, IDDS, depends on the objective of the implemented project. Given short term dietary diversity improvements or linkages to improved household income levels are considered, the HDDS might be the right tool (see Annex 26 Guidance Note on HDDS). Given focus on particular malnourished members in the household and linkages to care practices are considered, the IDDS (e.g. under 5 year olds or pregnant and lactating women) might be the right tool (see above). Given longer term impact and sustainability of quality of food diversity and consumption are considered, the FCS might be the right tool (see *Annex 28* Guidance Note on FCS).

QUESTIONNAIRE - Individual Dietary Diversity Score (IDDS)

Overview of the questionnaire: This questionnaire seeks to collect data on Individual Dietary Diversity. This is most likely to be used as part of a baseline and or endline survey and therefore also forms part of the ACF FSL baseline template.

How to complete this questionnaire:

- *Give a title + a code to your survey (see the general guidance)*
- *For multiple choice questions, insert correct code number (1, 2 etc) or **circle** appropriate answer, as directed.*

SURVEY INFORMATION			
Q1 I would like to ask you about the types of foods that your child ate yesterday (in the last 24 hours) during the day and at night. (The question should be asked of the caregiver on behalf of the child. Ask the question unprompted first and then read the list of foods below. Circle the food in question if anyone in the household ate it. Insert any local foods)			
(Circle the answer)		**Yes**	**No**
A	**Grains, roots or tubers**	**1**	**0**
B	**Vitamin A-rich plant foods**	**1**	**0**
C	**Other fruits or vegetables**	**1**	**0**
D	**Meat, poultry, fish, seafood**	**1**	**0**
E	**Eggs**	**1**	**0**
F	**Pulses/legumes/nuts**	**1**	**0**
G	**Milk and milk products**	**1**	**0**
H	**Foods cooked in oil/fat**	**1**	**0**
I	**Grains, roots or tubers**	**1**	**0**

QUALITY CONTROL

M&E supervisor_____ Date_____

Data entry_____ Date_____

For additional guidance on the IDDS, refer to FANTA's published guidance: *Household Dietary Diversity Score (HDDS) for Measurement of Household Food Access: Indicator Guide, VERSION 2, September 2006*

Annex 28: Food Consumption Score Guidance Note

What is the Food Consumption Score (FCS)?

It is an indicator of household dietary adequacy focusing principally on macronutrients and energy. It indicates if people are having sufficient food intake to lead a nutritionally balanced life.

How does the FCS differ from the Household and Individual Diversity Score (HDDS and IDDS)?

While the IDDS is used as a proxy measure of the nutritional quality of an individual's diet (see *Annex 27*), the HDDS is used as a proxy measure of the socio-economic level of the household (see *Annex 26*). The FCS is focusing on the overall adequacy of the food consumption (through frequency and quality) as compared to the simple dietary diversity. Recall periods for the three scores differ (7 days and 24hrs). The differences in the list of food groups used to construct the HDDS (12) and IDDS (8) and FCS (8) reflect the particular objectives of each score.

Why use the FCS?

It is an indicator for the nutritional adequacy of the food consumed on household level. It is a direct proxy indicator for nutritional status and through the 7 day recall established a longer term and more sustainable situation or change, as compared to a 24hrs recall, which might be biased towards special events and occasions.

When should FCS data be collected?

No particular timing for FCS data collection is recommended. Given it is one tool in a series of tools applied in households surveys, a similar timing as other tools, e.g. at the beginning of the project as baseline data or at the peak of the lean season is recommended.

How is FCS data collected?

As part of a household questionnaire (see below FCS Survey Template and *Annex 35* Baseline Survey Template), households are asked to state what food groups they consumed in the last 7 days and the frequency of consumption of each type in the **last 7 days**. Information does not need to be obtained on how many times a day each food type has been consumed. The food groups are reduced as compared to the HDDS, with only ten groups.

Each food group is given a weight based on its nutrient content and then multiplied by the number of days a household consumed one or more items from that group within a seven-day period.

Data for the FCS indicator is collected by asking the respondent a series of yes or no questions. These questions should be asked of the person who is responsible for food preparation, or if that person is unavailable, of another adult who was present and ate in the household the previous seven days. The questions refer to the household as a whole, not any single member of the household.

The respondent should be instructed to include the food groups consumed by household members in the home, or prepared in the home for consumption by household members outside the home (e.g. at lunchtime in the fields). As a general rule, foods consumed outside the home that were not prepared in the home should not be included. While this may result in an underestimation of the food consumption of individual family members (who may, for example, purchase food in the street), FCS is designed to reflect household food consumption, on average, among all members. Including food purchased and consumed outside the household by individual members may lead to overestimating FCS overall. However, in situations where consumption outside the home of foods not prepared in the household is common, survey implementers may decide to include those foods, and adapt to the local context. Such decisions should be clearly documented, so that subsequent surveys will use the same protocol and to ensure correct interpretation and comparison.

How is the FCS calculated?

As part of the baseline questionnaire, households are asked to state what food types they consumed in the **last 7 days** and the frequency of consumption of each type in the last 7 days. Information does not need to be obtained on how many times a day each food type has been consumed.

The consumption frequency of each food group is multiplied by an assigned weight that is based on its nutrient content (see Food Groups and Weights able below).

FCS = (staple frequency x staple weight) **+** (pulse frequency x pulse weight) **+** (veg frequency x veg weight) **+** (fruit frequency x staple weight) **+** (animal frequency x animal weight) **+** (sugar frequency x sugar weight) **+** (dairy frequency x staple weight) **+** (oil frequency x oil weight)

Food Groups and Weights				
No	**Food group**	**Food items**	**Weights**	**Reason for weights**
1	Cereals (Staples)	Maize, maize porridge, rice, sorghum, millet pasta, bread	2	Energy dense, protein content lower and poorer quality than legumes, micro-nutrients
2	Tubers (Staples)	Cassava, potatoes and sweet potatoes		
3	Pulses	Beans, Peas, groundnuts and cashew nuts	3	Energy dense, high amounts of protein but of lower quality than meats, micronutrients, low fat.
4	Vegetables	Vegetables and leaves	1	Low energy, low protein, no fat, micro-nutrients
5	Fruit	Fruits	1	Low energy, low protein, no fat, micro-nutrients
6	Meat and fish	Beef, goat, poultry, pork, eggs and fish	4	Highest quality protein, easily absorbable micronutrients, energy dense, fat. Even when consumed in small quantities, improvements to the quality of diet are large.
7	Milk	Milk yogurt and other diary	4	Highest quality protein, micro-nutrients, vitamin A, energy. However, milk could be consumed only in very small amounts and should then be treated as condiment and therefore reclassification in such cases is needed.
8	Sugar	Sugar and sugar products	0.5	Empty calories. Usually consumed in small quantities.
9	Oils	Oils, fats and butter	0.5	Energy dense but usually no other micronutrients. Usually consumed in small quantities.
10	Condiments	Condiments	0	

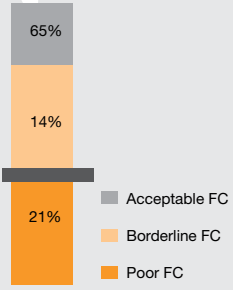
Source: WFP (2008) Measures of Food Consumption

What should the FCS target be?

The household FCS score can have a maximum value of **126**. Depending on whether the population falls into a typical threshold category (see column a)), and the population consumes oil and sugar on average on a daily basis (see column b)), the thresholds will vary as demonstrated in the table below. Depending on the local context, some additions can be made, but need to be well documented to ensure appropriate interpretation and consideration during the follow up surveys and endline monitoring.

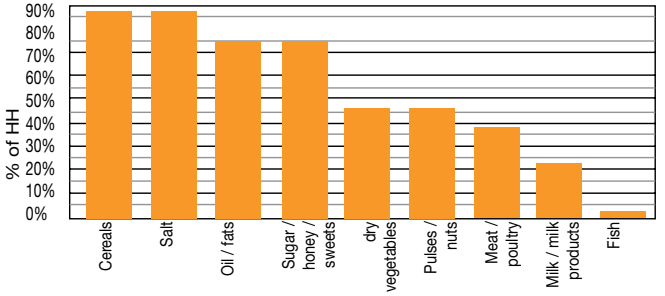
FCS Thresholds		
a) Typical Threshold	**b) Thresholds with oil and sugar eaten on a daily basis (~7 days per week)**	**Profiles**
0 – 21	0 –28	**Poor** food consumption
21.5 - 35	28.5 - 42	**Borderline** food consumption
> 35	> 42	**Acceptable** food consumption

The findings should be presented graphically to best represent proportions within the sampled group.



The distribution of the FCS by each "food consumption group" (i.e. poor / borderline / acceptable) should be presented as a bar for each location as it is carried out.

The % of households consuming each food group can then also be summarized in a bar chart as demonstrated:



Other questions to consider as part of the analysis include:

- Is there diversity in the local diet?
- Is the diet sufficiently nutritious? What proportions of households have a sufficiently nutritious diet?
- What are the main sources of proteins for the population?
- What are the most frequently consumed items? Which are less frequently consumed?

Cross-tabulating or triangulation of FCS results with the other core indicators (see *Annexes 26-31*), additional socio-demographic and socio-economic can help identify correlations between these and the FCS. Correlations support as well a better interpretation and understanding, in case of discrepancies and local particularities in contexts.

What are potential challenges with the FCS?

- As any participatory tool, an introductory discussion should be facilitated. As the FCS should be part of an overall interview and not a lone standing tool, the overall introduction to the interview should capture that various topics will be discussed.
- The FCS weighs protein rich elements of the diet stronger than food with micronutrient importance, e.g. fruits and vegetables, which are considered with lighter weighing. Especially in linkages with malnutrition, these nutrients need to be considered. It is hence advisable to be aware when interpreting the FCS, that micronutrient rich foods might not be sufficiently considered in the analysis, and hence this can be added during the interpretation of the data.
- The recall timeline includes the past 7 days, which for some interviewees might be difficult to recall. In contrary, a longer term recall, as compared to shorter recall with HDDS/IDDS, will provide more information about the longer term consumption in the households, and hence sustainability of any changes and impacts brought about by the intervention.
- The choice of which dietary diversity tool to use, i.e. FCS, HDDS, IDDS, depends on the objective of the implemented project. Given short term dietary diversity improvements or linkages to improved household income levels are considered, the HDDS might be the right tool (see *Annex 26* Guidance Note on HDDS). Given focus on particular malnourished members in the household and linkages to care practices are considered, the IDDS (e.g. under 5 year olds or pregnant and lactating women (WDDS)) might be the right tool (see *Annex 27* Guidance Note on IDDS). Given longer term impact and sustainability of quality of food consumption and its adequacy are considered, the FCS might be the right tool (see above).

QUESTIONNAIRE – Food Consumption Score (FCS)

Overview of the questionnaire: This questionnaire seeks to collect data on Household Food Consumption. This is most likely to be used as part of a baseline and or endline survey and therefore also forms part of the ACF FSL baseline template.

How to complete this questionnaire:

- *Give a title + a code to your survey (see the general guidance)*
- *For multiple choice questions, insert correct code number (1, 2 etc) or **circle** appropriate answer, as directed.*

SURVEY INFORMATION		
How many days, in the last 7 days, have you eaten the following food items?		**Number of times** (0-7)
Q36	**Cereals (maize porridge, rice, sorghum, millet pasta, bread, rice or other)**	
Q37	**Roots and tubers (cassava, potatoes, sweet potatoes or other)**	
Q38	**Pulses/legumes/nuts (beans, peas, chick peas or other)**	
Q39	**Vegetables and leaves**	
Q40	**Fruit**	
Q41	**Meat, poultry, offal (beef, goat, lamb, poultry), eggs, fish, seafood**	
Q42	**Milk/Dairy products (milk, yogurt, cheese or other)**	
Q43	**Sugar, sugar products, honey**	
Q44	**Oil/fats (oil, fat or butter)**	
Q45	**Condiments (spices, tea, coffee) or other miscellaneous food**	

Q46 Food consumption score calculation (NOT A QUESTION FOR RESPONDENT)	

QUALITY CONTROL

M&E supervisor_____ Date_____

Data entry_____ Date_____

For additional guidance on the FCS, refer to WFP's published guidance: *Food consumption analysis* - Calculation and use of the food consumption score in food security analysis, Version 1, February 2008

Annex 29: Household Food Insecurity Access Scale (HFIAS) Guidance Note

What is the HFIAS indicator?

Household Food Insecurity Access Scale (HFIAS) measures food security and its severity at the household level.

Why use HFIAS?

The HFIAS is a tool to assess whether households have experienced problems in food access in the preceding 30 days. The method stems from the idea that the experience of food insecurity causes predictable reactions and responses that can be measured and quantified through a survey and summarized in a scale. Qualitative research has shown that households experience food insecurity in the following ways:

- Feelings of uncertainty or anxiety over food;
- Perceptions that food is of insufficient quantity;
- Perceptions that food is of insufficient quality;
- Reported reductions of food intake;
- Reported consequences of reduced food intake;
- Feelings of shame for resorting to socially unacceptable means to obtain food resources.

