Project Cycle Management in Emergencies and Humanitarian Crises Handbook

Situation analysis, strategic planning and monitoring

Terre des hommes
Helping children worldwide.

Terre des hommes

Helping children worldwide.

Terre des hommes (Tdh) is the leading Swiss organisation for children's aid. For over 55 years, Tdh has helped build a better future for deprived children and their communities, making an impact with innovative and sustainable solutions. Active in more than 45 countries, Tdh works with local and international partners to develop and implement field projects which improve the daily lives of over 3 million children and their relatives, in the domains of health, protection and emergency relief. This engagement is financed by individual and institutional support, of which 86% flows directly into our programmes.

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Acronyms and institutional terms

CdB / SwS
Chaîne du Bonheur / Swiss Solidarity

CHS
Core Humanitarian Standard

CPMS
Minimum Standards for Child Protection in Humanitarian Action

ECHO
Directorate-General for European Civil Protection and Humanitarian Aid Operations

FGD
Focus group discussion

GIS
Geographic information system

KI
Key informant

M&E
Monitoring and evaluation

MDC
Mobile data collection

NFI
Non-food items

OFDA
Office of US Foreign Disaster Assistance

PCM
Project cycle management

PMP
Project monitoring plan

PSS
Psychosocial support

Q&A Unit
Quality and Accountability unit

RBM
Results-based management

(L)RRD
(Linking) relief, rehabilitation and development

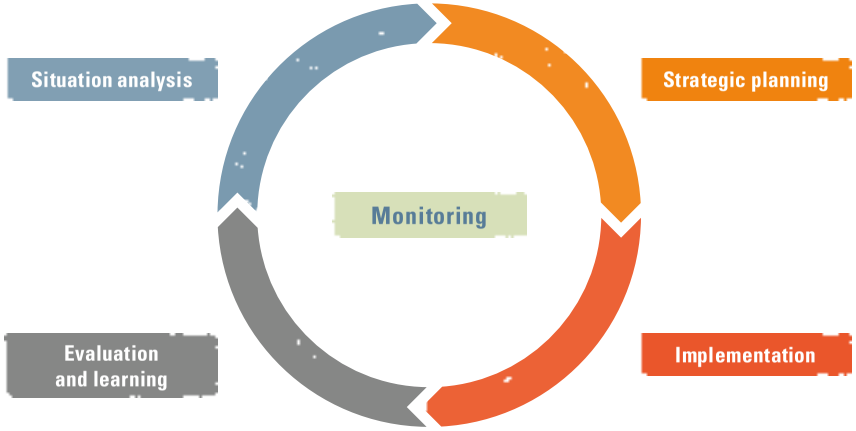
RTE
Real-time evaluation

Tdh
Terre des hommes

ToC
Theory of Change

WASH
Water, sanitation and hygiene

Project Cycle Management in emergencies and humanitarian crises at a glance



Situation analysis

1. Planning and designing the situation analysis
2. Collecting data
3. Processing and analysing data
4. Report drafting

First operational conclusions
Decision-making

Key references

- *Guidelines for Assessment in Emergencies*, IFRC/ICRC, 2008
- *Humanitarian Needs Assessment, The Good Enough Guide*, ACAPS, 2014

Strategic planning

1. Refining operational conclusions and recommendations
2. Defining the objective
3. Defining results and activities
4. Defining risks and assumptions
5. Defining indicators and means of verification
6. Designing the logical framework and writing the project document

Key references

- *Project/Programme Planning, Guidance Manual*, ICRC, 2010
- *Programme/Project Management: the Results-Based Approach*, ICRC, 2008

The golden rules of PCM in emergencies and humanitarian crises

- Use your common sense and be simple.
- You have more time than you think.
- Assess, think, plan, do, and review.
- Be participative, inclusive, flexible, dynamic, quality and ethics-oriented.
- Results-based management and linking relief, rehabilitation and development are your motto.

Monitoring system

Translated into Project Monitoring Plan (PMP)

1. Identifying the objective and scope of the monitoring
2. Defining the indicators measurement modalities (definitions, methods and tools, roles, frequencies, etc.)
3. Planning for information utilisation (communication products and report, steering and governance mechanisms)
4. Planning for the resources needed for monitoring (RH, equipment, time, training, budget)

Key reference

- *Project/Programme Monitoring and Evaluation Guide*, IFRC, 2011
- *Evaluation of Humanitarian Action Guide*, ALNAP, 2016

Key global references

Tdh

- Strategic Plan 2016/2020
- Thematic policies
- *Project Cycle Handbook*, 2012
- *Design and Implement a Monitoring System*, 2016

Others

- Core Humanitarian Standard (CHS)
- Sphere
- Minimum Standards for Child Protection in Humanitarian Action (CPMS)

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1. Introduction and commitments

1.1 Introduction

1.1.1 What is the purpose of this handbook?

A Growing number of interventions in humanitarian contexts

In 2003, Tdh created an emergency unit composed of a handful of experts in order to develop capacity and expertise enabling the organisation to respond to man-made crises and natural disasters. Over time, this unit grew, becoming the Humanitarian Aid Direction in 2016. Today, the direction is active in both operations (implementing projects) and resources (providing expertise and thematic and operational guidance in the humanitarian aid response field).

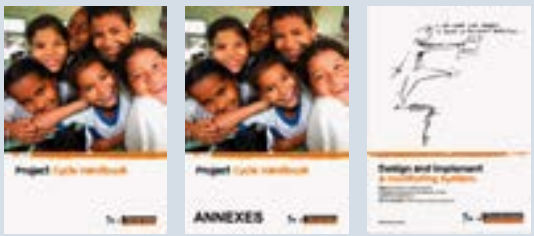
The Humanitarian Aid Direction is currently composed of more than 20 people. Its activities will continue to be scaled up, leading to interventions in a growing number of contexts.

Project Cycle Management methodology at Tdh

In 2001, Tdh published its first *Project Cycle Handbook*, which was updated and supplemented in 2012. In 2016, it was completed by a methodological guidance document called *Design and Implement a Monitoring System*.

While these handbooks contain basic information on emergency-related references, tools and information, they mainly focus on long-term projects, and are not ideal in emergency or humanitarian contexts.

Reference 1
Tdh Handbook in project cycle management



Tdh has therefore developed this document, which contains methodological guidelines for Project Cycle Management in Emergencies and Humanitarian Crises. The **objective** is to ***adapt approaches, attitudes, methods, techniques and tools to the emergency and humanitarian crisis context.*** This involves taking into account specificities related to context, pace, timeframe, beneficiaries, stakeholders, needs, access, security and volume – both financial and operational.

This handbook aim at:

- Ensuring that Tdh's ***policies, principles and approaches are upheld*** during project cycle management in emergencies and humanitarian crises.
- Providing a ***consistent approach and harmonised tools*** for all stages of the project cycle.
- Providing ***common references and a structured framework*** to facilitate informed steering, decision-making and corrective measures.
- Enabling a ***focus on results-based management*** to emphasize performance and results (outputs, outcomes and impact) rather than activities alone.
- Proposing a ***flexible methodology*** that is a means rather than an end in itself. This is of the utmost importance because, in an emergency, project cycle phases may overlap and separate as the situation evolves and even normalises.
- Encouraging project designers to embed ***crosscutting issues*** such as linking relief, rehabilitation and development (LRRD), gender, and ethnical, religious, diversity aspects, at all stages of the project cycle.

1.1.2 Whom are this handbook for?

This handbook is for operational and specialist teams in country offices and at Tdh headquarters who work in the emergency and humanitarian crisis context.

Box 1 **Key rules for project cycle management in emergencies and humanitarian crises** [1]

1. **Assess** What is the current situation?
2. **Think** What caused it? Who is involved? What are we going to achieve?
3. **Plan** How are we going to do it? With whom? When? With what resources?
4. **Do** Get it done. How is it going? Do we need to adapt?
5. **Review** What went well/badly? What can we learn for next time?

1.1.3 How is this handbook organised and how should it be used?

Project cycle management (PCM) is the term used to describe the **management of an intervention through a sequence of five phases**, also known as the project cycle (see figure 1).

These phases are:

- *Assessment* which is referred to as **Situation analysis** in this handbook
- **Strategic planning**
- **Implementation**
- **Monitoring**
- **Evaluation and learning**

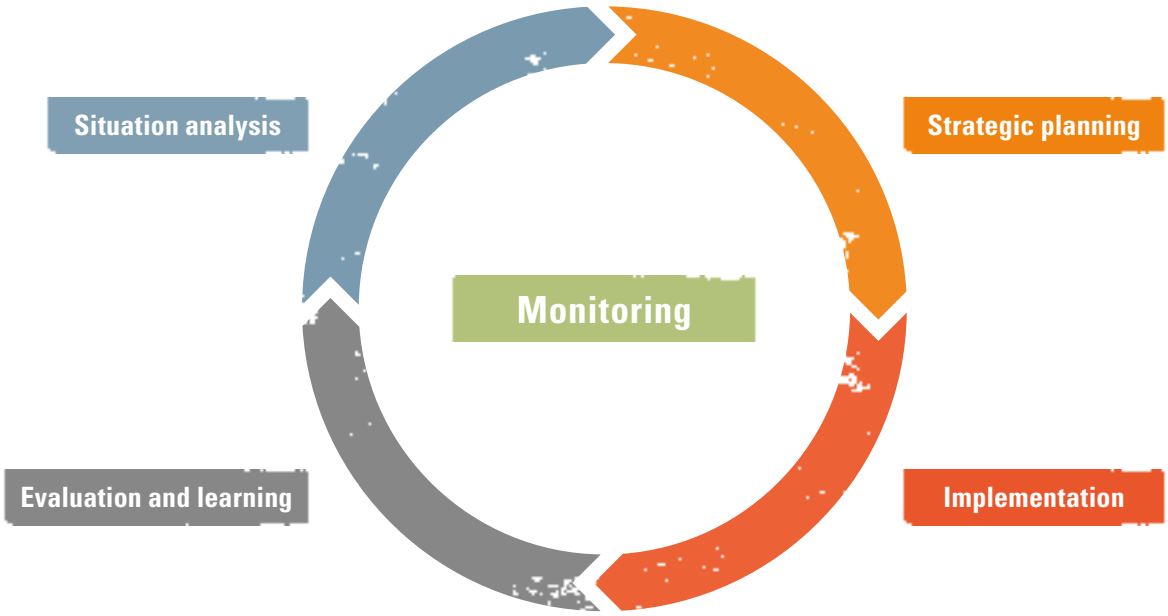


Figure 1 *The project cycle* [2]

[1] *Programme/Project Management: the Results-Based Approach*, ICRC, 2008
[2] *Ibid.*

The ***five phases are the same in the development or emergency and humanitarian crisis context*** and should be ***strictly followed***.

In practice, especially in emergencies and humanitarian crises, the ***duration and importance of each PCM phase may vary***. They help to ***design and manage the intervention***, and to ***structure the process***, while recognising the complexity and iterative nature of the intervention. They are ***interrelated, continuous and progressive, each one feeding into the next.***

The five phases of project cycle management in emergencies and humanitarian crises – but as in development - are of paramount importance in ensuring quality and accountability. However, ***this methodological handbook focuses on three phases only: situation analysis (see Part 2), strategic planning (see Part 3) and monitoring (see Part 4).*** This is because:

- these phases are often underestimated and covered superficially, despite the fact that they underpin the whole intervention, ensuring its relevance, quality and accountability;
- there is already a fair amount of good literature on the other project cycle steps, especially evaluation (eg. ANALP - *www.alnap.org*).

This handbook ***must be used in conjunction with the Project Cycle Handbook and the Design and Implement a Monitoring System methodological guidance document.***

This handbook is composed of:

- a figure summarising key project cycle information in emergencies and humanitarian crises;
- an introduction;
- a reminder of Tdh's humanitarian crisis commitments, including Tdh's emergency and humanitarian crisis programme and the main standards to follow;
- a chapter on situation analysis;
- a chapter on strategic planning;
- a chapter on monitoring.

The chapters on situation analysis, strategic planning and monitoring are designed along the same lines: definition, key features in emergencies and humanitarian crises, steps and checklist.

This handbook aims to be ***as practical as possible*** and includes:

- **Methodological information.**
- Practical **Tips** ( ) and **Tools** ( ), with the latter accessible in the toolbox accompanying these guidelines.
- A set of **Checklists** ( ) enabling staff to ensure that they meet Tdh's methodological requirements.
- **References** ( ) for further information on given subjects. Resources are freely accessible online or in the toolbox. You can also click on the reference name to be automatically redirected to it.
- A **Glossary** ( ) defining the most important terms used in this handbook. It uses Tdh vocabulary to ensure internal consistency, but Tdh teams can adapt it to specific counterparts and donors as needed.

This handbook is ***evolutive***, meaning that it will be continuously completed, updated and adapted as new Tdh and/or interagency tools and methods are developed.

This handbook is ***not exhaustive***. it should be used as a framework for project cycle management in emergencies and humanitarian crises, covering the crucial steps of situation analysis, strategic planning and monitoring. It discusses general concepts and provides advice on methods, resources and tools that can be used in emergencies and humanitarian crises.

1.2 Terre des hommes' commitments in emergencies and humanitarian crises

In this part, you will find:

- A brief overview of Tdh's Emergency and Humanitarian Crisis Programme, including the objective and framework of intervention.
- A discussion of what "linking relief, rehabilitation and development" (LRRD) means for Tdh.
- A reminder of the humanitarian principles and quality and accountability standards that Tdh has committed to following and applying.

1.2.1 Tdh's Emergency and Humanitarian Crisis Programme

Tdh's Emergency and Humanitarian Crisis Programme is presented in a set of key reference documents, which orient and support the organisation's strategy and scope of intervention in such contexts:

- *Tdh's vision through to 2030, Making a Difference*, 2015
- *Tdh's 2016–2020 Strategic Plan, Making a Difference for Children*
- *Responsibilities in Case of Emergency and Humanitarian Crisis*, 2017
- Thematic policies on emergencies and humanitarian crises

Reference 2 **Emergency and Humanitarian Crisis Programme: key reference documents**

In emergency and humanitarian crisis contexts:

- **Tdh's priority** is to meet the needs of the most vulnerable children and their communities affected by major emergencies and humanitarian crises caused by natural disasters, epidemics or conflicts.
- **Tdh's objective** is to respond immediately and effectively to the needs of children during major emergencies and humanitarian crises to significantly contribute to ensuring that the most vulnerable children have access to basic health care services as well as a protective environment. Tdh also contributes to the rehabilitation of the health and welfare systems.
- **Tdh's Model of intervention** revolves around ***direct and integrated multi-sector assistance***, focused on the basic needs of affected populations (non-food items, shelter, WASH, health, protection). In addition, Tdh's intervention strategy is to work as close to the ***frontline*** as possible. See Figure 2.

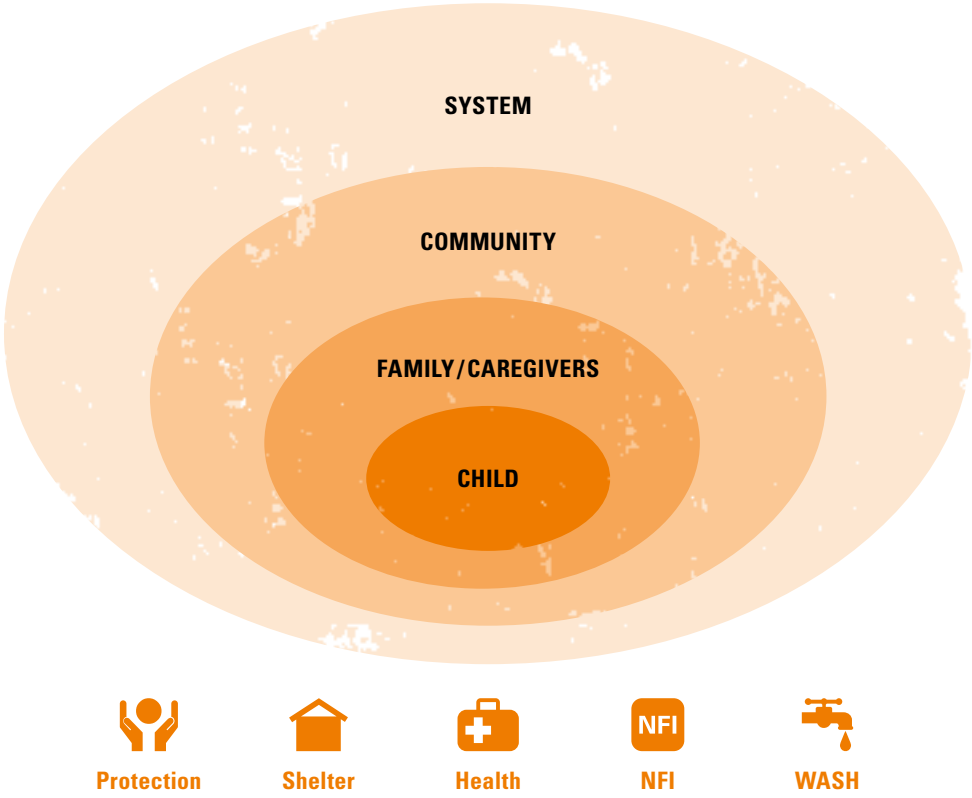


Figure 2 *Tdh's model of intervention in emergencies and humanitarian crises*

- **Tdh's approach** involves distinguishing three phases of intervention of varying duration depending on the context, the type of the crisis and Tdh's position on the linking relief, rehabilitation and development (LRRD) contiguum. This contiguum is of paramount importance for Tdh: the organisation's ability to consider LRRD in each intervention constitutes its added value and a way of making a difference.

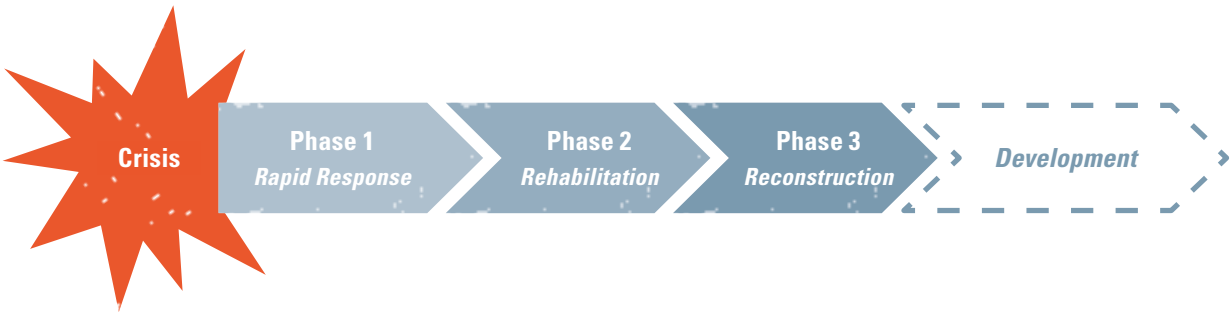


Figure 3 *Tdh's three phases of intervention in emergencies and humanitarian crises*

- **Tdh's context of intervention** is level 1, 2 and 3 level crises (see Box 2). Level 2 and 3 crises are covered by the Humanitarian Aid Direction, and level 1 crises fall under the responsibility of the Geographic Operations Direction.

Box 2 Level 1, 2 and 3 crises

As outlined in the document *Responsibilities in Case of Emergency and Humanitarian Crisis*, Tdh intervenes in level 1, 2 and 3 crises, which are defined as follows:[3]

- **Level 1 "low-level crisis":** a one-time urgent situation of minimal or low severity that is confined, seasonal, sudden or structural. Local and/or national authorities guarantee and coordinate the emergency aid.
- **Level 2 "humanitarian crisis"**: a medium-level crisis, that is localized or widespread, seasonal, sudden or structural, and has an impact on the country's stability. The local and national authorities that assure and/or coordinate the response are involved parties. In general, United Nations agencies (OCHA) are also present and oversee humanitarian aid. These crises require special attention on the part of humanitarian relief organizations (ReliefWeb, ACAPS, etc.) and donors (ECHO, OFDA, SwS, etc.).
- **Level 3 "Severe humanitarian crisis"**: a major humanitarian crisis, that is sudden or complex and created by man or nature and characterized by massive violence, displaced populations, and damage to society and the economy. This type of crisis necessitates massive and multi-sector humanitarian aid. Generally, in such situations, there are difficulties or barriers affecting the provision of aid, caused by political and military factors and/or security risks to humanitarian workers. The local and/or national authorities that ensure and/or organize aid are involved parties. United Nations agencies (OCHA) are also present and oversee humanitarian aid. These crises require special attention on the part of humanitarian relief organizations (ReliefWeb, ACAPS, etc.) and donors (ECHO, OFDA, SwS, etc.).

To determine the crisis level, Tdh refers to OCHA classifications (*www.unocha.org/where-we-work/current-emergencies*) and ACAPS classifications (*www.acaps.org/countries*). The crisis level is determined by the Humanitarian Aid Direction. The list of countries in crisis is reviewed every trimester by the Humanitarian Aid Direction in collaboration with the Geographic Operations Direction, with the aim of following up on the situation and deciding on possible humanitarian aid intervention.

1.2.2 Linking relief, rehabilitation and development

Tdh is an organization driven by a sustainable development goal and combines humanitarian interventions and long-term development efforts, sometimes in the same country. It is therefore particularly important that emergency interventions support or at least do not impede long-term development projects and vice versa.

Consequently, to ensure the quality of its programming, Tdh has established a rule that ***all emergency and humanitarian interventions must focus on the linking relief, rehabilitation and development contiguum (LRRD).***

The LRRD approach aims at ensuring that humanitarian responses do not undermine development work and that development programming builds on humanitarian knowledge and results.

Better linkages, coordination and streamlining between development and humanitarian programming can ensure more effectiveness – including cost-effectiveness – and efficiency in all assistance efforts. This involves immediately subscribing to a longer-term view, seeking to avoid the replacement of pre-emergency existing structures (where possible), and aiming at ***sustainable results***. The notion of "two-way LRRD" supports a more reciprocal and multidirectional relationship between relief and development.

In concrete terms, this means directing humanitarian responses towards sustainability and the lasting re-establishment/strengthening of protection mechanisms and long-term healthcare, which can be progressively assumed by families, communities and public authorities.

[3] *Responsibilities in Case of Emergency and Humanitarian Crisis*, Tdh, 2017

Crises are not linear and different population groups are likely to have different needs at the same time. For this reason, LRRD assistance may coexist and overlap. LRRD therefore relies on the notion of the contiguum, which is a more accurate reflection of the complexity of situations involving both long- and short-term operations and uneven spatial dynamics.

LRRD is of the utmost importance as it contributes not only to the relevance and the quality of the intervention, but also to supporting Tdh's ambition to become one of the main actors in emergencies and humanitarian crises worldwide, ensuring the organisation really does make a difference.

This handbook does not seek to explain LRRD theories but to provides ***practical tips to ensure that LRRD is taken into account at all stages of project management in the context of emergencies and humanitarian crises***. These tips are detailed in the Figure 4.

Reference 3

- *A dangerous delay, the cost of late response to early warnings in the drought in the Horn of Africa*, report, Save the Children and Oxfam, 2012
- *Linking relief, rehabilitation and development: towards a more joined up approach enhancing resilience and impact*, position paper, VOICE-CONCORD, July 2012
- *Remaking the case for linking relief, rehabilitation and development: how LRRD can become a practically useful concept for assistance in difficult places*, report commissioned by the Humanitarian Policy Group (HPG), March 2014
- *LRRD and resilience, a study to improve the adaptive capacity of affected populations*, HealthNet TPO, War Child and Save the Children, 2015

How

Plan and include long-term interventions from the start of a humanitarian or emergency response…

The four golden rules of LRRD

Flexibility

- Do not substitute yourself for local stakeholders and capacities.
- Include local populations and stakeholders at all project cycle steps.
- Map local systems and stakeholders and assess their capacities.
- Invest in and support local systems and stakeholders: communities, civil society organisations, institutions and authorities, etc. Build their capacities and develop partnerships.
- Work with development actors and authorities before (preparedness, inclusion of disaster risk reduction measures in programming) and during the emergency or humanitarian crisis.
- Coordinate with other agencies in the field and take part in joint analysis activities.
- Plan a transition or exit strategy in the early stages of the humanitarian action that ensures longer-term positive effects and reduces the risk of dependency.

Participation & Inclusion

- Monitor changes in the context and in the needs of the affected population.
- Conduct and continuously update risk analysis including do-no-harm.
- Use your monitoring as real-time learning. Learn, innovate and implement changes based on monitoring and evaluation, and feedback and complaints mechanisms.
- Draw on lessons learnt and prior experience.
- Strategically and progressively shift from input, output and short-term outcomes to longer-term outcomes focusing on the root causes of vulnerability.
- Implement holistic and multi-sector interventions.
- Include activities that aim at strengthening the resilience and capacities of affected populations from the start of the intervention. Focus on vulnerabilities and their root causes.
- At the Tdh level, as soon as the situation stabilizes, work together across departments. In countries affected by chronic or protracted crises, jointly monitor the changing dynamics of situations.

Coordination

Sustainability

Crises are not linear. These golden rules must therefore be considered with respect to the crisis type and stage, as well as its context.

Figure 4 *The four golden rules of LRRD*

1.2.3 Humanitarian principles and quality and accountability standards

In emergencies and humanitarian crises, Tdh is committed to following **humanitarian principles**, and meeting quality and **accountability standards**. For this reason, all interventions implemented in emergency and humanitarian crisis contexts should:

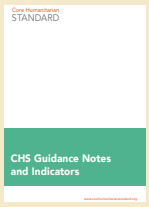
- Follow the four widely accepted humanitarian principles: humanity, neutrality, impartiality and independence;
- Respect the Core Humanitarian Standard (CHS), the Sphere Standards and the Minimum Standards for Child Protection in Humanitarian Action (CPMS). The CHS describes organisations' commitments to quality and effectiveness, whereas the Sphere Standards and CPMS set out a process to achieve these standards;
- Apply the "do no harm" and conflict sensitivity approaches.

Reference 4 Do no harm: Good reading and further information

- *Do No Harm: How Aid Can Support Peace – or War*, Mary B. Anderson, 1999
- The Do No Harm Program, CDA Collaborative, *cdacollaborative.org*

Box 3 *Zooming in:* Global standards in emergencies and humanitarian crises

The Core Humanitarian Standard (CHS)



The Core Humanitarian Standard (CHS) sets out ***nine Commitments that organisations and individuals involved in humanitarian response can use to improve the quality and effectiveness of the assistance they provide.*** It also supports greater accountability to communities and people affected by crisis by ensuring that:

1. Humanitarian response is appropriate and relevant;
2. Humanitarian response is effective and timely;
3. Humanitarian response strengthens local capacities and avoids negative effects;
4. Humanitarian response is based on communication, participation and feedback;
5. Complaints are accepted and addressed;
6. Humanitarian response is coordinated and complementary;
7. Humanitarian actors continuously learn and improve;
8. Staff are supported to do their job effectively, and are treated fairly and equitably;
9. Resources are managed and used responsibly for their intended purpose.

The CHS must be taken into account all along the project cycle management phases. To do so, the Quality & Accountability COMPASS provides a series of recommendations, processes and tools that have been specifically designed to help you implement the CHS in all sectors, contexts and operational zones. These resources can be found on: *www.urd.org/The-Quality-and-Accountability*

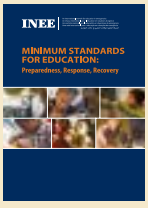
The Sphere standards

The Sphere Project is a voluntary initiative that brings a wide range of humanitarian agencies together to work towards the common goal of ***improving the quality of humanitarian assistance and the accountability of humanitarian actors*** to their constituents, donors and affected populations. It is one of the most widely known and internationally recognized sets of common principles and universal minimum standards in life-saving areas of humanitarian response.

The Sphere Humanitarian Charter summarises the core legal standards that have most bearing on the welfare of those affected by disaster or conflict. It also sets the Minimum Standards in Humanitarian Response:

- Water supply, sanitation and hygiene promotion;
- Food security and nutrition;
- Shelter, settlement and non-food items;
- Health action.

The Sphere Standards can be used along with their five companions dealing with child protection (see CPMS), education, livelihood, economic recovery and cash transfer:



The Minimum Standards for Child Protection in Humanitarian Action (CPMS)

The Minimum Standards for Child Protection in Humanitarian Action (CPMS), one of the Sphere companions, were developed ***to support child protection work in humanitarian settings.*** In such contexts, the standards are intended to:

- Establish common principles amongst those working in child protection, and to strengthen coordination between them;
- Improve the quality of child protection programming, and its impact for children;
- Improve accountability within child protection work;
- Provide a synthesis of good practice and learning to date;
- Enable better advocacy and communication on child protection risks, needs and responses.

The CPMS are grouped in four categories:

- Standards for a quality child protection response;
- Standards to address child protection needs;
- Standards to develop adequate child protection strategies;
- Standards to mainstream child protection in other humanitarian sectors.

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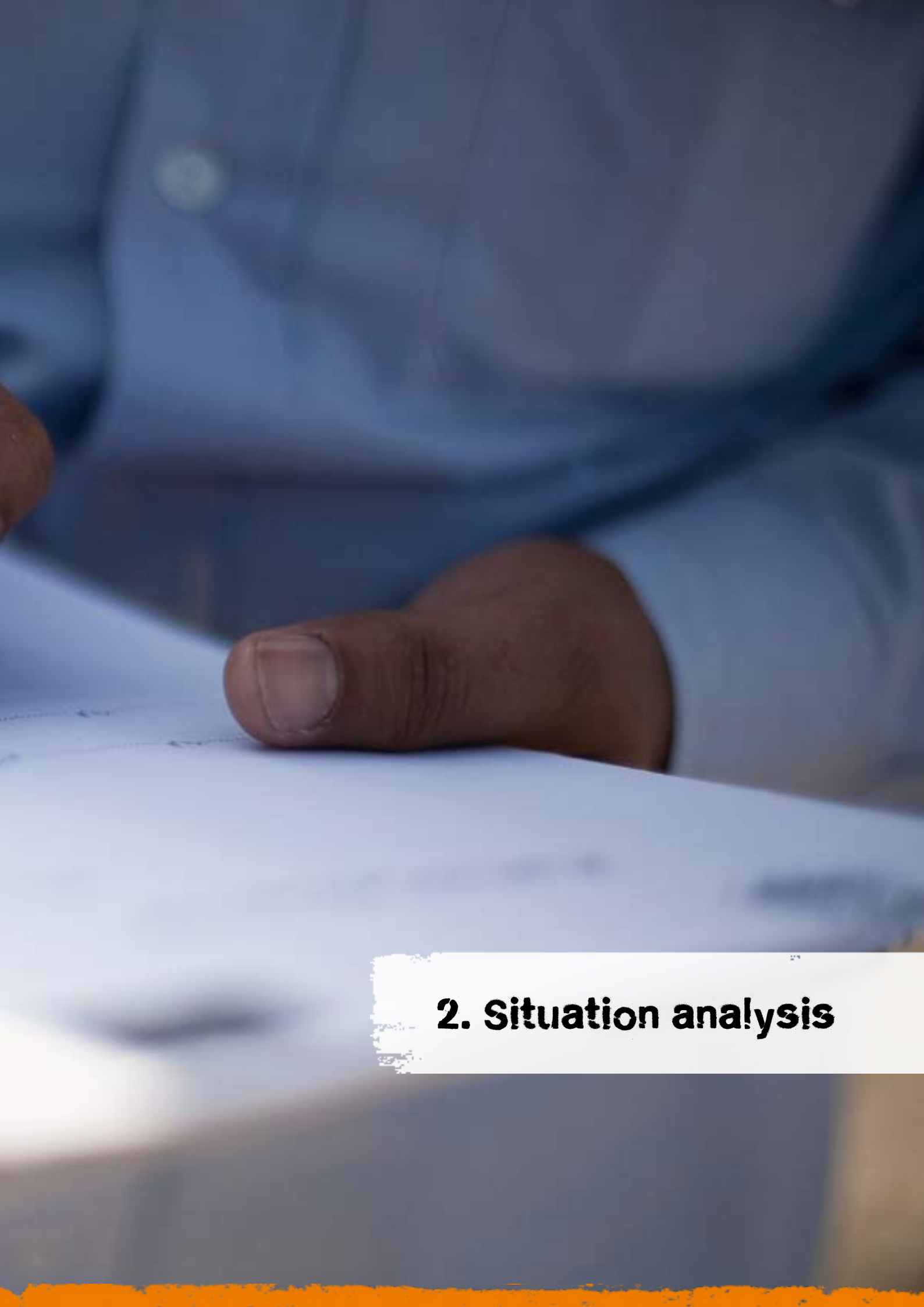


2. Situation analysis

2.1 What will you find in this chapter?

This chapter describes **four successive steps** to be used in situation analysis, with the goal of ensuring that Tdh's principles and approach are upheld. They refer to and complement Tdh's Project Cycle Handbook by addressing factors specific to emergencies and ensuring LRRD is taken into account.