A set of key questions based on these aspects have been developed to serve as a composite indicator for measuring the degree of household food insecurity and compare households along the same scale and continuum.

Increasing prevalence of food insecurity as measured by the HFIAS can identify seasonal food insecurity or an impending food crisis, and can be used to measure changes in food security over time. It is relevant in slow onset crises, protracted crises, chronic food insecurity settings and for surveillance at local level.

When should HFIAS data be collected?

Surveys should be administered at the same time each year in order to reflect the annual changes in household food insecurity. The scale is best used to analyze food insecurity during or immediately after the 'lean season' because this period is likely to count the greatest amount of affected households.

However, for purposes of geographic targeting, use of the scale during the 'lean season' may cloud results. The scale may not be able to distinguish between household food insecurity due to the 'lean season' and households that are chronically food insecure. It is important to make this distinction if the programme wants to target areas of greatest need.

How is HFIAS data collected?

The HFIAS should be integrated into a household survey (see HFIAS Survey Template below and *Annex 35* Baseline Survey Template).

Respondents are asked a set of nine questions to assess their general level of food security over the past four weeks (30 days). Questions focus on respondent's *perception* of food vulnerability or stress while other questions inquire about respondent's *behavioral responses* to food insecurity. Once questions are answered, there is a core set of data that can be analysed through different lenses in order to gain a better understanding of food insecurity in the targeted community.

Questionnaires should be completed in their entirety. As many of the calculations require the total number of surveys involved, incomplete questionnaires will skew the indicators and falsely represent conditions in the area.

Before administering the questionnaire, interviewers should discuss questions with key informants to refine questions and ensure they are relevant and culturally-specific. In particular, definitions for context-specific terms such as household and lack of resources should be developed and added to the questionnaire.

Questions are directed toward the person with the most involvement with food preparation in the household, as for most questions the respondent answers on behalf of the household and all its members.

There are two types of questions:

- Nine "occurrence" questions that represent a generally increasing level of severity of food insecurity, and ask whether a specific condition associated with the experience of food insecurity ever occurred during the previous four weeks (yes or no);

No.	Occurrence Questions
1.	In the past four weeks, did you worry that your household would not have enough food?
2.	In the past four weeks, were you or any household member not able to eat the kinds of foods you preferred because of a lack of resources?
3.	In the past four weeks, did you or any household member have to eat a limited variety of foods due to a lack of resources?
4.	In the past four weeks, did you or any household member have to eat some foods that you really did not want to eat because of a lack of resources to obtain other types of food?
5.	In the past four weeks, did you or any household member have to eat a smaller meal than you felt you needed because there was not enough food?
6.	In the past four weeks, did you or any household member have to eat fewer meals in a day because there was not enough food?
7.	In the past four weeks, was there ever no food to eat of any kind in your household because of lack of resources to get food?
8.	In the past four weeks, did you or any household member go to sleep at night hungry because there was not enough food?
9.	In the past four weeks, did you or any household member go a whole day and night without eating anything because there was not enough food?

- Nine "frequency of occurrence" questions that are asked as a follow-up to each occurrence question and inquire about *how often* a reported condition occurred during the previous four weeks (rarely, sometimes, often)

The HFIAS occurrence questions are grouped into three domains of food insecurity found to be common to most cultures. These are:

1. **Anxiety and uncertainty about the household food supply:**
   - Did you worry that your household would not have enough food?
2. **Insufficient Quality (includes variety and preferences of the type of food):**
   - Were you or any household member not able to eat the kinds of foods you preferred because of a lack of resources?
   - Did you or any household member have to eat a limited variety of foods due to a lack of resources?
   - Did you or any household member have to eat some foods that you really did not want to eat because of a lack of resources to obtain other types of food?

3. Insufficient food intake and its physical consequences:
   - Did you or any household member have to eat a smaller meal than you felt you needed because there was not enough food?
   - Did you or any household member have to eat fewer meals in a day because there was not enough food?
   - Was there ever no food to eat of any kind in your household because of a lack of resources to get food?
   - Did you or any household member go to sleep at night hungry because there was not enough food?
   - Did you or any household member go a whole day and night without eating anything because there was not enough food?

How is the HFIAS calculated?

The HFIAS tool yields information on food insecurity at the household level. Four types of indicators can be calculated to help understand the characteristics of and changes in household food insecurity in the surveyed population.

Indicator 1: HFIA-related Conditions investigate any level of food security that exists in the community. It gives the team a general idea of which households have food security issues and does not provide more in-depth information on the levels of food insecurity. It is calculated by totaling the number of households that answered a question affirmatively about having any level of food insecurity, dividing that number by the number of respondents to the question, and multiplying by 100. This provides a percentage of the households surveyed that experience food insecurity.

Household Food Insecurity Access-related Conditions Households experiencing condition at any time during the recall period.	Percent of households that responded, "yes" to a specific occurrence question. For example, "Percent of households that ran out of food." Example: $\frac{\text{Number of households with resonse = 3 to Q7a}}{\text{Total number of households responding to Q7}} \times 100$

Households experiencing condition at any given frequency	Percent of households that responded, “often” to a specific frequency-of-occurrence question. For example, “Percent of households that ran out of food often.” Example: Number of households with resonse = 3 to Q7a _____ X 100 Total number of households responding to Q7

Indicator 2: HFIA-related domain examines food insecurity more specifically, measuring the level of food insecurity by inquiring about the frequency of food security problems. It is calculated by totaling the number of households that gave the same response about their level of insecurity (rarely, sometimes, or often), dividing by the total number of respondents to the question, and multiplying by 100. The quotient is the percent of households that experience food insecurity at the specific level being considered.

Household Food Insecurity Access-related Domains Households experiencing any of the conditions at any level of severity in each domain.	Percent of households that responded, “yes” to any of the conditions in a specific domain. For example, “Percent of households with insufficient food quality.” Example: Number of households with resonse = 1 to Q2 OR 1 to Q3 OR 1 to Q4 _____ X 100 Total number of households responding to Q2 OR Q3 OR Q4

Indicator 3: HFIA Scale Score looks at a one-month period to understand how much of an effect food insecurity has on households. Calculation involves three steps. Response options are given numbers, with higher numbers corresponding to the more frequent occurrence of food insecurity. First, the range is determined by calculating the lowest and highest possible scores. Next, each household’s survey is totaled using the scores corresponding to each response level. Lastly, scores are averaged by summing all of the household survey scores and dividing by the number of households in the surveys. This provides the indicator of how food insecure the community is on the whole over a longer term.

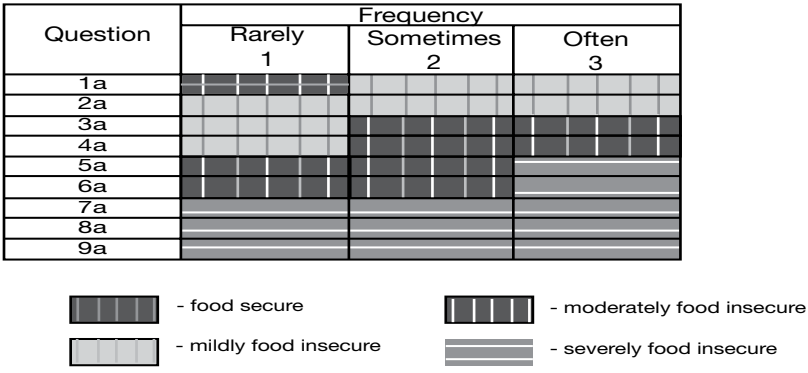
HFIAS Score (0-27)	Sum of the frequency-of-occurrence during the past four weeks for the 9 food insecurity-related conditions Sum frequency-of-occurrence question response code (Q1 + Q2a + Q3a + Q4a + Q5a + Q6a + Q7a + Q8a + Q9a)

Average HFIAS Score	Calculate the average of the Household Food Insecurity Access Scale Scores Sum of HFIAS Scores in the sample _____ X 100 Number of HFIAS Scores (i.e. households) in the sample

Indicator 4: HFIA Prevalence investigates the levels of severity of food insecurity. Certain questions in the survey hold more weight than others and are more indicative of the food insecurity of a household. Based on household responses to these more serious questions, questionnaires are used to categorize households as being food secure, mildly insecure, moderately insecure, or severely insecure (from least to most insecure). This indicator is calculated by dividing the number of households that fall into a certain category of severity by the total number of households being categorized, then multiplying by 100 to get the percent of households that are food (in)secure at that specific level.

What should the HFIAS target be?

The table below illustrates this categorization, which is designed to ensure that a household's set of responses places them into a single, unique category.



Cross-tabulating or triangulation of HFIAS results with the other core indicators (See *Annexes 26-31*), additional socio-demographic and socio-economic can help identify correlations between these and the HFIAS. Correlations support as well a better interpretation and understanding, in case of discrepancies and local particularities in contexts.

What should the target be?

Because the HFIAS is a continuous indicator that acts as a relative measure of food insecurity, no threshold or target value has been established. Different population groups or geographic areas can be compared by situating them along a continuum or placing them into categories based on the measured score, scale or prevalence, and conclusions drawn about their relative levels of food insecurity.

What are potential challenges with the HFIAS?

- As any participatory tool, an introductory discussion should be facilitated. As the HFIAS should be part of an overall interview and not a lone standing tool, the overall introduction to the interview should capture that various topics will be discussed.
- The HFIAs demands a long recall period, this might be difficult for some interviewees and households and can be supported with the creation of an event calendar, seasonal calendar or festival calendar which can support the definition and identification of the various timelines and recalls throughout the year.
- The HFIAS is a good tool to compare annual changes and overall changes of the household, hence linking to impact measurement of the project or intervention. Combined with the other core indicators (see *Annexes 26-33*), the HFIAS provides a complementary piece of information to assess and understand household food security levels.

- The HFIAS should not be used for identifying beneficiaries of assistance. The data is relevant for community targeting, but not individual household targeting.
- The HFIAS is incorporates coping strategies employed by the household. Hence the coping strategy index can be extracted from the HFIAS data collection, and depending on the context, can be used as a separate indicator on household livelihoods and food security levels.
- The HFIAS can be facilitated as part of a households level surveys, but can as well be used as a discussion point in a focus groups discussion within the community or a groups of key informants, e.g. women and care takers, farmers, elders, chiefs etc.

QUESTIONNAIRE - Household Food Insecurity Access Scale (HFIAS)

Overview of the questionnaire: This questionnaire seeks to collect data on Household Dietary Diversity. This is most likely to be used as part of a baseline and or endline survey and therefore also forms part of the ACF FSL baseline template.

How to complete this questionnaire:

- *Give a title + a code to your survey (see the general guidance)*
- *Insert correct code number (1, 2 etc) or **circle** appropriate answer, as directed.*

SURVEY INFORMATION			
Q1. In the past 4 weeks, did you have to worry about food for your household?			
	Question	**Response Options**	**CODE**
1	In the past four weeks, did you worry that your household would not have enough food?	0=No (skip to Q2) 1=Yes	
1a	How often did this happen?	1=Rarely (once or twice in the past four weeks) 2=Sometimes (three to ten times in the past four weeks) 3=Often (more than ten times in the past four weeks)	
2	In the past four weeks, were you or any household member not able to eat the kinds of foods that you preferred because of a lack of resources?	0=No (skip to Q3) 1=Yes	
2a	How often did this happen?	1=Rarely (once or twice in the past four weeks) 2=Sometimes (three to ten times in the past four weeks) 3=Often (more than ten times in the past four weeks)	
3	In the past four weeks, did you or any household member have to eat a limited variety of foods due to a lack of resources?	0=No (skip to Q4) 1=Yes	

3a	How often did this happen?	1=Rarely (once or twice in the past four weeks) 2=Sometimes (three to ten times in the past four weeks) 3=Often (more than ten times in the past four weeks)	
4	In the past four weeks, did you or any household member have to eat some foods that you really did not want to eat because of a lack of resources to obtain other types of food?	0=No (skip to Q5) 1=Yes	
4a	How often did this happen?	1=Rarely (once or twice in the past four weeks) 2=Sometimes (three to ten times in the past four weeks) 3=Often (more than ten times in the past four weeks)	
5	In the past four weeks, did you or any household member have to eat a smaller meal that you felt you needed because there was not enough food?	0=No (skip to Q6) 1=Yes	
5a	How often did this happen?	1=Rarely (once or twice in the past four weeks) 2=Sometimes (three to ten times in the past four weeks) 3=Often (more than ten times in the past four weeks)	
6	In the past four weeks, did you or any household member have to eat fewer meals in a day because there was not enough food?	0=No (skip to Q7) 1=Yes	
6a	How often did this happen?	1=Rarely (once or twice in the past four weeks) 2=Sometimes (three to ten times in the past four weeks) 3=Often (more than ten times in the past four weeks)	
7	In the past four weeks, was there ever no food to eat of any kind in your household because of a lack of resources to get food?	0=No (skip to Q8) 1=Yes	
7a	How often did this happen?	1=Rarely (once or twice in the past four weeks) 2=Sometimes (three to ten times in the past four weeks) 3=Often (more than ten times in the past four weeks)	

8	In the past four weeks, did you or any household member go to sleep at night hungry because there was not enough food?	0=No (skip to Q9) 1=Yes	
8a	How often did this happen?	1=Rarely (once or twice in the past four weeks) 2=Sometimes (three to ten times in the past four weeks) 3=Often (more than ten times in the past four weeks)	
9	In the past four weeks, did you or any household member go a whole day and night without eating anything because there was not enough food?	0=No 1=Yes	
9a	How often did this happen?	1=Rarely (once or twice in the past four weeks) 2=Sometimes (three to ten times in the past four weeks) 3=Often (more than ten times in the past four weeks)	

Q2. HFIAS calculation (NOT A QUESTION FOR RESPONDENT)	

QUALITY CONTROL

M&E supervisor_____ Date_____

Data entry_____ Date_____

For additional guidance on the HFIAS, refer to FANTA's published guidance: *Household Food Insecurity Access Scale (HFIAS) for Measurement of Food Access: Indicator Guide VERSION 3*, August 2007.