This chapter will provide **methods, tips and tools *to successfully complete these four steps***. In addition, references contain further reading on some aspects of situation analysis, which can be consulted if desired.

These steps apply regardless of the type of situation analysis being conducted (rapid, detailed or continuous).

At the end of the chapter, a **checklist** summarises important and compulsory milestones in the situation analysis process. Go through it to make sure you are on the right track before moving forward to the next project cycle stage.

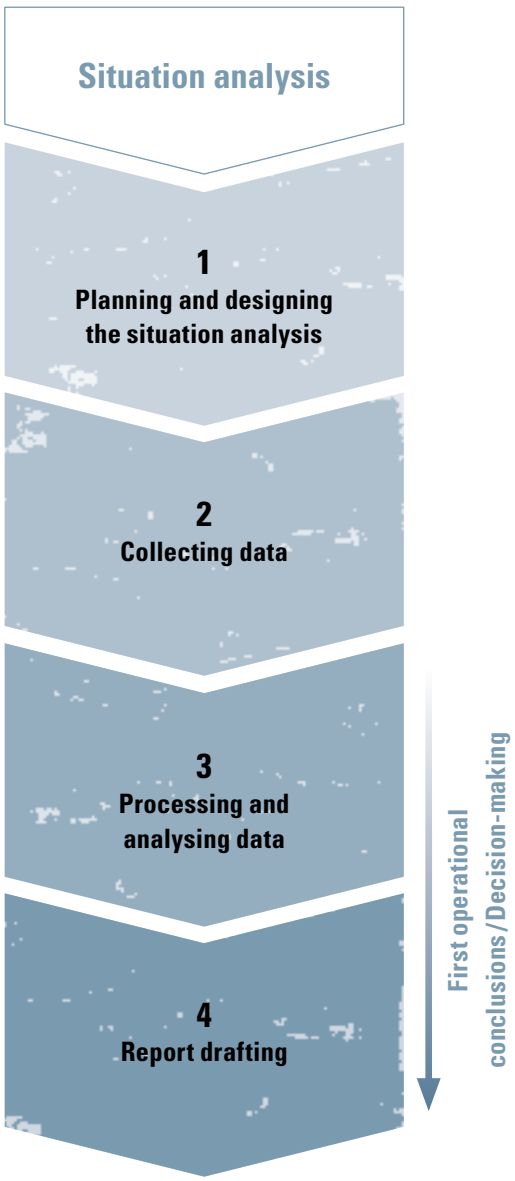


Figure 5 The four steps of situation analysis

2.2 Definition and objective

Situation analysis [4] seeks to establish an understanding of the context, needs and vulnerabilities of affected communities, as well as available resources and capacities, in order to support the design of an intervention and/or project which responds in the best possible way to the communities' needs while facilitating LRRD. The purpose of situation analysis is not to identify an intervention but to determine whether it is needed or not.[5] It is therefore a process supporting and informing decision-makers at Tdh (go or no go).

Situation analysis is a compulsory step at Tdh and must be conducted in every emergency and humanitarian crisis context.

There are three types of situation analysis[6] depending on the situation and the stage at which it takes place:

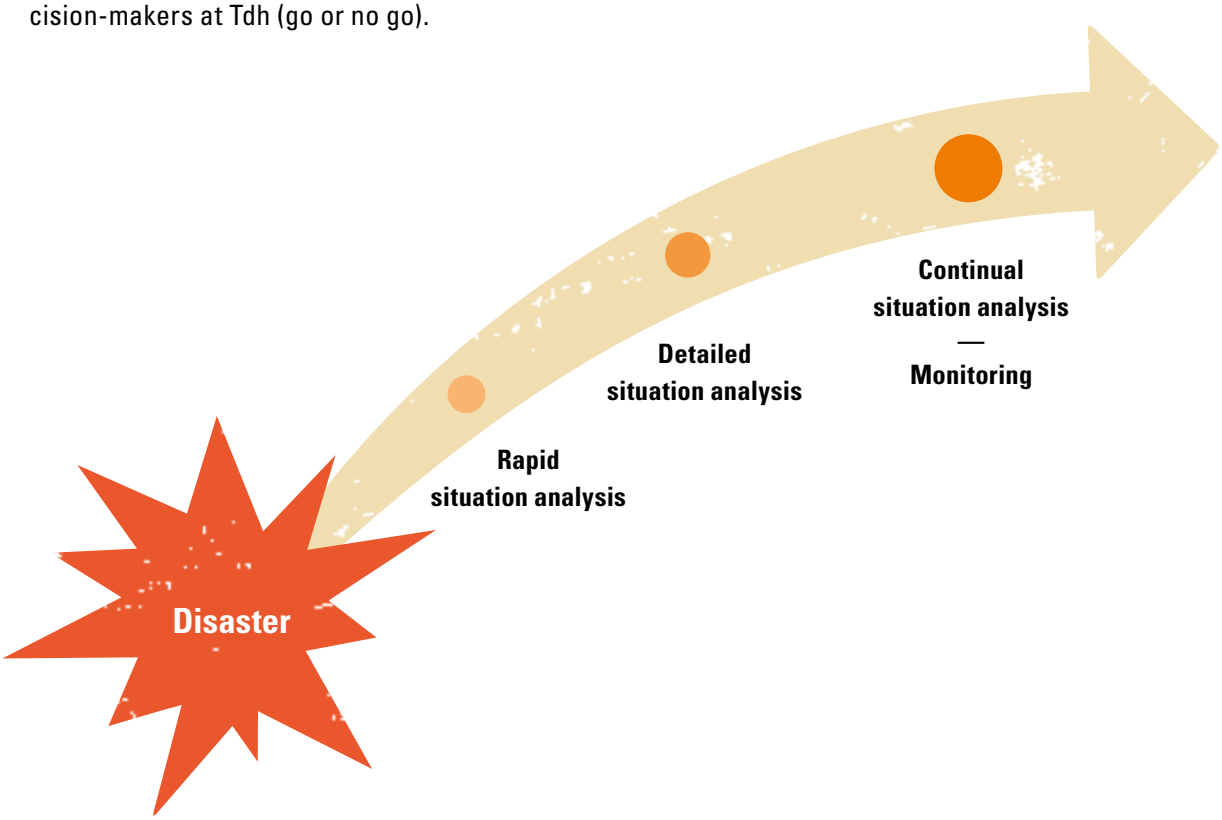


Figure 6 *Types of situation analysis*[7]

[4] In the humanitarian Aid sector, the terms "assessment" and "need assessments" are usually used. However, in this guide, we will use the term "situation analysis", to be consistent with the *Project Cycle Handbook*. In addition, situation analysis goes further than a simple analysis of the needs of the population affected by the crisis , by trying to capture also the local capacities, leverages, systems in place, potential factors and actors of changes.

[5] *Guidelines for assessment in emergencies*, IFRC/ICRC, March 2008

[6] *Ibid.*

[7] *Hempel / Queiroz De Souza*, 2013

Rapid situation analysis

- ***When?*** During the first days following the emergency, ideally days 1 to 3, and up to day 7.
- ***How long?*** One week or less.
- ***Why?*** Due to a major upheaval.
- ***What?*** Establishes the foundations for delivering immediate emergency assistance: needs, existing capacities of the affected population, areas of intervention and resource requirements.
- Should be followed by a detailed situation analysis.

Detailed situation analysis

- ***When?*** Conducted over the following one to three weeks.
- ***How long?*** Depending on the scale of the emergency, the affected area, the complexity of issues and the amount of resources available, a detailed situation analysis can take up to several weeks.
- ***Why?*** A detailed situation analysis may be carried out for any of the following reasons:
  - ✓ A rapid situation analysis has been done, and more detailed information is required to enable recommendations to be made;
  - ✓ Tdh is considering starting operations in a new area and requires detailed information to make a decision;
  - ✓ Tdh suspects that the situation is changing gradually (e.g. a slowly developing drought) and needs more information.
- ***What?*** Gathers more specific and comprehensive information on the emergency and the proposed response.

Continual situation analysis

- ***When?*** Takes place when Tdh has carried out a detailed situation analysis and is already operational in the area.
- ***How long?*** No timeframe since it is continuous.
- ***Why?*** Effective continual situation analysis helps to spot when changes occur and, when they do, to initiate a rapid or detailed situation analysis.
- ***What?*** Involves regularly updating information on the situation and seeking relevant feedback from beneficiaries in order to facilitate decision-making on long-term activities. Information gathered during continual situation analysis is used as secondary information during rapid and detailed situation analysis.

2.3 Key features of situation analysis in emergencies and humanitarian crises

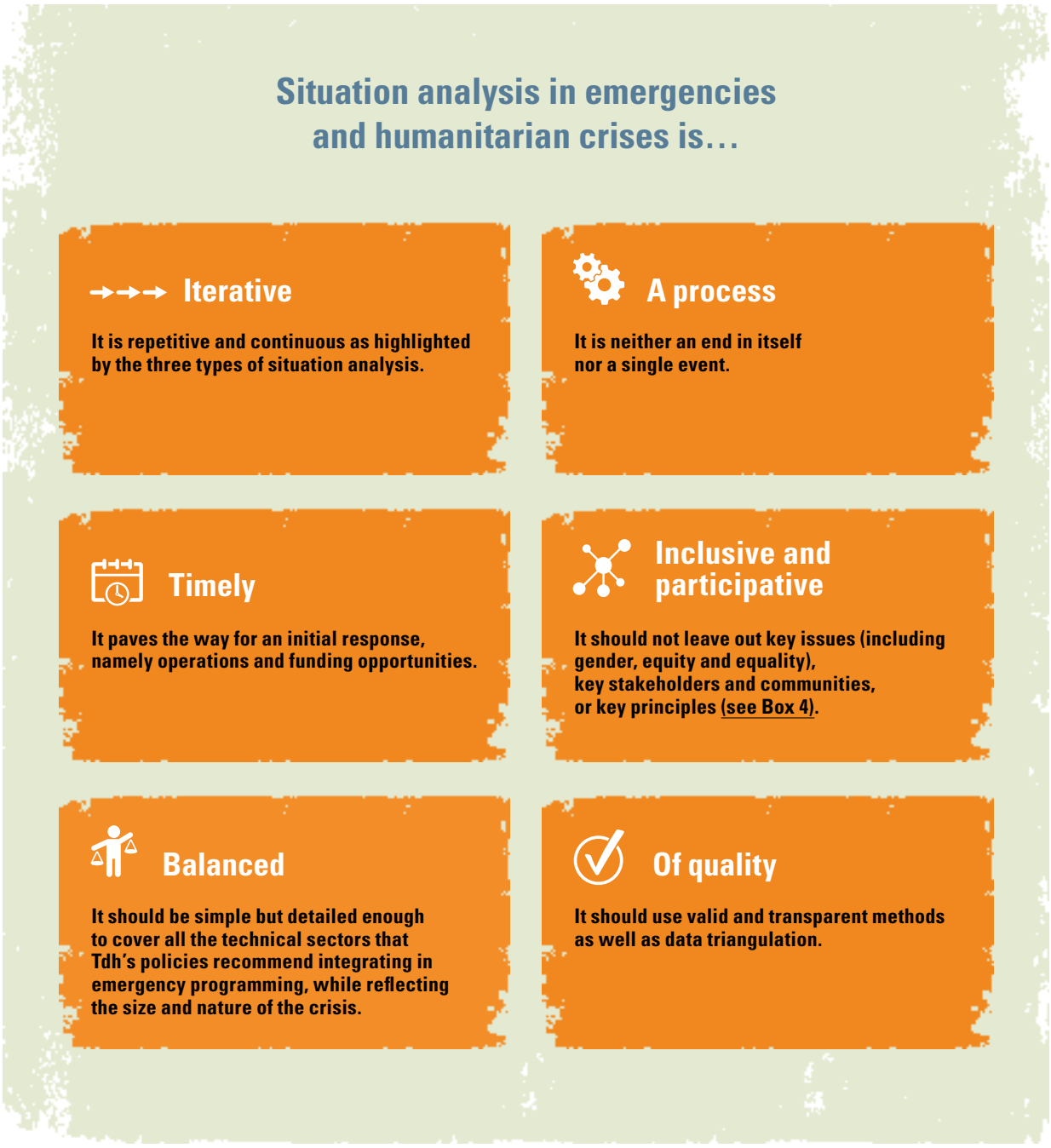


Figure 7 *Key features of situation analysis in the emergency and humanitarian crisis context*

Reference 5

- *Guidelines for Assessment in Emergencies*, IFRC/ICRC, March 2008
- *Humanitarian Needs Assessment. The Good Enough Guide*, ACAPS, 2014

Box 4 *Zooming in:* Participation and information sharing

Tdh requires all actions, whether they are in development or emergency contexts, to promote and implement information sharing and participation mechanisms at all stages of PCM.

Participation: Participation is key, as it puts beneficiaries in a decision-making position during PCM. Representation must be inclusive, through the involvement and engagement of communities, including women, men, girls and boys affected by the crisis at all stages of work.

Whatever the context, ***child participation*** is also important at all stages of emergency PCM. It should be organised based on children's emotional and cognitive capacities and age group, recognising their specific vulnerabilities, in accordance with Child Protection Rapid Assessment recommendations.

Information sharing: In a crisis context, information sharing is different from participation. It concerns all stakeholders, in particular affected communities, who must be made aware of the organisation, its mandate, its principles, its plans and expected deliverables. Information provided by communities helps define needs, capacities and risk analysis, which are key points for situation analysis. As for participation, information sharing must occur at all PCM phases. The key to successful information sharing is to communicate in languages, formats and media that are easily understood, respectful and culturally appropriate for different members of the community, especially vulnerable and marginalised groups.

See Box 35: The importance of participation in monitoring.

2.4 Step 1: Planning and designing the situation analysis

Planning the situation analysis is a **key step**: overlooking it may jeopardise the entire process.

Why?

- Although emergencies are characterised by urgency, correctly following this step ensures that the resulting intervention gains in ***available time and quality***. Experience shows that there is always more time than we think in an emergency context, and that a rapid situation analysis is not always appropriate.
- ***Data that is wrongly collected or of poor quality cannot be analysed or used.***
- Someone may be already collecting the same data. ***The lack of coordination and assessment fatigue*** can generate frustration among the affected population and Tdh staff.
- ***Do not put your team at risk***: consider the security and logistics context.
- You may ***not be fully sure about what information you need*** and how it can best be gathered.