Annex 30: Months of Adequate Household Food Provisioning (MAHFP) Guidance Note

What is the MAHFP indicator?

This indicator captures "changes in a household's ability to address vulnerability in such a way as to ensure that food is available above a minimum level [9 months] all year round".

Groups below the poverty threshold generally have less than 9 Months of Adequate Household Food Provisioning (MAHFP). This means that these households can only assure that all household members received adequate food for less than 9 months in the year and that the other 3 months of the year, they survive through other activities and coping strategies, e.g. decreased consumption, seeking credit, selling productive assets, obtaining informal private transfers, and/or utilizing government and/or NGO support through social protection strategies such as provision of food assistance etc.

The number of MAHFP generally varies based on the level of household production, assets, and cash earnings available to purchase food. This can also vary based on the shocks and risks households face during a particular year, and their capacity to cope with them.

MAHFP is also known as the "annual food gap" (acknowledging that food insecure households generally face a "lean season"), and helps to categorize groups and measure their capacity to cope with food insecurity.

Why use MAHFP?

Measuring the MAHFP can capture the combined effects of a range of interventions and strategies, such as improved agricultural production, storage and interventions that increase the household's purchasing power.

When should MAHFP data be collected?

It should be collected during the period of greatest food shortages (e.g. just before harvesting), to increase accuracy of recall of the months when household food supplies are insufficient. Follow-up data should be collected at the same time of year.

How is MAHFP data collected?

Data for this indicator should be collected by first screening out those households that were able to provide for their household food needs throughout the entire year (see *Annex 28*: MAHFP Survey Template and *Annex 35*: Baseline Survey Template). Those households that were unable to adequately provide for the household (Q1 in template) then go on to Q2 where they are asked to identify in which months (during the past 12 months) they did not have access to sufficient food to meet their household needs. The purpose of these questions is to identify the months in which there is limited access to food regardless of the source of the food (i.e. production, purchase, barter or food assistance).

Although the response options start with the month of January, the respondent is asked to think back over the previous 12 months, starting with the current month. Adjust the months according to when you conduct the survey so that the current month appears first.

These questions should be asked of the person (adult) who is responsible for food preparation in the household. If the food was prepared by a child/youth, the question should not be asked of the child/youth who actually prepared food but rather of the adult (usually a woman) who makes the daily decisions about what will be prepared and eaten. The questions refer to the food needs of the household as a whole, not any single member of the household.
Those households that respond to Q1 saying they did have adequate food supply throughout the

past year should still be included in the tabulation of the denominator of the indicator ("total number of households") or the level of food insecurity will be overestimated (see below).

How is the MAHFP calculated?

The tabulation of responses is a tally of total months.

Step 1: First, calculate the MAHFP (0-12) for each household surveyed in the sample:

MAHFP = 12 months minus the total number of months out of the previous 12 that the household was unable to meet their food needs.

(12) - Sum (1 + 2 + 3 + 4 + 5 + 6 + 7 + 8 + 9 + 10 + 11 + 12)

Step 2: Calculate an average for all the households surveyed in the sample. The denominator should include all households interviewed, even those who did not experience any months of inadequate household food provisioning.

$$\textbf{Average MAHFP} = \frac{\text{Sum of the MAHFPs for all households in the sample}}{\text{Total Number of Households}}$$

What should a MAHFP target be?

For longer term programmes, this is still a grey area. However, two options are proposed to determine appropriate targets.

1. The first option is to use the months of adequate food provisioning of the top tercile (33%) of the households as a target. The MAHFP indicator is an average of all the households in the sample, as explained above. To set the target the average, not of the entire sample, but only of one-third of the sample, those households that scored highest on the MAHFP can be taken. To do this, first list the MAHFP scores of all the households in order from lowest to highest, then cut the sample into equal thirds. Calculate the average MAHFP score of the top tercile and use this as the target for the entire population.

2. Because projects using the MAHFP indicator often include interventions aimed at increasing household income, surveys sometimes collect income or economic status information. If income data are available, the sample could be divided into three income groups (terciles of income), and the average months of adequate food provisioning could be calculated for the richest income tercile. The average MAHFP in the richest 33 % of households can then serve as a target number of months of adequate food provisioning. Where income data are not available, income groups can be defined using proxies, such as possession of assets or other items found to be highly correlated with income in the project population.

Cross-tabulating or triangulation of MAHFP results with the other core indicators (See *Annexes 26-33*), additional socio-demographic and socio-economic can help identify correlations between these and the MAHFP. Correlations support as well a better interpretation and understanding, in case of discrepancies and local particularities in contexts.

What are potential challenges with the MAHFP?

- As any participatory tool, an introductory discussion should be facilitated. As the MAHFP should be part of an overall interview and not a lone standing tool, the overall introduction to the interview should capture that various topics will be discussed.
- Interviewed individuals and households might be confused with the concept of months. The

creation of an event calendar, seasonal calendar or festival calendar might be feasible to support the definition and identification of the various months throughout the year. A ranking of the various months by food sufficiency levels might support this too, and small cards with local names of the months can be used to lay the months out from most food sufficient to least food sufficient.

- The definition of adequate and/or sufficient food depends on the local context and needs to be defined locally. To do so, local food consumption habits (e.g. key staple cereal) and the number of households members need to be investigated to develop a level of adequacy which is acceptable. WFP will likely have a local calculation for the provision of a general ration distribution for a household, which could be used as a reference and further adaption for adequacy.
- Interviewees, especially if the most vulnerable, might state to always be hungry and never have access to sufficient food. Given this situation it is recommendable to nevertheless establish seasonality of hunger throughout the year where they are hungrier than other times. This will hence still permit a comparative analysis with the baseline and endline data, following the project implementation.
- Different livelihoods (e.g. agricultural vs pastoral) might have different ways of assessing their sufficient or adequate access to food. Agriculturists stock their harvest and hence have an easy access to the information, whereas pastoralists exchange livestock throughout the year to ensure household level access to food. This needs to be considered during the sampling, analysis and interpretation stage of the data.
- Differences of MAHFP responses may similarly happen in urban and rural areas. Rural areas might again rather rely on their own production and stock and hence sufficiency might be easy to assess. Urban households might be more market dependent and hence will have different elements to consider to assess their food sufficiency. As above, this needs to be considered during the sampling, analysis and interpretation stage of the data.

QUESTIONNAIRE - Months of Adequate Household Food Provisioning (MAHFP)

Overview of the questionnaire: This questionnaire seeks to collect data on months of adequate household food provisioning. This is most likely to be used as part of a baseline and or endline survey and therefore also forms part of the ACF FSL baseline template.
How to complete this questionnaire:

- *Give a title + a code to your survey (see the general guidance)*
- *For multiple choice questions, insert correct code number (1, 2 etc) or **circle** appropriate answer, as directed.*

SURVEY INFORMATION		
Q1. I would like to ask you about your household's food supply during different months of the year. When responding to these questions, please think back over the last 12 months, from now to the same time last year. (Circle the answer given)	**Yes**	**No**
Were there months, in the past 12 months, in which you did not have enough food to meet your family's needs?	**1**	**0**

If the answer is **no**, discontinue questioning.
If the answer is **yes**, proceed to Q2.

Q2. Which were the months in the past 12 months during which you did not have enough food to meet your family's needs? (include any kind of food from any source, including own production, purchase, exchange, from food aid, or borrowing)
(Do not read the list of months out. Circle the months that the respondent identifies as months in which the household did not have enough food to meet their needs. Use a season calendar if needed to help the respondent remember different months. Probe to make sure the respondent has thought about all the past 12 months.)

1	**January**		**8**	**July**	
2	**December**		**9**	**June**	
3	**November**		**10**	**May**	
4	**October**		**11**	**April**	
5	**September**		**12**	**March**	
6	**August**		**13**	**February**	

Total months (insert total number of months circled as months without enough food) _____
_____

QUALITY CONTROL

M&E supervisor_____ Date_____

Data entry_____ Date_____

For additional guidance on the MAHFP, refer to FANTA's published guidance: *Months of Adequate Household Food Provisioning (MAHFP) for Measurement of Household Food Access: Indicator Guide VERSION 4*, June 2010

Annex 31: Mid-Upper Arm Circumference (MUAC) Guidance Note

What is the Mid-Upper Arm Circumference (MUAC) and how should it be used?

MUAC is used for children 6-59 months. As it is essential to use 6 months as the age cut-off, it is not recommended to use a height cut-off as a proxy for 6 months of age since in a stunted population many infants 6 months or older will have a height less than 65 centimetres (cm). If the birth date is unconfirmed, use the recall of the mother/caregiver to estimate the infant's age. As a last resort, children between height of 65-110cm can be included in the measurement.

MUAC is a general indicator for risk to morbidity and mortality.

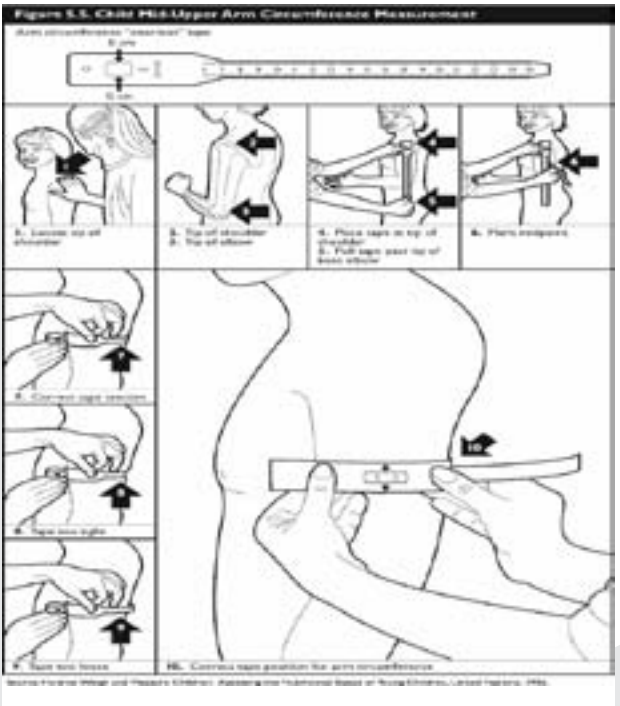
Why measure the MUAC?

ACF food security and livelihood activities are aligned to have a contributing effect to the prevention of malnutrition. Hence impact of food security and livelihood interventions should have a measurable impact on malnutrition at household and community level. The MUAC is only one anthropometric indicator that can be used as a proxy indicator to establish the change of risk to malnutrition. As ACF will not be able to do representative anthropometric nutrition, SMART surveys as baseline and endline for each FSL intervention, due to cost, time and other resources, the MUAC is a good indicator for a nutrition consideration while measuring impact of FSL interventions.

How to take MUAC measurement

For demonstration, see flow chart below for guidance, and here for steps taken to establish correct MUAC measurement. The measurement should be part of a population-based survey applied to all the households in the sample (see below MUAC Survey Template and *Annex 35* Baseline Survey Template).

- **NB**: MUAC is always taken on the left arm.
- Measure the length of the child's upper arm; between the bone at the top of the shoulder and the tip of the elbow (the child's arm should be bent).
- Find the midpoint of the upper arm and mark it with a pen. It is recommended to use a string instead of the MUAC tape to find the midpoint.
- The child's arm should then be relaxed, falling alongside his/her body.
- Wrap the MUAC tape around the child's arm, such that all of it is in contact with the child's skin. It should be neither too tight nor too loose.
- For the numbered tapes, feed the end of the tape down through the first opening and up through the third opening. The measurement is read from the middle window where the arrows point inward. MUAC can be recorded with a precision of 1 millimetre (mm).
- For the simple three-color tape (red, yellow, green), slide the end through the first opening and then through the second opening. Read the colour that shows through the window at the point the two arrows indicate.



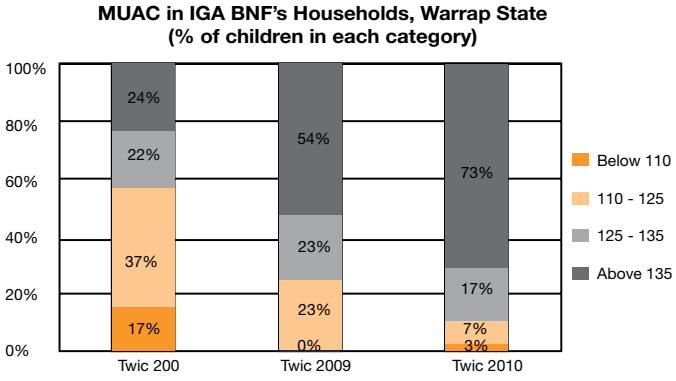
How can the MUAC data be analysed and presented?

In the context of monitoring and evaluation, the MUAC is not used to assess the prevalence of malnutrition or the prevalence of risk to mortality in a population (e.g. children under five years of age), but to establish a change over time of the number of children in participant households which fit into a certain category of MUAC thresholds.

The following thresholds apply:

Colour	MUAC Measurement	Indicator
Red	< 11.5cm	Severe Acute Malnutrition
Orange	11.5 – 12.5cm	Moderate Acute Malnutrition
Yellow	12.5 - 13.5 cm	At risk of Acute Malnutrition
Green	> 13.5 cm	No Acute Malnutrition

The MUAC results can be presented in form of a bar chart (see below), indicating the proportion of each category present in the overall sample. Colouring in the respective colours may help the interpretation of the assessed situation.



Cross-tabulating or triangulation of MUAC results with the other core indicators (See *Annexes 26-33*), additional socio-demographic and socio-economic can help identify correlations between these and the MUAC. Correlations support as well a better interpretation and understanding, in case of discrepancies and local particularities in contexts.

What are potential challenges with the MUAC?

- As for any participatory tool, an introductory discussion should be facilitated. As the MUAC should be part of an overall interview and not a lone standing tool, the overall introduction to the interview should capture that various topics will be discussed.
- MUAC measurement use the left arm of the child, as the vast majority of people in the world are right handed. Hence the left arm is less used and less powerful, hence the muscle will be slightly less strong and developed. This will permit a correct measurement of the nutritional status, instead of the muscular development on the right arm.
- The nutrition team can be of help to train the monitors and FSL team in the taking of the MUAC measurement to ensure coherent and quality information being collected.
- The number of children under five years of age in the households between the baseline and endline data collection might change, due to children maturing. This is generally not a problem due to several aspects: a) often new births will enter the sample and replace matured children, and b) the measurement does not try to establish comparative data for the same child before and after, but the number of children below a certain threshold. Hence the important aspect is to facilitate a similar number of children under five in the sample.
- An interviewee household might host several children at the time of the interview. Similarly, in a polygamous household, the number of children might by plenty. It is of importance to establish the "real" children belonging to the household participating in the project or intervention (not cousins and neighbours), as the project's impact on the nutritional status is tried to be measured with the MUAC.
- The nutritional status of children and vulnerable populations often underlies a seasonality linked to food security, hence reducing during the lean season and improving during the post-harvest season. It is therefore important to understand the timing of the baseline data collection, ensure that endline data is collected in the same season or at least analysis and interpretation are considering the difference in timing and seasonality, which will explain the difference in results.

- In general and due to the above, it might be interesting to take the MUAC measurement more regular (not only during baseline and endline) to be able to continuously observe and monitor change in nutritional status of the under five years of age households members , throughout the implementation of the project or interventions.
- Linkages to the nutrition programme team screening exercises and surveillance activities should be established to use the existing MUAC/anthropometric data, and as well contribute with the taken MUAC measurements.
- Lastly, if during the MUAC measurement for the above M&E purposes a child is identified to be in the red or orange categories (severely or moderately malnourished), the FSL or M&E team needs to refer the child to the next health or nutrition centre to receive treatment and attention. This would demonstrate best practice of integrated programming between the FSL and nutrition teams.

QUESTIONNAIRE – Mid Upper Arm Circumference (MUAC)

Overview of the questionnaire: This questionnaire seeks to collect data on Mid Upper Arm Circumference. This is most likely to be used as part of a baseline and or endline survey and therefore also forms part of the ACF FSL baseline template.
How to complete this questionnaire:

- *Give a title + a code to your survey (see the general guidance)*
- *For MUAC measurement fill the child's name, age and MUAC reading into the table:*

MUAC readings of all children under five years of age (or between 65-110cm height) present in the household during the time of interview:		
Name of the child	**Age or Height**	**MUAC reading in mm**
1		
2		
3		
4		
5		
6		

QUALITY CONTROL

M&E supervisor_____ Date_____

Data entry_____ Date_____

Annex 32: Market Price Survey Guidance Note

What is the Market Price Survey?

A market survey is an analysis done in order to understand the local economic exchange structure, the way that markets are performing and the terms of trade.

Why use the Market Price Survey?

While subsistence activities remain key sources of livelihood in many rural societies, markets form the backbone of economies everywhere. Today, most people live in cash or mixed economies and are at least partially reliant on markets to meet their basic household needs. Markets and systems of informal exchange are particularly important for urban households and displaced persons who will have negligible, if any, home production.

Additionally, market prices have a major impact on household's food and nutrition security during lean seasons, when many households tend to complement their own production and empty stocks with purchase on local markets. Hence, increasing food prices are directly linked with decreasing economic access to food and other items on the markets, leading to food insecurity.

The market survey is therefore used in order to inform actors on price stability, supply and demand of goods and services, viability of a cash-based intervention and availability and access to food. It provides data in order to make an accurate analysis of the market and to understand:

- Linkages between markets on different levels (national, regional, district)
- How markets have been affected by the shock, how well they are functioning and what are the main constraints on their activity
- The extent to which market disruption has affected food availability and food access, using terms of trade as a food access indicator
- The extent to which markets can deliver food and other essential commodities at affordable prices for affected populations
- The functioning of labour markets and their contribution to household food access and livelihoods in the area
- The capacity of markets to absorb large-scale sales of assets
- The appropriateness of cash-based interventions
- The potential for local/regional procurement of relief materials and impacts on prices
- The triangulation of information and data to ensure appropriate interpretation and measuring of impact, e.g. linkages to household income and expenditure pattern, dietary diversity, HFIAS and MAHFP, etc.

When should the Market Price Survey data be collected?

Regular market price surveys should be collected to follow up on trends (availability, accessibility), to better understand the impact of interventions on the market and to serve as early warning component. The frequency of the surveys has to be adapted to the context, the season, the resources and the capacities to analyze (bi-weekly, monthly, quarterly, pre- and post distribution etc). During the lean season biweekly data collection might be indicated, in the post harvest season monthly might be sufficient.

Market data collections needs to be included in assessments in order to form a baseline to which all future information can be compared.

How is Market Price Survey data collected?

Methods should be participatory and allow key market players to sketch the various factors influencing the market chain. Discussions with traders and households on the existing problems and solutions combined with very simple price analysis can be a good basis to identify appropriate responses to address lack of effective demand and potentially low market supplies. The recommended approach entails working with people who know the markets, both domestic and regional, and are familiar with the history of the area. Market information sources can be both quantitative and qualitative. Qualitative sources refer to consumers', suppliers and traders' opinions and perceptions, while quantitative data includes prices in a particular place, and volumes traded.

Qualitative data is derived from semi-structured interviews with key informants, discussions with focus groups, and observation. Sampling of traders is usually purposive. Sampling of households (for general data collection including some specific data on markets) can be purposive or random.

What needs to be included in the data collection process?

Key information that should be collected include:

- Geographic location of markets; areas covered; commodities traded
- Sources of staple goods; trade flows; constraints on transport
- Price movements for a reduced food basket and fuel commodities
- Impacts on market supply (food availability) and consumer demand
- Impacts on labour supply and daily wage rates
- Access to capital investment by traders
- Household terms of trade

For the regular market price survey, the focus can be on the price trends for commodities and income sources and their relationship (see template below and in *Toolkit 22*).

How can the data be analysed and presented?

The data is presented in tables for detailed reference and graph development to highlight trends (see template below and in *Toolkit 22*).

In an accompanying narrative the relationship between potential income and expenses should be discussed (Terms of trade table and graph below). Local prices and trends should be related to regional or national trends (if available) to check if the area surveyed complies with the overall situation development or needs specific attention.

Where available, the analysis should refer to previous years to obtain a deeper understanding of market mechanisms, seasonality and their impact on the surveyed population.

What are potential challenges with the Market Price Survey?

- As any participatory tool, an introduction should be facilitated to explain to the key informant or group the various topics which will be discussed during the interview.
- The standardisation of units and samples needs to be ensured, at least within the same region or country. For example, a "tin" of cereal will need to be weight and converted into kilogram's to make it comparable. Similarly, the market price collection for e.g. a goat, will need an agreement on what type of goat, i.e. species, size, age, gender, etc. Once this is agreed, all market monitors will be able to ensure the collection of prices for similar samples. Similarly different brands of the same product, e.g. soap or milk powder, might be available. In this particular case, the most

frequented and preferred brand by the most vulnerable population should be chosen for price monitoring.

- Terms of trade can be established for various goods or services. Depending on the local context and livelihoods, terms of trade between livestock and cereal, e.g. ram and millet, or casual labour and cereal, e.g. one day labour and millet, can be established and provide important complementary information to understand household food access.
- In some contexts, e.g. following a quick onset emergency or where markets are controlled, the black market might be an important component to consider, when trying to estimate and measure household access to food, services and other goods. It might be difficult to obtain concrete information, and hence close collaboration with the national team and partners, e.g. drivers and guards, might be helpful, as they tend to have access to this type of information.
- Price instability and fluctuation is often difficult to estimate, predict and interpret. Hence additional qualitative information and triangulation of information is of utmost importance to ensure correct interpretation and conclusion of the collected available data. Seasonal price fluctuation might be predictable as such, but timely onset of the fluctuation might change according to production, supply and demand, population movements, market controls, festivals and other mechanisms and events.
- Often market systems are closely linked and connect a large geographical area, i.e. from sub-regional to national and local level. It can be difficult to cover the entire market network, and hence close collaboration with other partners and stakeholders might be interesting to reach a larger coverage and better understanding of market dynamics. More so if working with partners, a clear agreement and definition of units and samples needs to be ensured (see above).
- The choice of markets to be monitored should be considered in link with other market monitoring systems. Often government and other partners, e.g. FEWSnet, collect market price information for bigger markets and economic centres. These are valuable data and information to cover a larger area of market dynamics and linkages. Nevertheless, the most vulnerable population, and hence population targeted by project interventions, will frequent and use their local markets rather than large economic centres for simple reasons of access and travel distance. Hence identification of local markets and price collection on that level are important and complementary to the larger picture price collections.

QUESTIONNAIRE – Market Price Survey (see Toolkit 22)

Price Monitoring

Country: Base: Site/market:	NB : you need to ensure that your local staple measure units are translated into kg ! Name of local measure: 1 local measure= kg Local currency: 1 Euro/$ =

IN KG **Year :** **year**

Staple	Jan	feb	march	apr	may	june	july	aug	sept	oct	nov	dec	jan
Maize	300	250	250										
Rice	275	300	300										
Cassava	325	350	375										
Beans	350	350	360										
Sorghum	375	450	400										

IN LOCAL CURRENCY **Year :** **year**

Income source	Jan	feb	march	apr	may	june	july	aug	sept	oct	nov	dec	jan
Daily labour	1500	1750	1500										
Sale of ani-mals	10000	8500	8100										
Sale of cash crop	10000	9000	6000										
Sale of fish	5500	9000	6000										
Sale of fire-wood	3500	3000	3000										

Year **year**

	Jan	feb	march	apr	may	june	july	aug	sept	oct	nov	dec	jan
staple 1 with income 1	5,00	7,00	6,00	-	-	-	-	-	-	-	-	-	-
staple 1 with income 2	33,33	34,00	32,40	-	-	-	-	-	-	-	-	-	-
staple 2 with income 1	5,45	5,83	5,00	-	-	-	-	-	-	-	-	-	-
staple 2 with income 2	36,36	28,33	27,00	-	-	-	-	-	-	-	-	-	-

Annex 33: Counting Beneficiaries Guidance Note

What is the counting beneficiary indicator?