What are the requirements for successful planning?

How Planning a situation analysis…

The six golden rules of situation analysis planning

1. Conduct a preliminary review of secondary information.
2. Establish the situation analysis team.
3. Define objectives, information gaps and key questions.
4. Choose the right methods for primary data collection.
5. Develop the Terms of Reference (ToRs) for the situation analysis.
6. Develop the data collection tools.

Figure 8 *The six golden rules of situation analysis planning*

1. Conduct a preliminary review of secondary information

Description

When?

As soon as the crisis occurs. It should be dealt with in depth as soon as Tdh has made the decision to intervene and launch an emergency response to the crisis.

How?

A preliminary analysis of secondary data is carried out. Exchanges with experts can also take place.

Why?

It confirms whether Tdh conducts a situation analysis and, if so, which type of analysis will be conducted.

It also helps to define the information gap, objective and questions to explore during the situation analysis, and is used as a basis for drafting the Terms of Reference.

Methods and tools

Have a look at:

- Situation reports, humanitarian dashboard, flash appeals, online networks, etc. published by cluster and the humanitarian community (ACAPS, ReliefWeb, Humanitarian Response, etc.);
- Field assessment reports from other organisations including government, ministries of the country of intervention;
- Media reports;
- Socio-political, socio-economic and historic studies and research reports;
- Census data;
- Meteorological data;
- Maps;
- Eyewitness accounts (of people who have recently come from affected areas).

In addition, staff should exchange with experts on the affected area and coordinate with other on-site agencies.

2. Establish your situation analysis team

Description

When?

During the ToR drafting process.

Why?

This is a crucial step as conducting a situation analysis in a quick onset disaster or large-scale humanitarian response requires teamwork and the allocation of proper profiles. This team will:

- Collect data/information and ensure its usefulness and accuracy;
- Coordinate and exchange information with other key actors (cluster, etc.);
- Define the strategic stakes for the future project(s);
- Identify opportunities for longer-term projects;
- Identify and contact potential partners and donors;
- Prepare a situation analysis report.

Methods and tools

The team who will conduct the situation analysis should:

- Be tailored to the context (country, type of crisis, etc.);
- Balance skills, experience (methodology vs technicity) and gender;
- Be trained on the objectives of the situation analysis and the data collection methods;
- Be briefed on ethics and do no harm.

As per Tdh Emergency and Humanitarian Crisis policy, the headquarter-based team sent to the field must be composed of:

Level 3 crisis:

- 1 Humanitarian Desk Officer who is team leader;
- WASH, Protection and Health Humanitarian Specialists;
- 1 Logistician;
- 1 Finance Controller;
- 1 Communication Specialist (depending on the situation).

Level 2 crisis (minimum set up):

- 1 Humanitarian Desk Officer who is team leader;
- 1 Humanitarian Specialist chosen according to the situation.

Depending on the context, the team leader adds to the situation analysis team in collaboration with the Humanitarian Specialist by recruiting additional persons once in the field (assessors, logisticians, etc.).

Reference 6

- *Humanitarian Needs Assessment. The Good Enough Guide*, ACAPS, 2014
- *Gender Guidelines*, Tdh, 2003

3. Define information gaps, objectives and key questions

Description

When?

Once the secondary data review has been completed, if a significant information gap remains (phrase key questions and scope), plan to collect primary data in the field, focusing on the issues of how (method) and from whom (sources).

How?

A list of key questions guides the team conducting the situation analysis. It should cover four main components:

- **Context analysis;**
- **Stakeholder analysis;**
- **Problem analysis;**
- **Resource analysis.**

The situation analysis provides information on the four following key elements[8]:

- **Where:** locations where the impact has been greatest and/or is likely to be greatest.
- **Who:** groups most in need of humanitarian assistance and/or most vulnerable.
- **What:** sectors that require immediate action and/or on-going attention.
- **What:** systems, networks, organisations that are still functioning.

Methods and tools

Keep in mind:

- As per Tdh's humanitarian action strategy, key questions must be chosen to ensure a ***comprehensive and multi-sector intervention***.
- Design a list of generic key questions.
- Use the ***MIRA framework*** as a guide.
- Draw up the final list based on usefulness, feasibility and context sensitivity.
- Translate and check understanding.

Tool 1

- The Sphere Project: assessement checklists for each standard.
- ACAPS methodological resources:
  Quantitative and Qualitative Research Techniques for Humanitarian Needs Assessment, ACAPS, 2012
  Questionnaire Design, ACAPS, 2016
  Secondary Data Review, ACAPS, 2014
- *Multi-cluster/sector Initial Rapid Assessment*, IASC, 2015

[8] *Humanitarian Needs Assessment. The Good Enough Guide*, ACAPS, 2014

Box 5 *Zooming in:* Context, stakeholder, problem and resource analyses[9]

Context, stakeholder, problem and resource analyses are the keystone to a successful situation analysis and relevant strategic planning. Have a look at the "Drawing the first operational conclusion" section or at the Tdh *Project Cycle Handbook* to better understand these concepts and get examples of tools to be used to conduct these analyses.

These analyses are ***compulsory. Adapt the depth of the analysis to the emergency stage***.

Keep in mind the following:

Context analysis: check that conditions allow Tdh to both operate a country office and to run projects smoothly. Do this by examining the following aspects:

General situation: geography and population, administrative and political situation, economy, health and education, public and private services, human rights situation, etc.

Operational conditions: security, administration (registration, visa, customs regulations, etc.), infrastructure (water, electricity, communication, etc.), offices and accommodation, transport, human resources (availability of qualified staff, salary, labour law, etc.).

Analysing the social and cultural situation of communities concerned by a future project makes it possible to acquire better knowledge of daily realities, living conditions, and the constraints facing beneficiaries and partners. This analysis must include religion, beliefs, gender taboos, and other practices. It helps to take into account the various components of the environment and is especially recommended for projects at community level.

Stakeholders analysis: stakeholders are all individuals, families, formal or informal community-based groups, local initiatives, government services, NGOs, and international agencies that are affected or concerned by an issue. Analysing them makes it possible to better identify the beneficiaries and target groups of the future project, identify potential partners, and choose the stakeholders towards whom we will direct our advocacy efforts. ***For whom will we carry out our intervention? With whom will we act? Whom do we wish to support, and who do we wish to influence?*** The answers to these questions depend on the stakeholders' perceptions, views and interests concerning the issue, and on how they interact when responding to the issue.

Problem analysis: the aim is to identify the central issue/critical points that stakeholders deem important and that they wish to resolve. A clear problem analysis forms the basis of a coherent and well-focused objective for the project. When analysing problems, look into their causes and consequences.

Resource analysis: ***What resources can be mobilised?*** They may be external, local, and even within the concerned communities. Look at stakeholders' resources, potential financial resources (donors), potential partnerships (alliances, cooperation) and interagency coordination mechanisms (clusters).

Box 6 Beware: a "problem" is not a "need"

In practice, "shortcuts" regularly occur in situation analysis reports: needs are presented without a strong analysis of problems or their scope. A robust planning and design process may prevent this and strengthen the relevance and quality of the proposed intervention logic.

A practical example:
"*The situation analysis shows that 85% of households have been defecating in open fields since the event. We will therefore build latrines in each household.*"

Here, the need(s) caused by the problem have neither been presented nor analysed. Solid and evidence-based elements to ground the intervention logic and justify the proposed response have not been provided.

Instead, we should write: "*The situation analysis argues that 85% of the informants have been defecating in open fields since the event. Observations have also confirmed that 95% of public and private latrines have been destroyed by the disaster implying major health, hygiene and protection risks. These findings show a strong need for sanitation infrastructures. Considering the intervention context (culture, hygiene practises before the crisis, government recommendations, etc.), it is therefore suggested to rehabilitate or re-build private and public latrines.*"

[9] *Project Cycle Handbook*, Tdh, 2012

4. Choose the right methods for primary data collection

Description

Primary data can be collected using quantitative and/or qualitative methods, depending on constraints (time, budget, security, and access), the emergency phase, information gaps, the objective, approach, thematic issue and team competencies.

Box 7 Quantitative data versus qualitative data[10]

At all stages of PCM, the question of collecting qualitative and/or quantitative data will arise. The answer depends on the PCM stage and the crisis. Regardless of the PCM stage, beware of accepting the false dichotomy between qualitative and quantitative data, as a combined approach is always more desirable.

"Quantitative data: three questions to 3,000 persons"[11]

Quantitative data measures and explains what is being studied with numbers (e.g. counts, ratios, percentages, etc.). It uses structured approaches to produce precise data that can be statistically analysed and replicated (copied) for comparison. It is reliable and said to be objective.

"Qualitative data: 3,000 questions to three persons"

Qualitative data explains what is being studied with words (documented observations, representative case descriptions, perceptions, etc.). Qualitative methods include semi-structured techniques (e.g. observations and interviews) to provide in-depth understanding of attitudes, beliefs, motives and behaviours. They tend to be more participatory, flexible, dynamic and reflective in practice. They explain a subjective reality.

Examples:

Quantitative data: Number of refugees living in the informal settlement of XXX.
Qualitative data: They live in makeshift tents made of plastic sheeting and wood.

Quantitative data: % of water-pumps were destroyed by the hurricane.
Qualitative data: The water coming from the still-functioning water-pumps is cloudy.

Methods and tools

Most common and simplest methods and techniques to collect primary data

- **Direct observation;**
- **Individual interviews** with key informants;
- **Focus group / community group discussion:** small and homogeneous groups of people concerned by the issue talk about it in an informal manner. This allows participants to express their expectations in relation to a potential intervention;
- **Quick surveys.**

[10] Adapted from: *Project/Programme Monitoring and Evaluation Guide*, IFRC, 2011
[11] Adapterd from: *Data-collection : Qualitative Methods*, Médecins du monde, 2012

Define your sources, meaning the stakeholders from whom you are going to collect the data.

Defining the stakeholders to be met

Depending on the type of situation analysis, **list the types of actors and key informants** you would like to meet and interview in the targeted geographical areas. They will include the following:

- Affected persons, including special and marginalized groups (children,[12] elderly people, etc.);
- Community leaders, including religious leaders;
- Relevant professionals (in health, education, WASH, etc.)
- Government authorities at the national and local levels;
- The army and armed groups;
- Local and national NGOs;
- UN agencies, international NGOs, coordination structures (e.g. clusters).

Prioritise this list based on time, access (security is a key factor) and resources.

Where possible, try to **keep your stakeholder pool gender-balanced.**

Reference 7

- *Direct observation and key informant interviews*, ACAPS technical brief, 2011
- Tdh resources pack

Think about your sampling design. You will not have the resources to visit everybody everywhere in a disaster-affected area, so you will have to adopt a sampling strategy, which will vary depending on the crisis phase.

Use a variety of methods to enable triangulation.

Do not exclusively visit the worst-affected areas as you may over-estimate the impact of the disaster. Visit a range of sites that will provide a better overview of needs. The presence of other actors in the potential areas of intervention will also drive the choice to assess worst-affected areas or others.

How to define your sample:

- If the context and the emergency phase allows it, choose a ***randomly chosen representative sample*** of the affected population in the assessed area.
- At the onset of an emergency, it is more realistic to collect data at the community level (e.g. village or site), or group level (e.g. internally displaced people or resident population) rather than the household or individual level.

[12] Always follow a basic principle: do not interview children unless in a specific environment and with specialised staff (CPRA) – avoid re-victimisation.

Tool 2

- Tdh Q&A survey pack: *app.tdh.ch/qualite*
- *Purposive Sampling and Site Selection*, ACAPS Technical brief, 2011

Box 8 Which sampling method best suits the emergency phase?

First day and weeks: purposive sampling is useful to quickly reach specific segments of the population. Proportionality will not be necessarily your primary concern at this stage. But keep in mind that you will not be able to extrapolate results to the entire population. You will only be able to determine whether the crisis has affected different geographical areas or groups in the same way.

After the first two weeks, you can opt for more complex sampling approaches (random, stratified or cluster sampling) if you have the resources for a more ambitious survey.

However, use your common sense: do not run long and complicated surveys that, once analysed, will have no usability given that the situation has already changed (e.g. in natural disasters such as floods, the situation can change rapidly).

Box 9 *Zooming in:* Data protection

Data protection is of paramount importance at all steps of the project cycle. Tdh teams should be aware of the risks of collecting and handling information relating to individual or specific events, and how to prevent, mitigate and address these risks.

Risks

In emergencies and humanitarian crises, especially in situations of armed conflict or other forms of violence, ***collecting and handling data can put people at risk***, because of the sensitive nature of the information collected. In some cases, just participating in processes (intervention, interviews, and meetings), mapping and using new information technologies (MDC, internet, SMS, satellite imagery and GIS) can cause people to be stigmatised, or identified and targeted. When personally identifiable information is leaked in sensitive contexts, it can spark violence, discrimination, or exclusionary policies. Services can be denied to individuals or entire groups. Groups can be harmed without individuals ever being identified, through discriminatory policies on the basis of data, on the basis of perceived relationships, or through subtle social dynamics or engineering.

In addition, ***project credibility and relationships*** with local partners and beneficiaries can be harmed when stakeholders feel exploited for data without receiving benefits, or when projects have adverse and unintended consequences.

Lastly, ***NGO brands and operations*** can be harmed, with negative consequences for funding, legal liability, high level policy discussions, or credibility with public institutions or the audience they seek to serve.

Prevention and mitigation measures

For Tdh, collecting and handling data means that we bear ***responsibility for managing the risks*** associated with these processes. Tdh stresses the need for caution in handling information in line with professional standards for protection work and humanitarian principles, and the obligation to remain alert to and ***address any negative repercussions on the individuals or communities concerned***.

This includes systematically analysing the risks and benefits associated with any data collection process (including tools), applying the principle of informed consent and implementing information handling procedures (e.g. protocols for data collection, retention and information sharing) to protect information.

This also entails ***securing personal information collected about beneficiaries***, whether this data is hard or soft. Personal information means information relating to an identified or identifiable natural person. This may include an identifier such as a name or audiovisual materials, an identification number, location data or an online identifier; it may also mean information that is linked specifically to the physical, physiological, genetic, mental, economic, cultural or social identity of a data subject. The term also includes data identifying or capable of identifying human remains.[13]

Reference 8 Guidelines and standards: managing sensitive information

- *Handbook on Data protection in Humanitarian Action*, ICRC, 2017
- *Professional Standards for Protection Work*, ICRC, 2013
- *Conducting Mobile Survey Responsibly*, WFP, 2017
- "Data starter kit for humanitarian field staff": *elan.cashlearning.org*

[13] *Rules on Personal Data Protection*, ICRC, 2016

5. Develop the Terms of Reference (ToRs) for the situation analysis

Description

When?

As soon as the decision is made to intervene and launch an emergency response to the crisis.

How?

Use Tdh's template for Situation Analysis Terms of Reference. Keep ToRs short.

Why?

ToRs, even short, ensure that:

- You will get the support needed;
- Everyone is on board and has a joint understanding of the assignment;
- Enough resources have been secured;
- The scope of the field work is realistic;
- Internal and external coordination is happening.

Based on past experience, data collection tools that are developed without ToRs have been of low quality. As a result, data analysis is very challenging and the situation analysis report is of poor quality, affecting the quality of strategic planning.

Methods and tools

In short, the ToRs:

- Describe the objectives of the situation analysis;
- Describe the context and the principles that should be followed;
- List the areas to be assessed and intervention themes to look into;
- Present the sources, method(s) and data collection tools to be used;
- Describe the stakeholders to be met;
- Select methods and techniques for data collection;
- List key questions for the situation analysis;
- Describe resources: team members, budget and resources;
- Design a timeline with a detailed schedule;
- List existing information available (from Tdh and other sources).

Tool 3

- Template for Terms of Reference for situation analysis

6. Develop your data collection tools

Description

Why?

Developing appropriate data collection tools is key to a successful situation analysis. This is because:

- You need to collect data that meets your information needs;
- You must ensure the reliability and quality of data to prevent bias and error;
- Your questions must be translated into the local language and adapted for cultural, social and political dynamics to ensure adhesion and respect for the population;
- You must collect data consistently to make data analysis possible;
- You must be child- and gender-sensitive.

When?

During the planning stage, after listing the questions you want to answer and choosing the most appropriate data collection method(s).

Don't forget! Once the tools are ready, design the ***database*** where the data will be entered and stored; prepare your ***analysis plan.***

Reference 9

- *app.tdh.ch/qualite*
- hotline: *mobile.data@tdh.ch*
- *Cognitive Biases*, ACAPS, 2016

Methods and tools

Have a look at the chapter on Monitoring and Box 36 on methods and tools, as certain tips and recommendations are also valid for the situation analysis phase.

Tips to develop your data collection tools:

- **Ask the Quality and Accountability unit for advice.**
- **Adapt existing tools** (observation protocols and questionnaires) from international models or previous data collection exercises carried out in the zone.
- **Test and review tools.** Use a double-track translation system. Check the time needed to answer the questionnaire (between 20 and 45 minutes on average).
- **Be simple.** Avoid data overload: keep questions focused to collect only relevant, reliable and accurate data (see 2.5 Step 2: Collecting Data).
- **Consider mobile data collection techniques** (including taking pictures, getting GPS coordinates, etc.) but only if the team is already familiar with them and the security and logistic context is appropriate. Keep in mind that mobile data collection is very useful for quantitative data. It is not recommended for qualitative data. Its use therefore also depends on the time available and the relevance of collecting quantitative data. See Box 39.

Tool 4

- Note on bias and error in questionnaire development, questionnaire design checklist.
- Mobile data collection training package: *app.tdh.ch/qualite*
- *Child Protection Rapid Assessment Toolkit*, Global Protection Cluster, Child Protection Working Group, 2012
- *Multi-cluster/sector Initial Rapid Assessment*, IASC, 2015
- *Note on analysis plan* (Q&A intranet page)
- ACAPS, *How to Approach a Data Set*:
  Part 1: Database Design, 2013
  Part 2: Data Preparation, 2013
  Part 3: Analysis, 2013

Box 10 How can Tdh make a difference? The "assist-assess" approach

Consider using the "assist-assess" approach

Depending on the context and the emergency, assisting the population by distributing relief items while assessing the situation can help to:

- Meet the population's immediate and basic survival needs;
- Build trust among the assessed individuals, community leaders and authorities, facilitating access to those most affected and supporting data collection;
- Avoid assessment fatigue amongst the affected communities.

Beware of choosing this approach automatically as it can create biases and expectations.

Tips for using the "assist-assess" approach:

- Based on the conclusions of the preliminary review of secondary data and the type of emergency, identify the relief items that are most needed.
- Activate the Tdh/IFRC partnership for WASH, hygiene kits, household items and mosquito nets. Keep in mind that at least two days are needed to send supplies to the field.
- Use the stock of medical supplies available at Tdh in case of emergency.
- Launch the procurement of other items if relevant, preferably in the field where possible and relevant, as based on findings.

Reference 10

- Presentation of IFCR and Tdh partnerships

Why was this approach successful in Nepal?

On 25 April 2015, an earthquake measuring 7.8 on the Richter scale hit Nepal. Nine thousand people were killed and 22,000 injured. Tdh's emergency response team arrived in Nepal four days after the disaster. Based on the conclusions of the preliminary review, including information shared by the Nepal Delegation already in place prior to the earthquake, the "assist-assess" approach was chosen. One thousand family kits were distributed to the affected population seven days after the event. This allowed Tdh to simultaneously conduct the WASH situation analysis.

This was successful as it allowed Tdh to meet the population's immediate needs while gaining easy access to affected areas and groups.

2.5 Step 2: Collecting data

Only collect data that is needed and that you plan to use

During situation analyses carried out in emergencies and humanitarian crises, the data collection and data analysis ***phases often overlap***. However, if Step 1 of the situation analysis has been properly followed, this should not be an issue and data collection should be an easy task. To make data collection successful, follow the practical tips below. They should be considered in light of those provided in other parts of the strategic planning and monitoring chapters.

Reference 11

- *Humanitarian Needs Assessment. The Good Enough Guide*, ACAPS, 2014

Box 11 *Tips:* **Practical tips for successful data collection**

Think about ethics

- Respect people's safety and integrity: get their consent and ensure confidentiality.
- Ask permission to take notes or record; when using electronic devices, explain what they are and how they work.
- Always explain the objective of your situation analysis to your informants.
- Follow the do no harm principle.
- Take pictures only when the conditions allow it; respect Tdh communication policies.

Think about security

- Ensure protection of target groups (see Box 12).
- Do not collect data if there is a risk of endangering the affected population or your team.
- Do not ask questions that may stigmatise or endanger people.
- Where possible, try to conduct the interview in neutral and comfortable surroundings.

Think about internal coordination

- Ensure that the team is in constant contact with the team coordinator.
- As part of the situation analysis team, make sure you understand your role and responsibilities.
- Plan each day carefully; hold daily briefings and debriefings.

Think about external coordination

- Consult with affected people but leave them the freedom to explain the situation in their own words and time.
- Keep authorities and community leaders informed.
- Coordinate with other agencies/organisations on site.

Think about child protection

- Do not interview children unless it is done in a protective environment and by specialised staff (see Child Protection Rapid Assessment recommendations).
- Ensure that you have a protocol for urgent action cases (reporting and follow-up response mechanism).
- Take particular care in terms of data protection (see Box 9).

Think about how to handle data collection

- Beware of bias. Collect only relevant, reliable and accurate data.
- Do not induce particular answers by helping an interviewee to respond or have a translator answer on behalf of a key informant (KI).
- Take into account the perspective of your informant and not yours.
- Consider the reliability of data as it could be highly suggestive or reflective of insubstantial information or rumours.
- Stop collecting data when sufficient information has been obtained, when no new data can be collected or when data has been confirmed (saturation principle).
- Collect disaggregated data: geographical areas, sex and age (recommended age groups are <5; 6–12; 13–18; 19–49; >50). If this is not possible during the rapid situation analysis, keep in mind that it should be done later on when implementing the response and updating the situation analysis (detailed and continuous situation analysis).
- Record metadata – date, location of interview, social role of interviewee, group represented by the interviewee, contacts etc. – for each KI, as this information will be used during data analysis and interpretation.

Review data collected on a daily basis

- During rapid assessment, analyse your data continuously – every evening/night (see 2.6 Step 3: Processing and analysing data).
- In teams, immediately identify inconsistent information and review data collection tools if needed (e.g. unclear questions or bias). Any changes or assumptions should be clearly identified, included and explained in the situation analysis report.
- Keep a separate record of critical issues that require more attention, particularly gaps in the assessment, or immediate assistance.
- Look for changes and trends within the affected community and try to understand the underlying causes for those changes.
- Expect the unexpected.
- Be prepared for your assumptions to be challenged.

Who?

Data collection is performed by a ***team, not an individual***. It should include both specialists (e.g. WASH, protection, etc.) and general staff.

Box 12 *Zooming in:* **Do no harm, protection of target groups and child safeguarding policy in humanitarian and emergency contexts**

The protection of target groups is an integral part of humanitarian assistance. Violent conflicts and increasingly targeted attacks and atrocities against civilians raise the question of how humanitarian agencies can protect their target groups from violence and any form of rights violations to ensure their safety, dignity and integrity as human beings. Protection concerns do not only apply to civilian populations affected by armed conflict, but equally to contexts of natural disasters, famine or protracted social conflicts including consistent abuses of human rights. The four main protection principles are:

- Avoid exposing people to further harm as a result of your actions ("***do no harm***").
- Ensure people's access to impartial assistance in proportion to need and without discrimination.
- Protect people from physical and psychological harm arising from violence and coercion.
- Assist people in claiming their rights, accessing available remedies and recovering from the effects of abuse.

Witnessing abuses and violations

Tdh believes that all forms of violence against children are unacceptable. It aims to protect children from harm during each of its actions.

If Tdh staff witness child abuse or violations, they must apply Child Safety Policy procedures.

2.6 Step 3: Processing and analysing data

Data processing and analysis is a cornerstone of the situation analysis process as it involves ***translating raw data into information*** and ***drawing the first operational conclusions***. This information will be used in the situation analysis report and ground the future emergency and humanitarian programming.

> **Where is the wisdom we have lost in knowledge?**
> **Where is the knowledge we have lost in information?**
> (T.S. Eliot, *The Rock*, 1934)
>
> See Figure 17 "From data to wisdom and actions"

1. Data processing: From raw data to information

Description	Methods and tools
When? During rapid response, data processing and analysis will most likely take place at the same time as data collection (see Step 2: Collecting data). During rehabilitation and reconstruction, data processing should occur at the end of the data collection process. ***Why?*** Information that is correctly analysed can be used to design an intervention that reflects the needs of communities and ***answers the initial questions asked in the situation analysis*** (see "Drawing the first operational conclusions"). It is key as it will remain the ***first reference*** and potentially be your baseline. This step does not aim at proving your findings. It is about providing an interpretation that reflects your findings, which ***is judged on***: • The quality of the evidence you provide; • The strength of your arguments; • Your fact-checking of findings;	***Tips for raw data analysis*** • Following data entry, ***clean data.***[14] • Cross variables according to the analysis plan. • Use basic coding of recurrent themes to analyse qualitative data. ***Tips for information processing*** • **Validate your findings** through different approaches: cross-checking (= triangulation – see below), convergence, consultation, peer reviewing and confidence. • **Triangulation is your golden rule:** verify important information by comparing input from different sources, which should be as diverse as possible. If these sources provide the same information, it is probably correct. Without triangulating your information, the analysis will most likely be considered weak and biased.[15] • **Summarize your information:** from general to specific.

[14] Correct or remove erroneous (dirty) data that is incorrect, incomplete, improperly formatted or duplicated.
[15] *Humanitarian Needs Assessment, The Good Enough Guide*, ACAPS, 2014

- The quality of the methodology;
- The reputation of those involved. [16]

Who?

Data processing and analysis is performed by ***teams and not individuals***. Teams that took part in data collection must be involved in data processing and analysis.

Reference 12

- *How sure are you? Judging the quality and usability of data collected during rapid needs assessments*, ACAPS technical brief, 2013
- *Data cleaning*, ACAPS, 2016
- *Humanitarian Needs Assessment. The Good Enough Guide*, ACAPS, 2014
- *Guidelines for Assessment in Emergencies*, ICRC/IFRC, March 2008

- **Synthesize your information:** problem ranking, description of the population affected by these problems, needs of the affected population.
- **Look at your information from a range of perspectives:** gender, age, ethnicities.
- **Review the findings** from the perspective of needs and risks analysis – this will be deepened during the next steps.

Tips to avoid bias

This point is critical. Misunderstanding the global context or the community's situation and needs may lead to inappropriate interventions and, in the worst case, harm. To avoid bias:

- Have mixed teams;
- Review your data collection tools from a gender/age perspective;
- Detect and avoid conflicts of interest;
- Triangulate methods and sources;
- Contrast with internal colleagues;
- Contrast with other stakeholders.

[16] *Humanitarian Needs Assessment, The Good Enough Guide*, ACAPS, 2014

2. Drawing the first operational conclusions – decision-making

Description

Why?

This step involves ***decision-making and drawing the first operational conclusions*** subsequent to the analysis of the collected data and information.

There are ***three possible conclusions to the situation analysis***:

- There is no need for an intervention;
- An intervention is needed, but Tdh is not the appropriate agency to carry it out;
- An intervention is needed and Tdh is the appropriate agency to carry it out. [17]

Keep in mind that ***analysis is the process whereby information from all the different sources is synthesized*** to enable you to answer the following questions:

- What are the main issues?
- Are these issues perceived as problems by the population concerned?
- Who is affected by these problems?
- What are the capacities of the affected population? How well can they cope with the problems?
- Is other assistance currently available to the affected population?
- Is there a need for Tdh to intervene? If so, what type of intervention is required?
- Does Tdh have the organisational capacity and technical competencies to help resolve this issue?
- Does it correspond with one of Tdh's thematic areas?
- Does the project have a comparative advantage and/or an added value?

Methods and tools

Tips for drawing your first operational conclusions and making decisions

To do so, you will need to conduct:

A context analysis

A needs analysis:

- ***Stakeholder analysis:*** Identify the main target group, beneficiaries and partners of the project. List and map them according to their interest, importance and influence.
- ***Problem analysis:*** Identify the central issue/problem of the project.
- ***Resource analysis:*** Community and stakeholder resources, potential financial resources (donors), potential partnerships (alliances and cooperation) and interagency coordination mechanisms (clusters).

See Box 5.

A risk analysis:

- ***Contextual risks:*** These can include political and social risk factors, economic or developmental factors, and wider security issues. Many of these contextual risks are, to some degree, beyond the control of humanitarian actors, though this does not mean that they cannot be predicted.
- ***Programmatic risks:*** Risk of failing to achieve programme objectives, and the potential to cause harm to others.
- ***Institutional risks:*** Risks of politicisation and securitisation of aid in complex humanitarian interventions; operational security; fiduciary or corruption risks.

[17] *Humanitarian Needs Assessment, The Good Enough Guide*, ACAPS, 2014

In short, ***answer the questions you asked in the situation analysis ToRs.***

This step is crucial as strategies and projects (project proposals and/or concept notes) are designed based on the recommendations from the situation analysis report, after alignment with Tdh's strategy and donors' priorities.

How?

Review the findings from the data and information analysis by conducting a thorough needs and risks analysis. Use the tools suggested in the right-hand column.

Simple tools and techniques to conduct these analyses

Tool 5

- Stakeholder analysis matrix
- Problem tree
- SWOT analysis
- Diagram of interactions

Reference 13

- "Index for risk management": *www.inform-index.org*
- *Market Analysis in Emergencies*, CaLP, 2011
- *Multi-sector Market Assessment, Companion Guide and Toolkit*, UNHCR, 2017
- *Minimum Standards for Market Analysis*, CaLP, 2013
- *www.cashlearning.org*

Box 13 *Tips:* **Tips and example for selecting beneficiaries**

During situation analysis, the stakeholder analysis must define the target groups and beneficiaries of the intended action. Choosing solid, clear and simple criteria and methods for selecting beneficiaries is key to a successful intervention. Think about the following areas:

- ***Define how the beneficiaries will be selected:***
  - The framework for selecting beneficiaries is partly defined by humanitarian principles, in particular impartiality and universal access to assistance. The selection of beneficiaries must be based on needs, independently of race, religion or nationality.
  - Specify who will select beneficiaries, how and when.
- ***Define clear vulnerability criteria:***
  - These criteria help prioritise the most vulnerable people.
  - The needs of vulnerable groups such as women, children, the elderly and the disabled should be addressed.
  - Take into consideration pre-existing social, cultural and political dynamics/practices.
  - Vulnerability criteria, methods and selection processes may vary depending on the activity. Clarify these elements for each activity and/or output.
- ***Define the number of beneficiaries:***
  - Provide preliminary estimates of the number of children and adults benefitting directly from the project as a proportion of the total number of individual beneficiaries. Actual figures must be presented in project reports.
  - Provide reasonable and plausible estimates of the percentage of males and females in each group (children and adults). Actual figures must be presented in the project reports.
  - Clarify methods for counting beneficiaries during project implementation in order to avoid double-ups.
  - Keep track of how the number of beneficiaries has been calculated: in emergencies and humanitarian crises, staff turnover is high. It is very likely that you will not implement the project in its entirety. You therefore need to ensure that your successor has all the information needed to run and monitor the project.
  - Define the types and numbers of potential indirect beneficiaries.
  - Specify whether authorities or other entities require agencies to integrate specific population groups in their targets. For instance, the Jordanian government requests that the beneficiaries of projects implemented as part of the Syrian crisis must be at least 30% Jordanian.