Counting beneficiaries is a basic process indicator to follow ACF project or programme implementation, and its achievements in concordance with Project Log Frame (LFA) beneficiary agreements. ACF has a format designed and used across all missions, which is the Activity Progress Report (APR, see Toolkit 14), indicating every months how much of each activity has been reached. Beneficiaries are counted according to ACF protocol.

Why use beneficiary counting?

Counting beneficiaries has a twofold objective: it facilitates the measuring of achievements in accordance with the project proposal, and it permits the establishment of coverage of the project activities, in correlation with the overall population identified to be in need. Often more beneficiaries are reached then initially planned for. Beneficiary counting is a performance indicator.

When should beneficiary counting data be collected?

Beneficiary counting data is collected from the beginning of the project implementation. The goals of how many beneficiaries the project will reach are established in the proposal and LFA. Throughout the programme implementation a monthly update of how many beneficiaries have been reached, will be added to the already achieved. Hence at any moment, it should be possible to define how many beneficiaries have been supported and reached out of the overall goal.

Counting beneficiary data the basic rules:

1. Direct and indirect beneficiaries are counted separately (see details below)
2. Sectoral (WASH, NUT, FSL) beneficiaries are counted separately
3. Beneficiaries are not double counted in case they participate in several activities under the same sector, e.g. FSL OGA and cooking activities.

How to count beneficiaries?

Project Beneficiaries are those who will derive some benefit from the implementation of the project. Two types of beneficiaries can be defined:

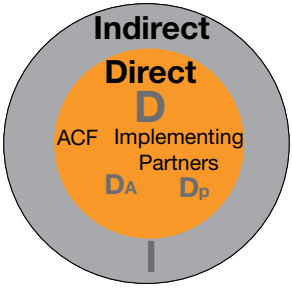
✓ Direct Beneficiary

✓ Indirect Beneficiary

DIRECT BENEFICIARY (D)
Direct beneficiaries are those verifiable individuals who participate in a project conducted by ACF and/or its implementing partners and receive some benefits from the project (training, input, assets, care, services, etc).

✓ ACF Direct beneficiaries (Da)

✓ Implementing partners Direct beneficiaries (Dp)



Total Direct beneficiaries D per sector is the sum of Da + Dp without double counting

INDIRECT BENEFICIARY (I)
Indirect beneficiaries are those living within the catchment area of the project that can obtain a benefit but haven't direct contact with an ACF intervention.

Case 1: ACF & Partners targeting different beneficiaries

✓ Example Food Security and Livelihoods

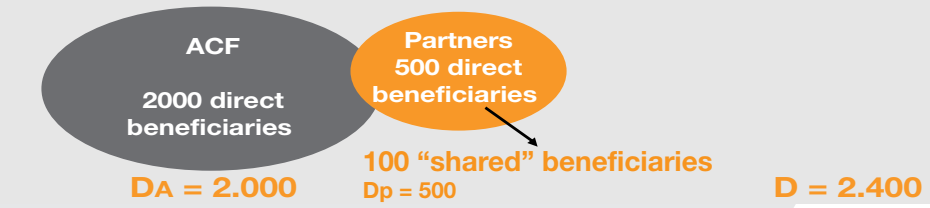
ACF is targeting 2000 people (Da) for emergency food assistance and is providing food as well to a local NGO for distribution to 500 people (Dp) in another area.
This number of 2500 (Da + Dp) with be gathered to monitor the beneficiary indicator.

Case 2: ACF & Partners targeting different beneficiaries and shared beneficiaries

✓ Example Food Security and Livelihoods

ACF is targeting 400 households with an agricultural/income generating activity programme. This presents 2000 people (with an average of 5 people per household). The implementing partner is responsible for the IEC component for 100 households and for 400 households not included in the income generating activity programme.

Hence Da = 2000 ; Dp = 500 of which with have to deduce 100 people already included in Da; total D (Da + Dp) without double-counting will add-up to 2400.



Case 3: ACF & Partners targeting shared beneficiaries

✓ Example Food Security and Livelihoods

ACF is targeting 2000 beneficiaries involved in a vegetable gardening programme. In the same area, the local partner (an NGO specialised in adult education/literacy) is targeting 500 people, improving the management capacity of group leaders.

As these 500 people are already part of the beneficiaries of the overall ACF programme they will be counted as Dp but to avoid double counting Da + Dp will be equal to 2000.

How to define the catchment area for counting indirect beneficiaries?

In both, urban and rural contexts, the expected number of people who could indirectly benefit from the project in a given district, ward, village or adequate administrative division of intervention, needs to be considered.

People could also indirectly benefit from the services or provision of support, such as cases of farmers benefiting from veterinary training, or students benefiting from the training for data collection.

What are potential challenges with the beneficiary counting?

- Population targeted through mass media (radio, newspaper, TV…) done by ACF, should be considered as indirect beneficiaries, as there is no direct contact established with the project, unless direct impact of the project is measured through a specific survey (KAP survey or a similar assessment).
- Staff members of local ministries, trained or supervised by ACF are considered direct beneficiaries, as they benefit from technical support and capacity building from ACF.
- Populations targeting in SMART anthropometric surveys or assessments should never be counted as beneficiaries (direct or indirect). Those identified as malnourished are referred for treatment and counted as beneficiaries at the moment they enter the programme.
- Most often, the direct beneficiaries of surveillance or early warning systems will be members of local institutions such as governmental early warning system, ministries etc., as they received training or capacity building. Hence the beneficiaries will be calculated on the basis of the number of people supported through trainings, inputs, etc…The population that will benefit from the surveillance system in place will be considered as indirect beneficiaries, as they have no direct contact with the project but they benefit from living in an area that is regularly monitored in such a way to alert relevant stakeholders to act upon a degradation of the situation (e.g. EWS, GIS, nutrition surveillance).
- When working with local partners (CBOs, NGOs, Cooperatives, etc), ACF direct beneficiaries are the members of the local partners receiving the training (15 persons), and the direct beneficiaries of the local partners are the families receiving the services or the inputs (400 families= 2000 beneficiaries counting an average of 5 persons/ family). Hence this brings it to a total of direct beneficiaries are: 2000 + 15= 2015 beneficiaries.

For additional guidance on the Beneficiary Counting, refer to ACF's guidance: Counting Beneficiary, ACF International, 2011.

Annex 34: Baseline Survey Guidance Note

What is a baseline survey?

A baseline survey assesses the situation before project activities commence and gives measurements for indicators before monitoring of change against these begins. This provides benchmark data, such that M&E activities can assess progress against this and the extent to which the project has made a difference. It is difficult to measure the impact of a project without having assessed the starting situation.

A baseline survey is therefore a critical part of commencing monitoring activities.

When should a baseline survey be completed?

At the outset of a project, but **before** project activities begin. Similarly surveys should also be completed once project activities cease, as an endline survey, to see what change has happened since activities occurred.

How should the baseline survey template be completed?

The proposed Baseline Survey Template may cover more than is needed for a specific project baseline, or may have less than is needed. The template is supposed to serve as a starting point for the survey. The project team should modify it as appropriate, deleting or adding sections as required.

How to complete the questionnaire:

- Complete the survey Information section with the relevant information:
  - ➔ Title the survey (e.g. Food Security and Livelihoods baseline in XX location - January 2011)
  - ➔ Code the survey: 2 first letters of the intervention area, ACF contract code, Nature of the survey
  - ➔ Organization name: ACF
  - ➔ Survey period: month and year
- Where boxes are provided for answers, please insert the correct code number to the answer (e.g. 1, 2 etc.).
- Where multiple choice answer options are provided without a box, circle the appropriate answer.

Components of the Baseline Survey

According to the chosen **core** and **thematic indicators** various components will need to be covered in the Baseline Survey. The following tools are discussed in additional annexes and guidance notes:

- **Dietary Diversity on Household or Individual level** measured by Household or Individual Dietary Diversity Score, or Food Consumption Score (*Annexes 26 -28*)
- **Severity of Household Food Insecurity** measured by Household Food Insecurity Access Scale (HFIAS) (*Annex 29*)
- **Availability of Sufficient Food on Household level** measured by Months of Adequate Household Food Provisioning (MAHFP) (*Annex 30*)
- **Risk to malnutrition of children under 5 years** of age in the household measured by Mid Upper Arm Circumference (MUAC) (*Annex 31*)
- **Evolution of market prices as** measured through Regular Market Price surveys (*Annex 32*)
- **Number of people benefiting** from the implemented activity or project (*Annex 33*)

Annex 35: Baseline Survey Template

All FSL Projects - BASELINE QUESTIONNAIRE

Overview of the questionnaire: This questionnaire is the basis for all FSL baseline surveys. Depending on the project type, sections can be deleted and new sections added in line with project activities and survey objectives.

How to complete this questionnaire:

- *Give a title + a code to your survey (see the general guidance)*
- *For multiple choice questions, insert correct code number (1, 2 etc) or **circle** appropriate answer, as directed.*

1 - SURVEY INFORMATION
Q1. Questionnaire Number: I W II W I-I V II V I-I H II H I **Q2**. Date of interview (Month/Day/Year): _ _/_ _/_ _ _ _ **Q3**. Location (country, village):_____ **Q4**. Interviewer name (& number where appropriate): _____ _____ **Q5**. Beneficiary name (& number where appropria te):_____

2. GENERAL HOUSEHOLD INFORMATION	Responses
Q6. Name of Household (HH) Head: _____	_____
Q7. Gender of HH Head: 1 = Male ; 2 =Female	
Q8. Age of HH Head:	I__II__I
Q9. Marital Status of HH head: 1 = Married 2 = Single 3 = Widowed 4 = Divorced	

HH information (*enter numbers in the relevant boxes, including the respondent in calculations*)	**A Total**	**B-Under 5**		**C-5 to 18**		**D-19-60**		**E - O v e r 60**	
		M	**F**	**M**	**F**	**M**	**F**	**M**	**F**
G10. How many people live in the HH?									
G11. How many orphans live in the HH?									
G12. How many people in the HH work? (e.g. to farming or other activities)									
G13. How many have been sick continuously for the past three months?									
G14. How many people in HH cannot work due to health problems (illness, disability)?									

G15. How many members have earned money for the past 3 months?								

Q16. What means of transportation does the HH owns? (multiple answers can be circled)					
1	Animal	3	Motorbike	7	Nothing
2	Bicycle	6	Car	8	Other (specify) _____

3. FOOD SOURCES AND STOCKS

Q17. In order of importance, what have been the 4 main ways the HH has sourced food in the past month? (Rank the 4 main sources, with 1=most important, 4=least important)					
1	**Purchase**		8	**Bartered**	
2	**Own agricultural production (crops etc)**		9	**Debt reimbursement in kind**	
3	**Livestock own production**		10	**Income in kind**	
4	**Food Aid**		11	**Exchange with assets**	
5	**Assistance from friends & relatives**		12	**Wild food**	
6	**Other donations**		13	**Seed stocks**	
7	Borrowed/taken on credit		14	Begging	
15	Other (please specify) _____				

What is the total quantity (in Kg) of the following that the HH current has in stock? (Rank the 4 main sources, with 1=most important, 4=least important)

	Type	Quantity (Kg)		Type	Quantity (Kg)
Q18	**Wheat**		Q23	**Rice**	
Q19	**Sorghum**		Q24	**Pulses (beans, peas etc)**	
Q20	**Maize**		Q25	**Potatoes**	
Q21	**Millet**		Q26	**Cowpeas**	
Q22	**Groundnut**		Q27	**Other (please specify)** _____	

Q28. How long will the stocks last the HH?	
1	**Less than 2 weeks**
2	**2-4 weeks**
3	**1-2 months**
4	**2-4 months**
5	**More than 4 months**

4. HH FOOD CONSUMPTION		Responses				
Currently, how many meals are eaten daily by the following HH members? 1=1, 2=2, 3=3, 4=4, 5=More than 4		**1**	**2**	**3**	**4**	**5**
Q29	**HH members aged Under 5**					
Q30	**HH members aged 5 to 18**					
Q31	**HH members aged 19-60**					
Q32	**HH members aged Over 60**					

Q33. Now I would like to ask you about your household's food supply during different months of the year. When responding to these questions, please think back over the last 12 months, from now to the same time last year. Circle the answer given (Q33 Months of Adequate Household Food Provisioning	**Yes**	**No**
Were there months, in the past 12 months, in which you did not have enough food to meet your family's needs?	**1**	**0**

If the answer is **no**, move onto Q35. If the answer is **yes**, proceed to Q34.

Q34. Which were the months in the past 12 months during which you did not have enough food to meet your family's needs? (include any kind of food from any source, including own production, purchase, exchange, from food aid, or borrowing)
(Do not read the list of months out. Circle the months that the respondent identifies as months in which the household did not have enough food to meet their needs. Use a season calendar if needed to help the respondent remember different months. Probe to make sure the respondent has thought about all the past 12 months.)