Jordan: an example of beneficiary selection [18]

Beneficiary numbers

The total number of direct beneficiaries targeted by the project is 15,618 individuals.

	Estimated % of target group	% female	% male
Children and adolescents (0–17 years)	55%	48%	52%
Adults (18 years and older)	45%	80%	20%

The estimated number of indirect beneficiaries is 46,854, calculated based on the reasonable hypothesis that each direct beneficiary of the project will explain Tdh's activities and child protection messages to an average of three people.

Selection of beneficiaries

Based on protection criteria in the Vulnerability Assessment Framework, girls and boys will be identified by Tdh through:

- Self-referrals;
- Community-based mechanisms such as community-based organisations, community-based child protection committees, and youth committees;
- Internal referrals from Tdh staff;
- External referrals from other organisations.

The ***vulnerability criteria*** used by Tdh can be crosschecked and cumulated, and are related to:

- The child's personal situation: age (between 6 to 18 years), gender, working situation (with a specific focus on exploitation), sexual and gender-based violence such as early marriage and domestic violence, schooling, mild to moderate disabilities, street situation, unaccompanied or separated from parents, orphan or lack of adult relatives/caregivers, nationality, registration with UNHCR/Ministry of the Interior;
- The family's situation: family composition (widow or widower, number/age/gender of children and adults), family member's mild to moderate disabilities, family in mobility, refugee status, residency in Informal Tented Settlement, family overall living conditions, family income and access to essential humanitarian services, family members affected by exploitation through labour, family members affected by sexual and gender-based violence such as domestic violence.

Tdh case managers conduct home and field visits, and best interests assessments. Once the beneficiary is selected based on the vulnerability criteria above, Tdh case managers consider protection levels and risk factors to determine vulnerability levels as follows: high risk (the child needs urgent action); medium risk (intervention is warranted) and low risk (services are needed to prevent the need for protective intervention).

[18] Abstract from the project "Community-Based Child Protection Support to people affected by the Syrian crisis in Northern Jordan" funded by Swiss Solidarity (September 2015 – December 2017).

2.7 Step 4: Report drafting

Description

Why?

This situation analysis report is ***compulsory*** as it grounds the design of any coming proposal and/or concept note.

It should be shared:

- As a summary of your findings if competition is an issue early on, and you wish to avoid duplications and gaps;
- Within partners, coordination groups and other relevant actors through appropriate communications channels not only onsite but also at headquarters level;
- With the Philanthropy and Communication departments at Tdh headquarters.

The report should present an exhaustive picture of the situation analysis findings (including stakeholders, methodology, opportunities and limitations, etc.) and provide recommendations, which will support further decision-making.

How?

Use the Tdh template for situation analysis reports. The document should be short (not exceeding 20 pages, excluding annexes) and written in English.

Methods and tools

Tool 6

- Template for situation analysis report

Tips for a compelling situation analysis report:

- Make a clear distinction between facts and analysis. Facts are neutral statements; the analysis sets out your understanding and assessments;
- Use appropriate charts, figures and pictures and check that the use of names, photos, quotes etc. complies with Tdh's information policy;
- Avoid broad and vague notions (some, often, many, several people in one village, etc.);
- Make sure all necessary information is provided and answer the questions asked in the planning and design stages;
- Ensure that all stakeholders who have taken part in the process are involved in reviewing and commenting on the report, especially humanitarian specialists;
- Ensure that recommendations and conclusions respect Tdh's strategic plan and humanitarian policies, cluster recommendations, national laws and regulations;
- Think about how you can make your findings most useful to decision makers and how Tdh can make a difference;
- Secure a moment with the main stakeholders to share and discuss the report, in the field (authorities and main community leaders) and at headquarters.

2.8 Checklist for situation analysis in emergencies and humanitarian crises

Print the checklist.
Use it throughout the situation analysis process.
Check it when finalising a step.

How to use this checklist?

The checklist below summarises what is explained in this chapter. It covers what Tdh expects when conducting a situation analysis (rapid, detailed or continuous) in emergencies and humanitarian crises. It therefore presents the ***most important and compulsory milestones*** of the situation analysis process. Keep in mind that the checklist is not exhaustive.

The checklist is designed ***to help you remember everything and save time.*** Overall, it will contribute to the ***consistency and quality*** of the intended situation analysis. This is of the utmost importance especially since several individuals will most likely be involved in this task.

The purpose of the checklist is **twofold**:

- Use the checklist ***to ensure that you have not underestimated/forgotten any important element while completing the four successive steps of situation analysis*** described in this handbook.
  This is strongly suggested if:
  - ✓ This is your first situation analysis;
  - ✓ This is the first time you have used Tdh's *Project Cycle Management in Emergencies and Humanitarian Crises Handbook* – you may have experience in conducting situation analysis in the emergency and humanitarian crisis context with other organisations, but take enough time to understand and master Tdh's approach in this field.
- Use the checklist ***if you are looking for additional specific methodological guidance, tools, references, templates, and/or information on situation analysis*** in emergencies and humanitarian crises.
  This is strongly recommended even if:
  - ✓ You have already used Tdh's *Project Cycle Management in Emergencies and Humanitarian Crises Handbook* and feel that you are familiar with Tdh's approach, tools, references and templates in this field.
  - ✓ You are familiar with Tdh's *Project Cycle Handbook*. You will need to adapt your practice of situation analysis to the emergency and humanitarian crisis context by consulting specialized resources.

If you do not answer yes to all of the questions in the checklist, refine your situation analysis. In addition, have a look at the Strategic Planning chapter (Step 1: Refining operational conclusions and recommendations) since some refinements could also be considered at this stage.

☑ Checklist 1 Situation analysis in emergencies and humanitarian crises

	Yes	No	If "No", have a look at:
General			
01. Does your situation analysis align with Tdh's ***Emergency and Humanitarian Crisis Programme and Thematic Policies in Emergencies and Humanitarian crises?*** It must be comprehensive and multi-sector.	☐	☐	➤ 1.2 Terre des hommes' commitments in emergencies and humanitarian crises ➤ 1.2.1 Tdh's Emergency and Humanitarian Crisis Programme
02. Is the situation analysis ***adapted to the context and stage of the crisis*** (e.g. sudden disaster, chronic or protracted crisis, etc.)? It can be rapid, detailed or continuous.	☐	☐	➤ 2.2 Definition and objective
03. Have you considered the ***"Assist-Assess" approach?***	☐	☐	➤ Box 10 How can Tdh make difference? The "Assist-Assess" approach
04. Is the situation analysis ***inclusive and participative***?	☐	☐	➤ Box 4 *Zooming in:* participation and information sharing
05. Are the ***protection of data and target groups (including children) and ethics and crosscutting considerations*** (do no harm, gender, humanitarian principles, conflict sensitivity, etc.) guaranteed throughout the whole situation analysis process?	☐	☐	➤ 2.5 Step 2: Collecting data ➤ Box 12 Zooming in: Do no harm, protection of target groups and child safeguarding policy in humanitarian and emergency contexts
Step 1: Planning and designing the situation analysis			
06. Did you conduct a ***preliminary review of secondary information?***	☐	☐	➤ 2.4 Step 1: Planning and designing the situation analysis/ Conduct a preliminary review of secondary information
07. Does the ***composition of the situation analysis team*** align with Tdh recommendations? It must be tailored to the context, skills and experience-balanced, trained on the objective of the situation analysis and the data collection methods, and briefed on do no harm and ethics.	☐	☐	➤ 2.4 Step 1: Planning and designing the situation analysis/ Establish your situation analysis team
08. Are ***information gaps and key questions*** that the situation analysis must cover (through primary data collection) defined? It must answer where, who and what.	☐	☐	➤ 2.4 Step 1: Planning and designing the situation analysis/ Define information gaps, objective and key questions
09. Have you chosen ***appropriate and relevant methods for data collection?*** They must make it possible to collect both qualitative and quantitative data.	☐	☐	➤ 2.4 Step 1: Planning and designing the situation analysis/ Choose the right methods for primary data collection ➤ 4.5 Step 2: Defining indicator measurement modalities/ Stage 2: Selecting data methods and designing tools
10. Have you developed ***appropriate and relevant tools for data collection and tested them?*** Think mobile data collection.	☐	☐	➤ 2.4 Step 1: Planning and designing the situation analysis/ Develop your data collection tools ➤ Box 11 *Tips:* Practical tips for successful data collection ➤ 4.5 Step 2: Defining indicator measurement modalities/ Stage 2: Selecting data methods and designing tools ➤ Box 39 *Zooming in:* Mobile data collection
11. Is your ***sample*** adapted to the context and to the emergency phase?	☐	☐	➤ 2.4 Step 1: Planning and designing the situation analysis/ Choose the right methods for primary data collection ➤ Box 8 Which sampling method best suits emergency phase?

	Yes	No	If "No", have a look at:
12. Have you developed ***Terms of Reference for the situation analysis***? Do they include the situation analysis's justification, objective, methodology, tentative workplan, roles and responsibilities, budget, information on collaboration with Tdh's delegation in the country (if applicable) and deliverables? This step is compulsory. Use Tdh's template.	☐	☐	➤ 2.4 Step 1: Planning and designing the situation analysis / Develop the Terms of Reference (ToRs) for the situation analysis ➤ Tool 3 Template for Terms of Reference for Situation Analysis
13. Is data protection ensured throughout the whole situation analysis process?	☐	☐	➤ 2.5 Step 2: Collecting data ➤ Box 9 *Zooming in:* Data protection
Step 2: Collecting data			
14. Have you gone through the ***practical tips for successful data collection***: think about ethics, internal and external coordination, child protection and how to handle data collection?	☐	☐	➤ Box 11 Tips: Practical tips for successful data collection
Step 3: Processing and analysing data			
15. Does ***data treatment*** revolve around validation of findings and triangulation? Have you put in place sufficient safeguards to ***prevent bias*** during the analysis stage?	☐	☐	➤ 2.6 Step 3: Processing and analysing data / Tips for information processing / Tips to avoid bias ➤ Tool 4 Note on bias and error in questionnaire development
16. Is a ***context analysis*** included in the situation analysis?	☐	☐	
17. Is a ***stakeholder analysis*** identifying the main target group, beneficiaries and partners of the project listed according to their interest, importance and influence included in the situation analysis?	☐	☐	➤ 2.4 Step 1: Planning and designing the situation analysis / Define information gaps, objective and key questions ➤ Box 5 *Zooming in:* Context, stakeholder, problem and resource analyses
18. Is a ***resource analysis*** (community and stakeholder resources, potential donors and partnerships, coordination mechanisms) included in the situation analysis?	☐	☐	➤ 2.6 Step 3: Processing and analyzing data / Drawing the first operational conclusions – decision making
19. Is a ***problem analysis*** identifying the central issue/problem of the intended project included in the situation analysis?	☐	☐	
Step 4: Report drafting			
20. Have you written a ***situation analysis report***? It must: • answer the questions asked in the ToRs; • present the context, the objective of the situation analysis, the methodology (including limitations and how data and sources were triangulated), problems, stakeholders, resources, risks and needs analyses, recommendations and operational conclusions. This step is compulsory. Use Tdh's template.	☐	☐	➤ 2.6 Step 3: Processing and analysing data / Drawing the first operational conclusions – decision making ➤ 2.7 Step 4: Report drafting / Tips for a compelling situation analysis report ➤ Tool 6 Template for situation analysis report

3. Strategic planning

3.1 What will you find in this chapter?

This handbook establishes **six successive steps** for strategic planning. The first is optional and the last builds on previous steps. These six steps are summarised in the graph below (see Figure 9).

This chapter will describe **methods, tips and tools** to successfully complete these six steps. In addition, references contain further reading on some aspects of strategic planning, which can be consulted if desired.

At the end of the chapter, a **checklist** summarises important and compulsory milestones in the strategic planning process. Go through it to make sure you are on the right track before moving forward to the next project cycle stage.

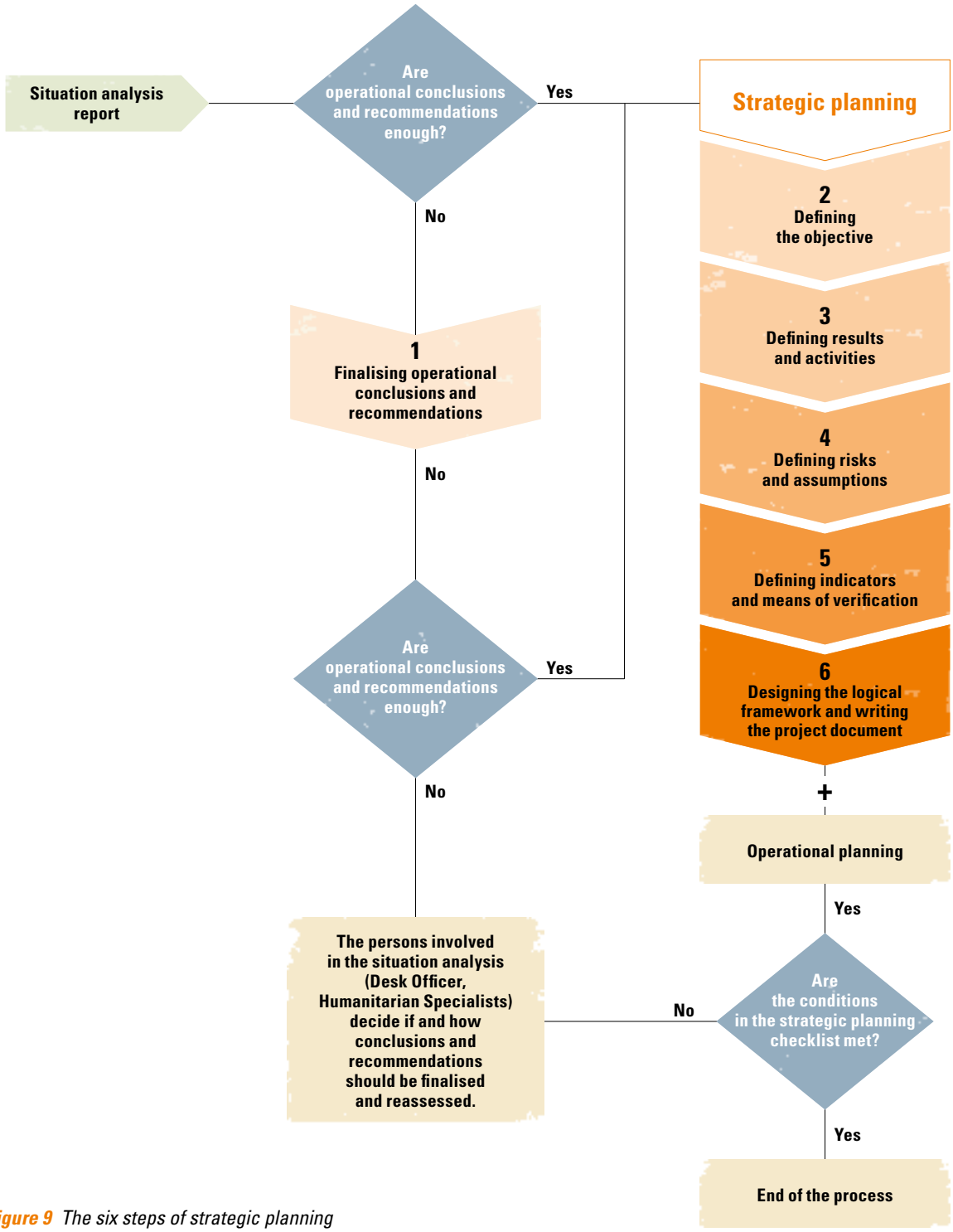


Figure 9 *The six steps of strategic planning*

3.2 Definition and objective

The process of setting organisational priorities and targets is called **planning**. This includes both strategic and operational planning. This handbook focuses only on strategic planning. However, for the sake of coherency and consistency, some operational planning tips are also discussed at the end of the chapter.