1	**January**		**8**	**July**	
2	**December**		**9**	**June**	
3	**November**		**10**	**May**	
4	**October**		**11**	**April**	
5	**September**		**12**	**March**	
6	**August**		**13**	**February**	

Total months (insert total number of months circled as months without enough food) _____
_____

Q35. Which of the following food items/groups have you or anyone else in your HH eaten yesterday (in the last 24 hours) during the day and at night.
(The question should be asked of the person who is responsible for food preparation, or if that person is unavailable, of another adult who was present and ate in the household the previous day. Read the list of foods below to check for Household Dietary Diversity. Circle the food in question if anyone in the household ate it. Insert any local foods [e.g. ugali, nshima], , bread, rice noodles, biscuits, or any other foods made from millet, sorghum, maize, rice, wheat, or any other locally available grain)

(Circle the answer, Yes=1, No=0)		**Yes**	**No**
A	**Cereals (maize porridge, rice, sorghum, millet pasta, bread, rice or other)**	**1**	**0**
B	**Roots and tubers (cassava, potatoes, sweet potatoes or other)**	**1**	**0**

C	Pulses/legumes/nuts (beans, peas, chick peas or other)	1	0
D	Vegetables and leaves	1	0
E	Fruit	1	0
F	Meat, poultry, offal (beef, goat, lamb, poultry)	1	0
G	Fish and seafood	1	0
H	Milk/Dairy products (milk, yogurt, cheese or other)	1	0
I	Eggs	1	0
J	Sugar, sugar products, honey	1	0
K	Oil/fats (oil, fat or butter)	1	0
L	Condiments (spices, tea, coffee) or other miscellaneous food	1	0

How many days, in the last 7 days, have you eaten the following food items?		Number of times (0-7)
Q36	Cereals (maize porridge, rice, sorghum, millet pasta, bread, rice or other)	
Q37	Roots and tubers (cassava, potatoes, sweet potatoes or other)	
Q38	Pulses/legumes/nuts (beans, peas, chick peas or other)	
Q39	Vegetables and leaves	
Q40	Fruit	
Q41	Meat, poultry, offal (beef, goat, lamb, poultry), eggs, fish and seafood	
Q42	Milk/Dairy products (milk, yogurt, cheese or other)	
Q43	Sugar, sugar products, honey	
Q44	Oil/fats (oil, fat or butter)	
Q45	Condiments (spices, tea, coffee) or other miscellaneous food	
Q46 Food consumption score calculation (NOT A QUESTION FOR RESPONDENT)		

Multiple choice questions		Please circle the appropriate response
Q47	Is there at least one baby (between 6-23 months) in HH?	1=Yes, 2=No
Q48	Approximately how many months old?	1=less than 6 months 2=Between 6 and 11 months 3=Between 12 and 17 months 4=Between 18 and 23 months
Q49	Is the baby still breastfeeding?	1=Yes, 2=No

Q50 In the past 4 weeks, did you have to worry about food for your household?			
	Question	Response Options	CODE
1	In the past four weeks, did you worry that your household would not have enough food?	0=No (skip to Q2) 1=Yes	
1a	How often did this happen?	1=Rarely (once or twice in the past four weeks) 2=Sometimes (three to ten times in the past four weeks) 3=Often (more than ten times in the past four weeks)	
2	In the past four weeks, were you or any household member not able to eat the kinds of foods that you preferred because of a lack of resources?	0=No (skip to Q3) 1=Yes	
2a	How often did this happen?	1=Rarely (once or twice in the past four weeks) 2=Sometimes (three to ten times in the past four weeks) 3=Often (more than ten times in the past four weeks)	
3	In the past four weeks, did you or any household member have to eat a limited variety of foods due to a lack of resources?	0=No (skip to Q4) 1=Yes	
3a	How often did this happen?	1=Rarely (once or twice in the past four weeks) 2=Sometimes (three to ten times in the past four weeks) 3=Often (more than ten times in the past four weeks)	
4	In the past four weeks, did you or any household member have to eat some foods that you really did not want to eat because of a lack of resources to obtain other types of food?	0=No (skip to Q5) 1=Yes	
4a	How often did this happen?	1=Rarely (once or twice in the past four weeks) 2=Sometimes (three to ten times in the past four weeks) 3=Often (more than ten times in the past four weeks)	

5	In the past four weeks, did you or any household member have to eat a smaller meal that you felt you needed because there was not enough food?	0=No (skip to Q6) 1=Yes	
5a	How often did this happen?	1=Rarely (once or twice in the past four weeks) 2=Sometimes (three to ten times in the past four weeks) 3=Often (more than ten times in the past four weeks)	
6	In the past four weeks, did you or any household member have to eat fewer meals in a day because there was not enough food?	0=No (skip to Q7) 1=Yes	
6a	How often did this happen?	1=Rarely (once or twice in the past four weeks) 2=Sometimes (three to ten times in the past four weeks) 3=Often (more than ten times in the past four weeks)	
7	In the past four weeks, was there ever no food to eat of any kind in your household because of a lack of resources to get food?	0=No (skip to Q8) 1=Yes	
7a	How often did this happen?	1=Rarely (once or twice in the past four weeks) 2=Sometimes (three to ten times in the past four weeks) 3=Often (more than ten times in the past four weeks)	
8	In the past four weeks, did you or any household member go to sleep at night hungry because there was not enough food?	0=No (skip to Q9) 1=Yes	
8a	How often did this happen?	1=Rarely (once or twice in the past four weeks) 2=Sometimes (three to ten times in the past four weeks) 3=Often (more than ten times in the past four weeks)	

9	**In the past four weeks, did you or any household member go a whole day and night without eating anything because there was not enough food?**	**0=No 1=Yes**	
9a	**How often did this happen?**	**1=Rarely (once or twice in the past four weeks) 2=Sometimes (three to ten times in the past four weeks) 3=Often (more than ten times in the past four weeks)**	

Q51. HFIAS calculation (NOT A QUESTION FOR RESPONDENT)	

5. HOUSEHOLD LIVELIHOODS SOURCES

Q52. List in order of importance the 4 main sources of HH income? (1=most important, 4=least important)

1	**Agriculture**		6	**Casual labour in agriculture**	
2	**Livestock rearing/selling**		7	**Other casual labour**	
3	**Other trading/business**		8	**Civil servant /Other Employee**	
4	**Fishing**		9	**Remittances from abroad**	
5	**Artisan: mason, carpenter**		10	**Renting out land to others**	
11	**Other (please specify)** _____				

Q53	**What is the HH weekly income** (in local currency)? _____
Q54	**What is the HH monthly income** (in local currency)? _____
Q55	**What is the HH annual income** (in local currency)? _____

Q56. How is your current income compare to the previous month? (circle response)

1	**Higher**	2	**Similar**	3	**Lower**	4	**Don't know**

Q57. In the past month what were the 4 greatest HH expenditures in order of importance? (1=most, 4=least)

1	**Food**		6	**Livestock**	
2	**House equipment purchase**		7	**Other productive assets: tools, machinery**	
3	**Clothes**		8	**Health expenses**	
4	**Fuel**		9	**Education expenses**	
5	**Agricultural inputs**		10	**Social expenses (wedding, funerals)**	
11	**Other (please specify)** _____				
Q58	**What proportion of your total monthly income did food account for?** Use the proportional piling method _____				

Q59. Has there been any change in HH expenditure in the last month? (circle response)							
1	Higher	2	Similar	3	Lower	4	Don't know

Q60	If the spending pattern was different from the previous month, explain why? _____ _____						
Q61	Does the HH have any debt?	1	Yes	3	No	4	Don't know
Q62	How much debt approximately?	Cash		Wheat (kg)		Other amount	
Q63	If "other debt", please specify its nature? _____ _____						

6. CROP PORDUCTION	
Q64	What area of land does the HH own? _____
Q65	What area of land does the HH cultivate (in last season)? _____
Q66	What area of rain-fed land does the HH cultivate? _____
Q67	What area of land was *not* cultivated last season? _____

Q68 If you left land uncultivated last season, what was the main reason? (please circle)			
1	Lack of labour	6	Fallow land
2	Lack of seeds	7	Lack of fertilizer
3	Lack of rain	8	Water logged land
4	Lack of tools to till land etc	9	Other (please specify) _____

Crop planted last season	Area Planted (ha)	Type of seeds 1= Hybrid 2= OPV 3=N/A	Main source of seeds	Amount harvested (kg)	Were you able to get quantity of seeds needed? 1=Yes, 2=No 3=N/A	If NO give reason 1=can't afford 2=not available 3= unable to retain 4= N/A
Q69	Maize					
Q70	Millet					
Q71	Wheat					
Q72	Sorghum					
Q73	Rice					
Q74	Beans					
Q75	Cowpeas					
Q76	Groundnuts					

Q77	Potatoes					
Q78	Coffee					
Q79	Cocoa					
Q80	Cotton					

Q81 How many fruit trees do you have access to? (circle answer)											
0	None	1	1-5	2	5-10	3	10-20	4	20-50	5	50+

7. GARDENS							
Q82	Does the household have a vegetable garden? (circle answer)			1	Yes	2	No
Q83	If yes, who owns the garden? (circle answer)	1	Individual	2	Community	3	Other
Q84	If yes, does the house have access to a water source? (circle answer)			1	Yes	2	No
Q85	If yes to Q84, is it (circle answer)	1	Perennial	2	Intermittent	3	Other

Q86	How far is nearest water point? (circle answer)	1	<0.5km	2	0.5-1km	3	1-2km	4	>2km

GARDEN PRODUCTION					
	Type of crop	1=Yes	2=No	Average Output in last crop	Main source of seed / seedlings / cuttings
Q87	Tomato (Kg)				
Q88	Carrots (Kgs)				
Q89	Cucumber(Kg)				
Q90	Onion/Shallot (Kg)				
Q91	Cow Peas (kg)				
Q92	Groundnuts(Kg)				
Q93	Okra (Kg)				
Q94	Potato (Kg)				
Q95	Sweet Potato(Kg)				
Q96	Pumpkin/Squash (Heads)				
Q97	Rape (bundles)				
Q98	Peas (Kg)				

Q99	Beans (Kg)				
Q100	Spinach (bundles)				
Q101	Butternut (Kg)				
Q102	Pawpaw (Heads)				
Q103	Banana (Kg)				
Q104	Cassava (Kg)				
Q105	Avocado (Kg)				
Q106	Orange/Lemon (Kg)				
Q107	Other (specify)				

Which of the following tools do you have?		1=Yes	2=No
Q108	Plough		
Q109	Cultivator		
Q110	Hoe		
Q111	Rake		
Q112	Wheelbarrow		
Q113	Shovel		
Q114	Pick / Mattock		
Q115	Axe		
Q116	Cart		

8. LIVESTOCK					
How much livestock does the HH own now (in numbers by type)?					
	Type	Number		Type	Number
Q117	Cattle		Q121	Poultry	
Q118	Goats/Sheep		Q122	Horse	
Q119	Donkey		Q123	Camel	
Q120	Other (please specify) _____				

How much livestock did the HH own a year ago (in numbers by type)?					
	Type	Number		Type	Number
Q124	Cattle		Q128	Poultry	
Q125	Goats/Sheep		Q129	Horse	
Q126	Donkey		Q130	Camel	
Q127	Other (please specify) _____				

Could the following details about the livestock now?		Number
Q131	Number of animals used for ploughing or transportation	

Q132	**Number of female cows**	
Q133	**Number of female goats**	
Q134	**Number of female sheep**	

Could the following details about the livestock a year ago?		**Number**
Q135	**Number of animals used for ploughing or transportation**	
Q136	**Number of female cows**	
Q137	**Number of female goats**	
Q138	**Number of female sheep**	

Q139. If the number of livestock decreased since last year, what were the 4 most important reasons for this? (1=most important, 4=least important)

1	**Animal selling for cash**	**5**	**Killed for meat - daily family consumption**
2	**Death linked to pasture/fodder shortage**	**6**	**Killed for celebration**
3	**Animal given away / gift**	**7**	**Death following disease**
4	**Death of old age**	**8**	**Other (please specify)** _____

Q140	**Does the HH own some pasture? (circle answer)**	**1**	**Yes**	**2**	**No**
Q141	**If yes, how much?** _____				

Q142 In order of importance, what are the 4 main products you get from your livestock?