In practice, strategic planning and operational planning may overlap, especially in early response. For example, the "Assist-Assess" approach involves commencing delivery while still conducting the situation analysis and developing the intervention strategy. It does not mean that you should not complete the strategic planning steps, but that you should complete them simultaneously.

Based on the situation analysis report, ***strategic planning is the process of deciding where Tdh wants to get and why, then choosing from the different courses of action available to ensure the best chance of getting there. It is the process of defining an objective and developing a strategy to achieve that objective***.

The **objective** of strategic planning is to ensure that, based on the situation analysis report and initial operational conclusions and recommendations, Tdh is able to define a clear way forward in response to an emergency or a humanitarian crisis. This way forward is broken down into strategic objectives, which are linked to priority sectors of intervention, the latter being defined based on the capacities of the organisation and other stakeholders. Strategic planning also includes choosing and designing a framework, which sets out the best course of action to achieve the stated objectives.[19] It is also a basis for communication with partners and project stakeholders.

The **logical framework** is actually the result of the strategic planning process (see Step 6: Designing the logical framework and writing the project document).

[19] Adapted from: *Project/Programme Planning Guidance Manual*, IFRC, 2010

3.3 Key features of strategic planning in emergencies and humanitarian crises

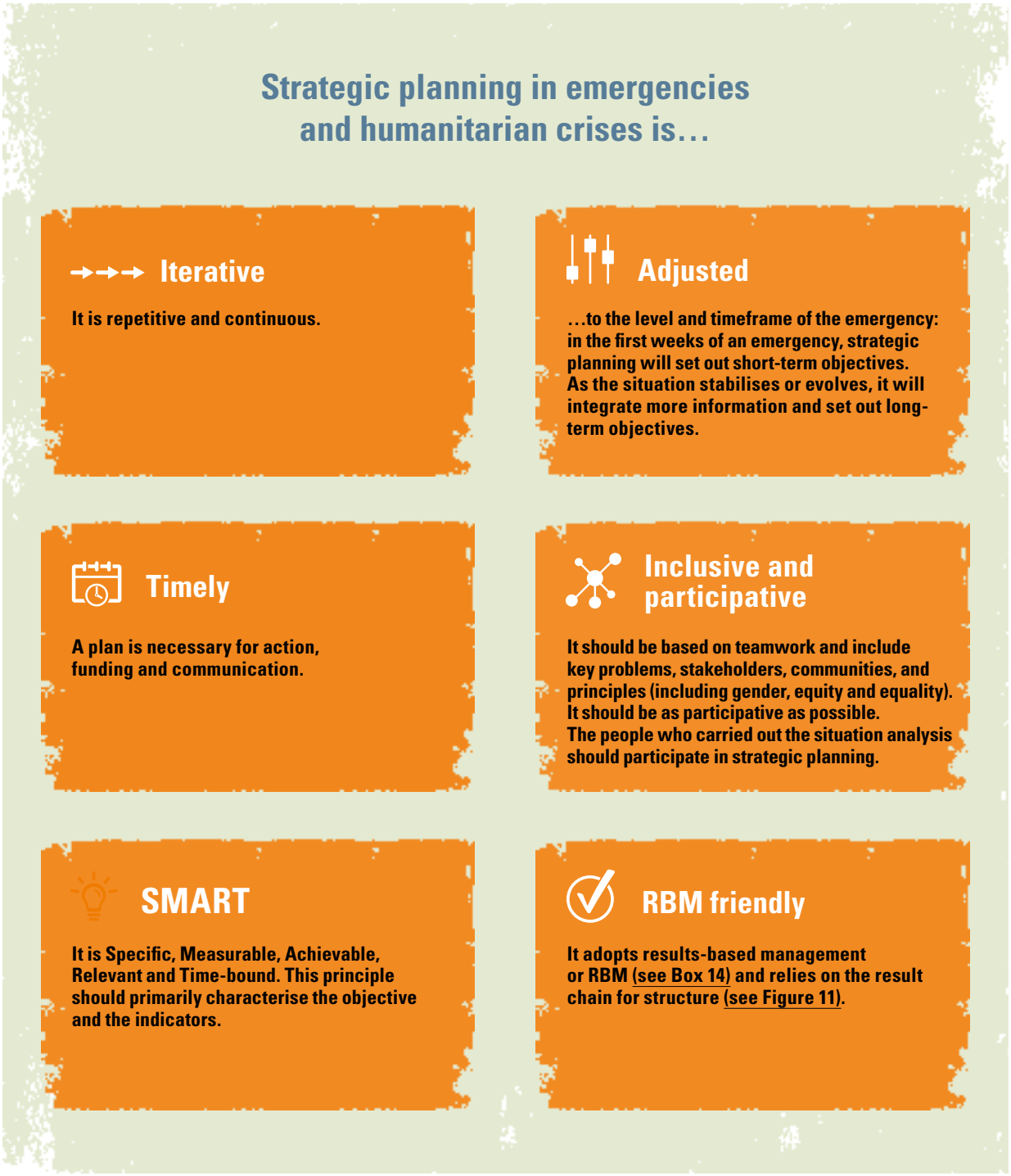


Figure 10 *Key features of strategic planning in the emergency and humanitarian crisis context*

Box 14 What is results-based management? [20]

PCM within Tdh supports and is built on results-based management (RBM).

RBM is an approach to project/programme management based on clearly defined results, and the methodologies and tools to measure and achieve them. ***RBM supports better performance, quality and greater accountability*** by applying a clear, logical framework to plan, manage and measure an intervention with a focus on the results you want to achieve. By identifying in advance the intended results of a project/programme and how we can measure their progress, we can better manage a project/programme and determine whether a difference has genuinely been made for the people concerned.

Tips for RBM: RBM is common sense. Plan, manage and measure what you do with a clear focus on the results you want to achieve.

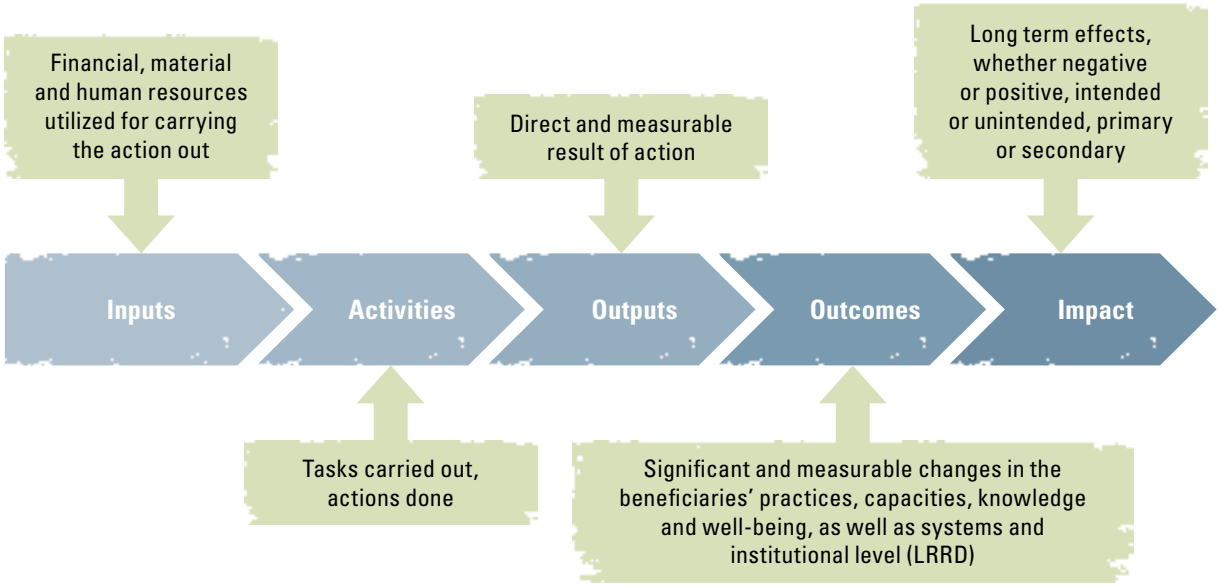


Figure 11 *The result chain: a tool to structure strategic planning*

[20] Adapted from: *Project/Programme Monitoring and Evaluation Guide*, IFRC, 2011

3.4 Step 1: Refining operational conclusions and recommendations

Step 1 is ***optional***. However, if:

- ***The information collected appears to be insufficient, inaccurate, and incomplete or biased***;
- ***The context has significantly evolved since the initial situation analysis***; or
- ***There is no consensus*** on the conclusions and recommendations,

…there is a need to obtain supplementary information during the planning phase. Indeed, it may be necessary to complete some of the assessment steps (e.g. consult additional secondary data, carry out more interviews, etc.).

In emergency contexts, there may not be enough time to complete this step. However, ***ask yourself the following questions***:

☑ Checklist 2 Refining operational conclusions and recommendations

	Yes	No
• Have the situation analysis questions been answered?	☐	☐
• Do you have a complete context analysis?	☐	☐
• Do you have a complete problem analysis? *E.g. Are the main issues – perceived as problems by the population – properly and objectively identified?*	☐	☐
• Do you have a complete stakeholder analysis?	☐	☐
• As part of the stakeholder analysis, have you clearly identified the project's potential beneficiaries? *E.g. vulnerability and selection criteria.*	☐	☐
• Do you have a complete resource analysis?	☐	☐
• Do you have a complete risk analysis (contextual, programmatic and institutional)?	☐	☐
• Do you have a complete analysis of the current services available to the affected population? *E.g. type, location and organisation.*	☐	☐
• Is there a benefit in Tdh intervening? *E.g. Does Tdh have the organisational capacity and technical competencies to help resolve this issue? Does it correspond with one of Tdh's thematic areas?*	☐	☐

If you do not answer yes to all of the above questions, ***dig deeper by using the tools recommended in the situation analysis section***.

If you feel that you have most of the information and that strategic planning is possible, remember which elements require further investigation to ensure that this is ***done at a later stage as part of the continuous situation analysis and/or monitoring***.

3.5 Step 2: Defining the objective

What?

Box 15 What is an objective?

An objective:

- Is the ***central element*** of the project;
- ***Addresses the main issue*** identified in the intervention context;
- Describes the ***improved situation*** of the target population at the end of the project owing to the actions completed during the project, meaning the ***effect*** of the intervention on the beneficiary group;
- There is ***one and only one objective*** per project.

But an objective is not:

- A description of a process or an activity;
- A list of results;
- A project summary that also describes what the project will do. Avoid including information on how the expected changes will be achieved or on the methodology or tools to be used;
- Expressed in negative terms, or in terms of comparison to the present situation.

How?

☑ Checklist 3 Defining the objective

	Yes	No
• Does the objective describe a situation and NOT a process?	☐	☐
• Does the described situation occur at a given time (e.g. at the end of the project)?	☐	☐
• Is the described situation measurable and objectively observable?	☐	☐
• Does the objective clearly define the beneficiary group?	☐	☐
• Does the objective define in what way the beneficiary group's situation will be improved?	☐	☐
• Does the objective define sustainable improvements brought about by the project? During the first weeks, this might not be possible. However, as the situation stabilises, the intended changes should be more and more sustainable.	☐	☐
• Is the objective realistic, i.e. achievable?	☐	☐
• Is the objective clear and simple?	☐	☐
• Is the objective concise?	☐	☐

If you do not answer yes to all of the above questions, ***rephrase your objective***. This will save time by allowing you to successfully complete the next strategic planning steps, as well as project implementation and monitoring steps.

Box 16 When defining an objective is too complicated, use an objective tree[21]

Sometimes contexts are very complex, and too many problems have been identified. This can make it difficult to define a single objective per project. In this situation, a common method of developing, identifying and selecting an objective is to create an ***"objective tree"***. This tree lists all potential objectives for the intervention, from which you must choose one. To make your decision, you must summarise large amounts of information, then make a complex judgement about the best implementation options to pursue. In practice, a number of compromises often have to be made to balance different stakeholders' interests, the demands of the population, and practical constraints such as likely resources and time availability.

Tool 7

- Objective tree

Reference 14

- *Project/Programme Planning, Guidance Manual*, IFCR, 2010
- *Programme/Project Management: the Results-Based Approach*, ICRC, May 2008

Examples:

- 👍 At the end of August 2016, 8,530 children and their families will have access to strengthened community-based child protection services and mechanisms in XX Governorate.
- 👍 Improve the well-being of children affected by the conflict in YY by providing collective and individual child protection services and restoring a protective school environment that promotes adequate and safe learning.
- 👎 Refugees will no longer be thirsty and hungry at the end of the project.

[21] Adapted from: *Project/Programme Planning Guidance Manual*, IFRC, 2010

3.6 Step 3: Defining results and activities

Once the objective of the intended project has been defined, expected results and activities should be specified. This step ***is all about the change you want to see***. Indeed, by defining expected results and activities, you establish a framework for your intervention and the changes you wish to observe by the end of the project.

What are results?

Using the results-based management approach and the result chain, Tdh distinguishes **four types of results** in emergency response. Depending on the response phase, these categories are weighted differently:

Box 17 Which results are expected from the project?

Result	Definition	When used	Example
Output	Services or products, which a project delivers to beneficiaries to support activities and change processes. Outputs are generated by project or programme activities. They represent the immediate products of activities.	Rapid response phase Rehabilitation and reconstruction phases	X at-risk children and/or victims of child protection concerns are supported through case management. X latrines are built.
Outcome	The outcome describes the medium-term benefits generated by the use of outputs. It specifies positive results intended by the project or programme on the target group. In the rehabilitation and reconstruction phases, when the situation stabilizes and project phases are longer, one could consider having intermediate outcome.	Rehabilitation and reconstruction phase	By the end of X, X children and adults benefiting from safe, adequate and sufficient sanitation and water facilities, while resorting to safe hygiene practices, are protected from water-borne and communicable diseases in X.
(Achievement of) Objective	This is what Tdh is accountable for. The objective describes the improved situation of the target population at the end of the project owing to the actions completed during the project, meaning the effect of the intervention on the beneficiary group.	Rapid response phase Rehabilitation and reconstruction phases	At the end of the project, X children affected by the crisis in X are able to meet their basic and immediate WASH and protection needs
(Contribution to) final aim *	This is the level of results that Tdh "contributes to". This is part of the impact of the intervention. The impact refers to positive and negative, primary and secondary long-term results produced generally by a combination of project or programme and other factors. It hence generally depends on interactions between a large number of stakeholders and external factors.	Rapid response phase Rehabilitation and reconstruction phases	In the framework of the quality and accountability standards in humanitarian action (Core Humanitarian Standard, Sphere Standards and Minimum Standards for Child Protection in Humanitarian Action), Tdh intervention contributes to ensuring the protection of children affected by the crisis in X.

* Also called "general objective"

What are activities?

Activities are tasks carried out or work performed in order to achieve outputs, outcomes and, by extension, the objective of the intended project (e.g. "organisation of a community meeting", "distribution of hygiene kits", "setting up of child-friendly space"). What we call **actions** are a set of activities leading to a common goal. [22]

[22] *Project Cycle Handbook*, Tdh, 2012

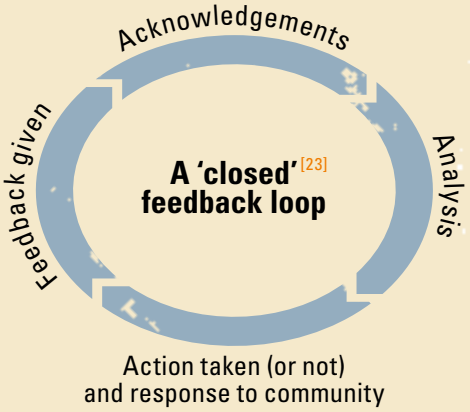
The activities to be implemented during the project timeframe ***must be clearly listed and defined during strategic planning***.