1	**Milk/dairy products for own consumption**		**5**	**5. Skin/hides for selling**	
2	**Milk/dairy products for selling**		**6**	**6. Skin/hides for own consumption**	
3	**Meat for selling**		**7**	**Other** (please specify) _____	
4	**Meat for own consumption**				

Q143 In order of importance, what are the 4 main constraints you are facing in livestock farming? (1=most important, 4=least important)

1	**Disease**		**6**	**Lack of fodder**	
2	**Low selling price**		**7**	**Lack of water**	
3	**Low production**		**8**	**Lack of access to veterinary services**	
4	**Lack of pasture**		**9**	**Lack of safe livestock house**	
5	**Other (please specify)?** _____				

9. LIVELIHOOD COPING STRATEGIES			
In the past fifteen days, to meet the basic needs of the family, did your family have to?		**1=Yes**	**0=No**
Q144	**Send at least one member abroad for job**	**1**	**0**
Q145	**Sell non-productive assets (jewellery, carpets, house furniture)**	**1**	**0**
Q146	**Send son(s)work as casual labourer**	**1**	**0**
Q147	**Purchase less agricultural inputs**	**1**	**0**
Q148	**Beg**	**1**	**0**
Q149	**Get into debt, take out loan or mortgage**	**1**	**0**
Q150	**Send all family workers abroad for job**	**1**	**0**
Q151	**Sell productive assets (female livestock, grinder, sowing machine, tools, piece of land)**	**1**	**0**
Q152	**Stop education/health expenditures**	**1**	**0**
Q153	**Sell harvest (fruits, wheat) early and at a loss**	**1**	**0**
Q154	**Reduce all expenses**	**1**	**0**

Q155 In the past month, have you or members of the HH had to borrow money?	**1=Yes**	**0=No**

Q156 If yes, what were the 3 most important expenses? (1=most important, 4=least important)					
1	**Food purchases**		**5**	**Items for livestock**	
2	**Health expenses**		**6**	**Does not know**	
3	**Clothes/Hygiene items**		**7**	**Other (please specify)**	
4	**Agricultural inputs**			_____	

QUALITY CONTROL

M&E supervisor_____ Date_____

Data entry_____ Date_____

Annex 36: Steps for data monitor recruitment and Job description

1) Determine the number of data collectors required: how many data collectors are required, will depend on number of people to be interviewed, the geographic coverage, the variety of language groups or social groups to be covered that might require people with different backgrounds. The following rules of thumb are useful to consider:

- A small number of collectors increases the time needed to complete all the interviews, while a large number may complicate team management and weaken consistency of approach. One interviewer can usually undertake 3 to 4 questionnaires a day depending on travel times between surveyed villages;
- It is good to have one supervisor per 5 interviewers to quality check data collection;
- It is useful to have back-up collectors in case of illness or some other events.

2) Agree desired skills for data collectors: The following qualities should be sought in data collectors; they must be:

- Able to read and write;
- Able to build rapport with respondents;
- Have a good sense of team work;
- Have some field experience, ideally in food security and livelihoods;
- Speak the local language/dialect;
- Available for the full duration of the survey period and to support with related activities;
- Reliable;
- Have some knowledge of the area;
- Physically fit.

3) Agree desired skills for supervisors: To supervise data collectors, as well as the above skills, supervisors must also have:

- Good organisation skills to supervise data collectors;
- Able to audit completed questionnaires;
- Demonstrate knowledge of being able to quality-check data collection;
- Demonstrate knowledge of the ethical considerations in data collection (see section 3.1);
- Have some survey/interviewing experience in the project area;
- Have some supervisory experience;

Other options to consider for potential candidates include: university students, those from agricultural schools (either local or international doing their graduate or post-graduate research), community based workers and/or volunteers.

4) **Develop job description for the data collectors**: As with any other role, it is important that data collectors have clear Job Descriptions against which their performance can be assessed. For a sample JD, see below *FSL Monitor Data Collector Job Description*.

FSL Monitor Data Collector Job Description

JOB DESCRIPTION

Field Monitor

Work base: **Department: FSL**
Name: **Date:**

Title of post : **FIELD MONITOR**	**Supervised by: Team leader** **Supervises: N/A**
Assignment : Collect data on food security and livelihoods through household interviews	**Means :** Transport, stationary
Diploma / Level of studies : Lower High School Leaving Certificate or equivalent	
Required skills : • Capacity to communicate with people • Good team player • Good human relationships • Good knowledge of the survey area • Knowledge of local languages/dialects • Field experience, ideally in food security	
Objective 1 : Collect information and data on food security and livelihoods in line with to clearly defined methodologies **Activities :** • Participate actively in initial training sessions, pilot surveys and debriefing • Carry out household surveys • Clearly explain the purpose of the survey, the process to be followed and individual rights in participating to beneficiaries • Ensure coherence of collected information • Report any problems and constraints • Propose possible improvements **Objective 2 : Represent the Organization when liaising with its partners:** **Activities :** • Explain the project's activities and objectives to partners and the population • Act as a link between the Organization and the beneficiaries	

The Employee: The Immediate Supervisor: Visa Administor:

Annex 37: Monitoring plan example

Objectives	Indicators	Indicator definition / variables	Sources of information	Means of verify-cation	Time of data collection and frequency	Respo-nsibility	Reporting	Decision making
Goal: Protection and promotion of rural livelihoods of poor and vulnerable households in Asterlay District, Day Kundi Province, Afghanistan	**Impact indicator 1**: At least 75% of the 4,000 beneficiary farmers have doubled their food production by year 3	No. of beneficiary farmers who have doubled their food production quantity - quantity of wheat produced - quantity of chickpeas produced - quantity of vegetables produced	-Beneficiary farmers -Community steering committees	-Mid-Term evaluation -Final external evaluation -Baseline survey	-At project mid-term -At the end of project -At beginning of project	FSL PM	Monthly report to: -FS field team -Coordinator -HQ -Local Authorities -National Authorities -Beneficiaries	-FS Project Manager -Coordinator -HQ advisors
	Impact indicator 2: 20% increase in participation of women in agricultural/ productivity in target district by year 3	- No. of women who doing home-gardening by the end of project - No. of beneficiary farmers stating that women are more involved (compared to baseline)	-Beneficiary households -Community steering committees	-Impact evaluation -Post Harvest survey -Community steering committee meetings - observation	-Last month o project -Twice a year			

Source: ACF Afghanistan (2010) Household Survey Field Guide for FSL Staff

With reference to above example, details of what should be included in each column include:

1. **Objectives column** – Should include the hierarchy of objective statements taken from the project logframe (Goal, Results, Outputs and Activities).

2. **Indicator column** – Should include the indicators corresponding to each objective from the project logframe. Indicators should be SMART (specific, measurable, achievable, relevant, and time-bound), and can be quantitative (numeric) or qualitative (descriptive observations). When completing an M&E plan, indicators may need to be revised based on the field and resource realities on whether they can be collected. It is important to check suggested changes with key stakeholders (e.g. donors) before revisions are made, and that the logframe is also revised.

3. **Indicator variable column** – Should explain how the indicator will be calculated by including the different variables needed to build up the indicator. Here the example shows that the indicator needs to be broken down into its component variables, to clarify what is meant by "food production" – in this instance it includes wheat, chickpeas and vegetables (where the latter could be broken down further). It should also detail if the indicator is to be disaggregated by sex, age, ethnicity, or some other variable.

4. **Sources of information column** – Should include the source from which data for the relevant indicator variables will be derived, giving details of the source (title, author and date). If it is a primary ACF evaluation or survey such as a PDM, give detail of that. If it is secondary source undertaken by another organization, such as a WFP Assessment, give details of that.

5. **Means of verification column** – Should include details of the methodologies to be used to collect the information for the indicator variables (e.g. sample survey, focus group discussion, market survey). This column should also indicate whether data collection tools (e.g. questionnaires, checklists) are already available or whether they need to be developed. The example has two primary methods (quantitative surveys and observation), and tools (a baseline survey, a post-harvest survey and three evaluations).

6. **Time of data collection and frequency column** – Should include details of when and how often data about each specific indicator will be gathered (annually, quarterly, end of project, etc), as well as key dates to schedule (e.g. start-up and end dates for collection or deadlines for tool development). When planning for data collection timing, it is important to consider factors that can affect data collection timing (e.g. seasonal variations that might affect ability to collect data, such as the rainy season, school schedules, holidays and religious periods (e.g., Ramadan).

7. **Person responsible for data collection, analysis and reporting column** – Should include details of who is responsible for the data collection, analysis and reporting. This may be one person or multiple people (e.g. the M&E Officer, Project Manager or Coordinator). If it is multiple people, this information is best kept in the table. If it is one person, for ease of use of the M&E Plan, this can be taken out as a column and the details of the person responsible recorded below the table. This column is also useful in assessing and planning for capacity building for the M&E system.

8. **Reporting column** – Should include details of how the information will be prepared for use, and in what form it will be presented to information users (e.g. type of report such as a monthly Activity Progress Report (APR)). The primary use of the information and its intended audience should be recorded. This column can also state ways that the findings will be formatted (e.g. tables, charts and narrative reports) and disseminated (e.g. through briefings or community meetings).

9. **Decision process column** – This differs from the reporting column in that is should detail the audience of the information who may need to take decisions based on the information received. Here, it may also be useful to detail the decision-making forum (e.g. debriefing from an evaluation).

Annex 38: ACF Evaluation ToR Template

TERMS OF REFERENCE

For the External Evaluation of ACF's

[Programme Name]

Programme Funded by
[NAME OF DONOR]

Contract Reference
[NUMBER]

[Date]

1. CONTRACTUAL DETAILS OF THE EVALUATION

1.1. Key Evaluation Dates

Expected Start Date:	[date]
End Date:	[date]
Submission of Draft Report	[date]
Submission of Final Report	[same as end date]

1.2. Language of the Evaluation

Language Requirements for the Evaluation:	[language]
Language of the Report:	[language]

1.3. Workplan & Timetable

Activities	**Working Days**
Total	

1.4. Budget for the Evaluation

	[Currency of Contract]
Total Amount Available	[amount]
Deadline for invoicing (Contract End):	[date]

		No. of Days	Unit Price (currency)	Sub-Total (currency)	Paid By (tick as appropriate)	
					ACF (HQ)	ACF (Field)
Consultant's Fees		[number]	[amount]	[amount]		
International Travel			[amount]	[amount]		
Airport Transfers						
Visas				[amount]		
Briefing/Debriefing Costs				[amount]		
Accommodation		[number]	[amount]	[amount]		
Subsistence/Per Diems		[number]	[amount]	[amount]		
Translator/Assistant		[number]	[amount]	[amount]		
Local Transport	Vehicle	[number]	[amount]	[amount]		
	Driver	[number]	[amount]	[amount]		
Report Translation				[amount]		
Additional Costs				[amount]		
ACF-UK Admin Costs				700		
			Total			
Comments						

The consultant is responsible for personal insurance during the evaluation. The consultant will also provide any necessary materials (including laptops) required for the evaluation.

2. DETAILS OF THE PROGRAMME

Name of the Programme:	[name]
Location:	[region, country]
Starting Date:	[date]
End Date:	[date]

2.1. Map of Programme Area

2.2. Programme Overview

2.3. General Objective

2.4. Specific Objectives/Results

2.5. Programme Activities

3. AIM OF THE EVALUATION

3.1. Target User(s) of the Evaluation	
ACF	[list titles of direct users]
Implementing HQ	[list titles of direct users]
Field Level	[list titles of direct users]
Other	[list titles of direct users]

3.2. Objective(s) of the Evaluation

3.3. Scope of the Evaluation
[insert questions from the field team/field office/implementing HQ]

3.4. Evaluation Criteria

ACF subscribes to the Development Assistance Committee (DAC) criteria for evaluation: Impact, Sustainability, Coherence, Coverage, Relevance / Appropriateness, Effectiveness and Efficiency. ACF also promotes systematic analysis of the monitoring system and cross cutting issues (gender, HIV/AIDS etc). All external evaluations are expected to use DAC criteria in data analysis and reporting. In particular, the evaluation must complete the following table and include it as part of the final report.

The evaluator will be expected to use the following table to rank the performance of the overall intervention using the DAC criteria. The table should be included as an Annex to the report.

Criteria	Rating (1 low, 5 high)					Rationale
	1	2	3	4	5	
Impact						
Sustainability						
Coherence						
Coverage						
Relevance/ Appropriateness						
Effectiveness						
Efficiency						

3.5. Best Practices

The evaluation is expected to provide one (1) key example of Best Practice from the project/ programme. This example should relate to the technical area of intervention, either in terms of processes or systems, and should be potentially applicable to other contexts where ACF operates. This example of Best Practice should be presented as an Annex to the report.

3.6. Evaluation Outputs

The result of this evaluation should be presented in a written report and through several oral presentations:

- One on the mission (to Head of Mission and relevant technical staff)
- One at HQ (in person or via teleconference).

3.7. Methodology

3.7.1. Briefing

Prior to the evaluation taking place, the evaluator is expected to attend a briefing at HQ level, and at field level with the Head of Mission and/or the relevant technical focal point. Briefings by telephone must be agreed in advance.

3.7.2. Field activities

Consultants are expected to collect an appropriate range of data. This includes (but not limited to):

- Direct information: Interviews with beneficiaries - Visit to project sites and to the facilities provided to the beneficiaries
- Indirect information: Interviews with local representatives; interviews with project staff expatriate and national staff; meeting with local authorities, groups of beneficiaries, humanitarian agencies, donor representatives and other stakeholders. For indirect data collection, standard and participatory evaluation methods are expected to be used (HH interviews and FGDs with beneficiaries, non-beneficiaries, key informants – health workers, teachers and leaders)

- Secondary information analysis: including analysis of project monitoring data or of any other relevant statistical data.

3.7.3. Report

The report shall follow the following format.

- Cover Page
- Table of Contents
- Executive Summary: must be a standalone summary, describing the programme, main findings of the evaluation, and conclusions and recommendations. This will be no more than 2 pages in length.
- Main Body: The main body of the report shall elaborate the points listed in the Executive Summary. It will include references to the methodology used for the evaluation and the context of the action. In particular, for each key conclusion there should be a corresponding recommendation. Recommendations should be as realistic, operational and pragmatic as possible; that is, they should take careful account of the circumstances currently prevailing in the context of the action, and of the resources available to implement it both locally and in the commissioning HQ. Annexes: Listed and correctly numbered. Format for the main body of the report is:
    - Background Information
    - Methodology
    - Findings & Discussions
    - Conclusions Recommendations
    - Annex I (Best Practice)
    - Annex II (DAC-based Rating Table)

The report should be submitted in the language specified in the ToR. The report should not be longer than 30 pages excluding annexes. The draft report should be submitted no later than 10 calendar days after departure from the field. The final report will be submitted no later than the end date of the consultancy contract. Annexes to the report will be accepted in the working language of the country and programme subject to the evaluation.

3.7.4. Debriefing & Learning Workshop

The evaluator should facilitate a learning workshop:

- To present the draft report and the findings of the evaluation to the Mission and other stakeholders.
- To gather feedback on the findings and build consensus on recommendations.
- To develop action-oriented workshop statements on lessons learned and proposed improvements for the future.

3.7.5. Debriefing with ACF HQ

The evaluator should provide a debriefing with the relevant ACF HQ on her/his draft report, and on the main findings, conclusions and recommendations of the evaluation. Relevant comments should be incorporated in the final report.

4. PROFILE OF THE EVALUATOR

- Knowledge in [programme area and specific programme activities]
- Significant field experience in the evaluation of humanitarian/development projects
- Relevant degree/equivalent experience related to the evaluation to be undertaken
- Significant experience in coordination, design, implementation, monitoring and evaluation of programmes
- Good communications skills and experience of workshop facilitation
- Ability to write clear and useful reports (may be required to produce examples of previous work)
- Fluent in [language]
- Understanding of donor requirements
- Ability to manage the available time and resources and to work to tight deadlines
- Independence from the parties involved

5. RIGHTS

The ownership of the draft and final documentation belong to the agency and the funding donor exclusively. The document, or publication related to it, will not be shared with anybody except ACF before the delivery by ACF of the final document to the donor.

ACF is to be the main addressee of the evaluation and its results might impact on both operational and technical strategies. This being said, ACF is likely to share the results of the evaluation with the following groups:

- Donor(s)
- Governmental partners
- Various co-ordination bodies

Intellectual Property Rights
All documentation related to the Assignment (whether or not in the course of the evaluator's duties) shall remain the sole and exclusive property of the Charity

Annex 39: Advantages and Disadvantages of Internal vs. External Evaluations

Internal Evaluators	External evaluators
+ Know the organisation + Understand organisational behaviour and attitudes + Are known to staff + Are less threatening + Often a greater chance of adopting recommendations + Are less expensive + Build internal evaluation capability + Contribute to programme capacity - Objectivity may be questioned - Structure may constrain participation - Personal gain may be questioned - Accept the assumptions of the organisation - Full participation may be constrained by usual workload - May not be trained in evaluation methods - May lead to the evaluation not having acceptable outside credibility - May have difficulty avoiding bias - May lack special technical expertise	+ Objective + No organisational bias + Fresh perspectives + Broader experience + More easily hired for longer periods of time + Can serve as an outside expert + Not part of the power structure + Can bring in additional resources + Trained in evaluation + Experienced in other evaluations + Bring fresh perspectives from similar programmes in other organisations + Regarded as an "expert" - May not know the organisation - May not know of constraints affecting recommendations - May be perceived as an adversary - Expensive - Contract negotiations may take time - Follow up on recommendations is not always there - Unfamiliar with environment

Annex 40: Codes and Standards Overview

What codes and standards is ACF signatory to requiring adherence monitoring?

M&E should be conducted in line with codes and standards appropriate and relevant to ACF and the project being undertaken, and adherence to them monitored. These can include:

- **The ACF Charter** requires adherence to the principles of: Independence, Neutrality, Non-Discrimination, Free and Direct Access to Victims, Professionalism and Transparency.
- **The Sphere Handbook eight core 'process and people' standards** that are relevant to each of the technical sectors, including: i) Participation, ii) Initial assessment, iii) Response, iv) Targeting, v) Monitoring, vi) Evaluation, vii) Aid worker competencies and responsibilities and viii) Supervision, management and support of personnel in line with People in Aid.
- **The Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief** requires adherence to the principles of: i) Humanitarian imperative, ii) Basis of need, iii) No proselytising, iv) Not foreign agents, v) Respect culture, vi) Build on local capacities, vii) Involve beneficiaries, viii) Reduce vulnerability, ix) Accountable both ways, x) Respect victims as human beings.
- **Professional standards in M&E** including ACF's Evaluation Policy and any sector or donor standards being adhered under a particular project; these might for example include OECD DAC Principles, the UN Evaluation Group (UNEG) Norms and Standards, although this is not an exhaustive list.

What other codes exist but to which ACF is a non-signatory?

A project might also seek to adhere to other codes and standards to which ACF is not a signatory, but it is felt that adherence to them may encourage best practices. These could include:

- **The Humanitarian Accountability Project (HAP)**. While ACF is not a HAP member, the HAP benchmarks can nevertheless be used to shape interventions. These include: i) Humanity, ii) Impartiality, iii) Neutrality, iv) Independence, v) Participation and informed consent, vi) Duty of care, vii) Witness, viii) Offer redress, ix) Transparency, x) Complementarity.
- **People in Aid (PIA)**. While ACF is not a PIA-approved member, the PIA code can nevertheless be used to shape projects in line with the following PIA principles: i) Human resources strategy, ii) Staff policies and practices, iii) Managing people, iv) Consultation and communication, v) Recruitment and selection, vi) Learning, training and development, vii) Health, safety and security.
- **Group URD's Quality Compass** encourages the following principles of best practices for projects: the project responds to a demonstrated need; the project achieves its objectives; the project removes or reduces the risk of negative impacts; the project aims for positive impacts beyond implementation; the project is consistent with the agency's mandate and principles; the project respects the population; the project is flexible; the project is integrated in its institutional context in an optimal manner; the agency has the necessary resources and expertise; the agency has the appropriate management capacity; the agency makes optimal use of resources; the agency uses lessons drawn from experience.

Annex 41: Inception Report Template

Title

Insert Date

Background

Please provide detail on the background to the project.

Purpose of this report

Please insert details on the purpose of this report.

Overall objectives of the project

Please include details on the overall objectives of the project.

Specific objectives of the project

Please include details on the specific objectives of the project.

1. Specific Objective 1
Please include details.

2. Specific Objective 1
Please include details.

Expected outputs

Please include details on the expected outputs of the project:

1. …
2. …

Methodology

Please provide a step-by-step narrative overview of the methodology to be followed (e.g. desk review etc):

1. **Stage 1: …**
2. **Stage 2: …**
3. **Stage 3: …**
4. **Stage 4: ...**

Output/report structure

Please provide an overview of how the final report for the project will be structured.

Project constraints

Please detail project constraints identified and how they will be addressed.

1. …
2. …

Stakeholders' roles and responsibilities

Please detail who are the key stakeholders that will be involved and their relative responsibilities.

Annex 1: Interview Questions

Please detail below a summary of interview questions that will be used.

1. …

Annex 2: Reference Material /Literature Review

Please detail below a summary of the reference material known to date that will be used for the project.

Annex 3: Proposed Activity Plan and Timeline

Annex 42: Interview Protocol Card

The following is an example of an interview protocol card that can be used when collecting qualitative or quantitative data from individuals or households.

Such a card should be carried at all times by interviewers/data collectors to be shown to interviewees.

Your Rights as an Interviewee
• You have the right not to be interviewed or to terminate the interview at any time. • You have the right not to answer any question you do not wish to. • Nothing you say will be attributed to you directly or indirectly without your permission. • The notes on this interview will not be shared outside the data collection team.

Source: Adapted from: Buchanan-Smith, M. & Cosgrave, J. (2010) Evaluation of Humanitarian Action, ALNAP

You may want to include other optional information such as:

- If you provide an email address, we will send you a draft of the output for your comments
- Etc.

Annex 43: Establishing a Community-Based Monitoring System

What is a community based monitoring system?

It is a monitoring mechanism in which there is a high level of participation from the community in driving its objectives, and how data is collected and utilized.

How to establish a community-based monitoring & evaluation system

Project staff should carefully identify key stakeholders in the community ensuring there is cross-representational presence by women, men, the disabled, the elderly, and youths that may have different expectations of a project.

A series of meetings should then be facilitated with community stakeholders, the objectives of which are to:

- Give an overview of ACF's organisational mission and values.
- Undertake a problem analysis (e.g. through a problem tree, transect walk, mapping).
- Clarify the project objectives, strategies, timeframe and partners.
- Explain why the project is introducing community-based monitoring and the subsequent responsibilities of the community.
- Discuss with the participants at the meeting what they hope the project will bring in the short, medium and long term.
- Discuss with the participants at the meeting how they will know if things are going well – what will be the signs of success?
- Discuss with the participants how they can best keep a track of the changes.
- Discuss with the participants on who will be responsible for tracking changes.
- Discuss with the participants how they would like to use review and feedback mechanisms providing a forum to discuss constraints and progress with the project team to ensure the community-based monitoring is firmly embedded in the project monitoring and planning cycles.

Annex 44: Step-by-step Checklist for M&E Activities

Checklist for step-by-step approach to M&E	
Timing:	**Activities:**
Step 1: Agree the purpose and principles of the project's M&E System	
During project design and proposal writing stage; before defining monitoring plans	1.1 Agree purpose of the project's M&E system 1.2 Confirm stakeholder information requirements 1.3 Agree the extent of stakeholder participation 1.4 Determine M&E milestones (e.g. evaluations)
Step 2: Agree and design core documents to set up M&E system	
During project design and proposal writing stage	2.1 Select project indicators and how to assess them 2.2 Create M&E Plan 2.3 Agree resources for the M&E plan
Step 3: Establish project M&E system	
Once funding is agreed but before project implementation begins	3.1 Finalize M&E plan agreeing cross-cutting variables 3.2 Assess capacity of staff in M&E and determine the extent of external support required 3.3 Agree budget for M&E 3.4 Train project staff on monitoring 3.5 Set up stakeholder feedback mechanism
Step 4: Agree field monitoring data collection and management process	
Before implementation begins; this can be refined during project implementation, before each round of monitoring	4.1 Agree relevant data collection methods/tools 4.2 Determine beneficiary counting 4.3 Agree sampling requirements 4.4 Interview guide and questionnaire creation 4.5 Recruitment and training of field monitors 4.6 Manage the stakeholder feedback mechanism 4.7 Undertake on-site monitoring 4.8 Triangulate data collection sources and methods 4.9 Undertake data entry and management process
Step 5: Agree monitoring data analysis process	
Before implementation begins; can be refined during implementation	5.1 Agree data analysis plan 5.2 Prepare the data for analysis 5.3 Assess key findings and trends 5.4 Identify challenges and solutions 5.5 Agree recommendations and associated actions
Step 6: Agree process for monitoring data utilization and reporting	
Agree general guidance at project planning phase and finalise details when project implementation begins	6.1 Agree reporting needs 6.2 Agree reporting frequency 6.3 Confirm reporting formats 6.4 Agree reporting responsibilities 6.5 Plan for information utilization 6.6 Facilitate decision making 6.7 Facilitate learning
Step 7: Review and revise M&E plans based on progress	

During project implementation	7.1 Regularly review and update the M&E system 7.2 Review ability to collect, enter, analyze and utilize data 7.3 Review decision-making process 7.4 Review resources for M&E
Step 8: Agree the process of evaluation management	
During implementation and evaluation	8.1 Determine the purpose of the evaluation 8.2 Planning evaluation Terms of Reference and commissioning evaluation 8.3 Agree evaluation methodology 8.4 Agree evaluation preparation and research undertaking 8.5 Plan country/field visits 8.6 Agree evaluation reporting 8.7 Agree evaluation findings dissemination plan

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