Depending on the situation, activities are either presented in the logical framework, in the narrative part of the project document or in the work plan.

Box 18 *Zooming in:* Feedback and complaints mechanisms

During strategic planning, it is of paramount importance to include feedback and complaints mechanisms when defining activities. The information generated is used during project monitoring. Feedback and complaints mechanisms support community involvement by giving ***beneficiaries the opportunity to be safely heard at all stages of the project***. Beneficiaries, selected carefully based on gender, age and diversity, provide feedback on their level of satisfaction with the quality and effectiveness of the assistance received.

Complaints mechanisms can take different forms, but should be chosen ***based on community preferences and ensure the safety of the complainant***. Community feedback should be encouraged and supported at all stages of the programme, and can be delivered through focus group discussions, community meetings, bilateral interviews, interaction with community leaders or direct access to the organisation (e.g. via a hotline). ***Welcome, accept and manage complaints in a timely, fair and appropriate manner.***



Feedback mechanisms are considered effective if they support the collection, acknowledgement and analysis of information, and result in action. These steps form a closed feedback loop. Where the feedback loop is left open, the mechanism is not fully effective.

The Philipines: an example of feedback and complaints mechanisms

In 2013, Typhoon Haiyan made landfall in the central Philippines, affecting 14 million people and causing extensive damage to houses, livelihoods and infrastructures. Tdh launched a timely response to this emergency, implementing an initial project phase focusing on meeting the affected population's three most pressing needs (non-food items, shelter and WASH). The second project phase aimed at restoring housing conditions and improving resilience to future disasters through the provision of quality shelter materials, including sanitation facilities, the dissemination of DRR building techniques and livelihood assistance.

A feedback and complaints mechanism was set up. It consisted of a complaints desk at distribution sites, a complaints hotline and a suggestion box. The project team was in charge of informing communities and beneficiaries that the complaints mechanism existed and how it operated. Complaints were collected and centralised in a common complaints database by the Monitoring and Evaluation Officer, who made sure that each complaint was answered.

The system was a real success:

- Many questions concerned the criteria used to select beneficiaries. The feedback and complaints mechanisms helped clarify these criteria, enabling Tdh to implement the project smoothly.
- The questionnaire used for post-distribution monitoring asked whether the population knew about the feedback and complaints mechanism: 85% said "yes".
- The mechanism helped reduce tensions among communities, which made the Tdh team feel safer and better accepted.
- It helped ensure better transparency.
- It helped strengthen and adapt criteria for beneficiary selection.
- It helped reduce pressure on local representatives.

Tool 8

- *Closing the Loop: Effective Feedback in Humanitarian Contexts*, ALNAP, 2014

[23] *Closing the Loop: Effective Feedback in Humanitarian Contexts*, ALNAP, 2014

3.7 Step 4: Defining risks and assumptions

What?

A **risk** is a factor that could prevent the project's expected outputs and outcomes from being achieved. ***Our focus is on external risks***, i.e. those that stem from circumstances or events over which we have little or no influence. At Tdh, we consider a wide range of risks, mainly those related to infrastructure, the economy, legislation, regulations, politics, markets, disasters and security.[24] E.g. "The security situation is worsening."

Reference 15

- *Project Cycle Handbook*, Tdh, 2012
- *Project/Programme Planning, Guidance Manual*, IFRC, 2010
- *Programme/Project Management: The Results-Based Approach*, ICRC, May 2008
- *Monitoring and Evaluation Serie Indicators 8*, INTRAC, 2015

An **assumption** is an ***external factor*** that is already in place and has the potential to influence (or even determine) the success of an intervention but ***lies outside the direct control of Tdh***[25]. It is therefore external to the organisation (e.g. "The project manager can recruit all key staff in the first two weeks of project implementation" is not an assumption as it is within the organisation's scope of impact). An assumption is thus the condition that needs to be met if the project is to go ahead (e.g. "The political and security situation remains stable").

The ***difference*** between an assumption and a risk lies in the fact that a risk is a negative statement about what might go wrong whereas an assumption is a positive statement about conditions and factors already in place for the results to be achieved.

Why?

The importance of defining risks and assumptions is often underestimated even though it is a ***crucial step to ensuring a project is successful***. Indeed, defining risks and more importantly assumptions helps determine whether the project objectives are reasonable and well-informed or based on unrealistic optimism or poor initial situation analysis.

Assumptions should be ***monitored throughout the intervention*** in order to support appropriate and timely decision-making. For instance, if assumptions were to evolve, transforming into something beyond the project's control (e.g. worsening of an internal conflict, massive and sudden population displacement), the project team would have to consider scaling the project down or up, closing it, or changing the strategy/approach.

How?

PCM literature discusses **different methods for defining risks and assumptions**. All are valid, but they must be adapted to the emergency and humanitarian crisis context. For this reason, Tdh suggests the following steps:

- **List the critical external risks.** Usually they have been identified during the situation analysis phase and the first steps of strategic planning.
- **Analyse the probability of these external risks occurring** to assess whether the intervention is feasible.
- **Rephrase the external risks as assumptions;** i.e. statements about the positive conditions needed for the intervention's success (see example under "What").

[24] *Project Cycle Handbook*, Tdh, 2012

[25] *Programme/Project Management: the Results-Based Approach*, ICRC, May 2008

- **Only keep assumptions that are probable**, meaning reasonably likely to occur, not certain nor unlikely. Do not consider facts, things you are sure will happen or unrealistic events as assumptions.
- After analysing risks and assumptions, check the coherence and feasibility of your result chain.

Tool 9

- Risks and Management measures. *Project Cycle Handbook*, Tdh, 2012
- Assessing Risks. *Programme/Project Management: the Results-Based Approach*, ICRC, May 2008
- Recommended steps for identifying and assumption: *Project/Programme Planning, Guidance Manual*, IFRC, 2010

Box 19 How to mitigate risks [26]

Use one of the three ***risk management strategies***:

- ***Tolerate*** certain risks and manage their consequences. In order to do so, list and monitor them.
- ***Adapt*** your activities in order to limit the possible effects of the harmful occurrence. Risk analysis may lead to a review of the project strategy.
- ***Transfer*** to other stakeholders. For example, by subcontracting certain tasks to other organisations that are less vulnerable to risks or their possible consequences.

[26] *Project Cycle Handbook*, Tdh, 2012

3.8 Step 5: Defining indicators and means of verification

> **An indicator that cannot be collected is a worthless parasite.** (*Indicators*, INTRAC, 2015)

This step is about identifying tools. Indicators and means of verification are tools that enable you to follow up on, monitor and evaluate your intervention. For this reason, the information below must be considered in light of the monitoring section in Chapter 4 of this handbook.

Description

An **indicator** is a quantitative or qualitative factor or variable that provides a simple and reliable means to measure or accurately describe the achievements resulting from an intervention.[27] The information collected by indicators is used to assess progress and guide decision-making during the implementation, monitoring and evaluation of the intervention.

An indicator is ***always linked to an objective or a result***.

Indicators constitute the ***cornerstone of strategic planning*** and, by extension, any monitoring system. They are called "indicators" because they indicate whether a result has been achieved, rather than being a piece of evidence as such. Indicators make it possible to reach a joint understanding and consensus on how changes are captured and reflected at different levels.

Methods and tools

Tips for defining indicators:

There are three steps in defining indicators[28]:

- **Look at the previously defined objective and expected results:** review the precise intent of the objective and results and make sure that you are clear on the exact changes sought by the intervention. Good indicators start with the formulation of good objectives and expected results that everyone agrees on.
- **Use humanitarian standards indicators:** in emergencies, you do not always have the time to brainstorm suitable indicators. Use quality international standards (CHS, SPHERE, CPMS), as well as Tdh programmatic indicators. Doing so will contribute to Tdh's positioning as a major humanitarian actor.
- **Assess possible indicators** and select the best: in defining indicators, set high standards but remain practical: data collection may be expensive and should not be time-consuming in a crisis context, so select only those indicators that represent the most important and basic dimensions of the results sought.

[27] *Project Cycle Handbook*, Tdh, 2012

[28] Adapted from: *Project/Programme Planning, Guidance Manual*, IFRC, 2010

There are **two main types** of indicators:

- **Qualitative indicators** are reported in words, statements and case studies. They describe and explain.
- **Quantitative indicators** are reported as numbers, proportions, ratios, rates of change.

Box 20 Indicators: further reading

Indicators, INTRAC, 2015

	Quantitative	Qualitative
Expression	Numbers	Words
Coverage	Provide information on width and scope of work	Provide in-depth information on changes at strategic points
Analysis	Analysed through statistical data methods	Analysed through summarising, reduction and scoring
Limitations	Often need to be interpreted through qualitative enquiry	Often apply only to a small number of poeple or situations, and therefore run the risk of being anecdotal

There are **different levels** of indicators:

- **Context indicators:** Assess the environmental, economic, social and security context to monitor any change, especially if it influences risks and assumptions;
- **Input indicators:** Track the use of material, financial and human resources;
- **Activity indicators:** Reflect what is being done;
- **Process indicators:** Assess the means or methods to achieve the desired results, indicate quality of intervention;
- **Output indicators:** Measure the quantity of goods or services produced. It is the immediate effect of an activity, tangible products, goods and services or immediate changes that may lead to the achievement of outcomes;

Tool 10

- Core Humanitarian Standard
- Minimum Standards for Child Protection in Humanitarian Action
- Sphere project
- Tdh emergency and humanitarian crisis thematic policies
- Tdh emergency and humanitarian crisis programmatic indicators
- IndiKit, guidance on SMART indicators for relief and development projects, *www.indikit.net*
- Humanitarian indicator registry: *ir.hpc.tools*
- *A guide to indicators*, Infocus, 2017

In addition, make sure to:

- ***Go through the "Checklist for good indicators"***
- ***Use SMART indicators*** (see Checklist 4);
- ***Design outcome, output, process and context indicators;***
- ***Have both qualitative and quantitative indicators;***
- ***Avoid the usual traps*** (see Box 21).

Box 21 Indicator traps [29]

- ***Selecting too many indicators:*** Tdh recommends two indicators for the general objective and one to three indicators for expected results. Indicators only need to capture what is necessary for monitoring and evaluation. Be realistic in terms of data collection.
- ***Reinventing the (indicator) wheel:*** Use existing standard indicators.
- ***Low-level indicators:*** Do not rely on quantitative indicators. Quantitative indicators must be accompanied by a qualitative analysis to understand HOW and WHY a trend or phenomenon is occurring. Think about the "So what" question.
- ***Labour-intensive indicators:*** Do not select overly complex indicators requiring labour-intensive data-collection and analysis. For instance, it may be costly or even impossible,

[29] *Project/Programme Planning Guidance Manual*, IFRC, 2010

- **Outcome indicators:** Assess the benefits achieved for the targeted group(s), the medium-term effects of an intervention through the provision of goods and services (longer-term changes);
- **Impact indicators:** Assess the consequences of the programme; the long-term change in conditions for the community; primary and secondary, direct and indirect, positive and negative long-term effects.

especially in an emergency context, to measure indicators for which data have been or will be collected by a government ministry, an international agency, etc.

- ***Irrelevant indicators:*** Make sure you can answer "yes" to the following questions: is this statement a criteria or measurement by which we can demonstrate progress? By measuring this indicator, will we establish the level of progress?
- ***Imprecise indicators.***

Box 22 How Tdh formulates indicators

Tdh's *Project Cycle Handbook* is very clear about how indicators should be formulated: "You can express the indicator's target value as an absolute value or as a percentage. Example: 60% of children taken into care have been reintegrated into their family". [30]

However, in PCM literature, it is often stated that an indicator is a unit of measurement only. Therefore, a target value is not set until information (e.g. from the assessment phase) can be analysed to determine a realistic goal (e.g. through a baseline). Example: % of children taken into care reintegrated into their family.

Keep it simple and use your common sense

- If the donor has been identified, check its preferred indicator wording and use it.
- If the donor has not been identified, choose Tdh's indicator definition unless you do not have baseline data.

[30] *Project Cycle Handbook, Tdh, 2012*

The **means of verification** are the ways in which information will be collected on the indicators to monitor and evaluate the progress of the intervention.

Tips for defining means of verification

- **Define means of verification at the same time as you formulate indicators:** this helps you determine whether the indicator can be realistically measured given a reasonable amount of time, effort and money. [31]
- **Use a two-step approach:** define sources of information and identify data collection methods (see Part 4 on "Monitoring"). This means answering the following questions:
  - From what sources will the data be collected?
  - Who will collect the data?
  - When will it be collected and how frequently?
  - How will the data be collected and stored?
  - Who will analyse the data?
  - How will the data be reported?
- **Consider the following:** cost, timeliness, feasibility, cultural sensitivity, gender, child safeguarding.

Examples of means of verification:

- Surveys/focus group discussions/individual interview reports, etc.;
- Feedback/complaints mechanism reports;
- Activity reports;
- Accounting data, invoices, etc.

[31] *Project Cycle Handbook, Tdh, 2012*

☑ Checklist 4 Designing SMART indicators [32]

A SMART indicator is:	Test questions		Example
Specific *The indicator clearly and directly measures a specific result for the objective it is measuring. We only measure one thing at a time.* *The indicator statement is clearly specified, terms are clear, and the questions "**what**", "**for whom**" and "**where**" are answered.*	Do we all understand the same thing?	☐	**Outcome:** At the end of the project, the resilience of 7,000 children affected by the Syrian crisis has improved. **Indicator topic:** Improve resilience → **Make it specific (quality)** "Children who ***benefit from PSS, legal advice, informal education and/or life skills show an improvement in their self-esteem.***" → **Make it specific (target group/area)** "***At-risk girls and boys living in XX refugee camp*** who benefit from PSS, legal advice, informal education and/or life skills show an improvement in their self-esteem." → **Make it measurable (quantity)** "***Percentage*** of at-risk girls and boys living in XX refugee camp who benefit from PSS, legal advice, informal education and/or life skills show an improvement in their self-esteem." → **Make it achievable** Information will be collected thanks to the Rosenberg self-esteem scale used at the end and beginning of each activity cycle. [33] → **Make sure the information is relevant** Specialists commonly agree that self-esteem contributes to resilience. → **Make it time-bound** "% of at risk girls and boys living in XX camp who benefit from PSS, legal advice, informal education and/or life skills show an improvement in their self-esteem ***at the end of the project***". → **Once the baseline has been established** – unless the data is available at the end of the strategic planning phase – a target can be set. The final indicator is therefore: "***At least 80%*** of at risk girls and boys living in XX refugee camp who benefit from PSS, legal advice, informal education and/or life skills show an improvement in their self-esteem at the end of the project".
	Is this indicator understandable by someone who has not participated in the project drafting?	☐	
	Is there anything missing in the indicator statement?	☐	
Measurable *The indicator's definition is clear and unambiguous. The qualitative and quantitative data needed to report on the indicator is available.*	Will we be able to collect information on this indicator? If so, where will we get the information from?	☐	
	My indicator is a percentage: do I have the capacity to calculate the denominator?	☐	
Achievable *The measurement of the indicator is feasible and realistic, within the resources (financial, human) and capacity of the project/programme.*	Do we really think that we can obtain these results given the resources available as part of our project framework?	☐	
Relevant *The indicator provides appropriate information that is best suited to measuring the intended result or change expressed in the objective.*	To what extent can the results be attributed to your efforts?	☐	
	Does the indicator focus on the change that we would like to see happening and that will show us that we are on track?	☐	
	Is it connected with our results?	☐	
	Does the indicator tell you anything you did not know before?	☐	
	Does it help the organisation to be accountable to different stakeholders?	☐	
	Do we really need to collect this information? How are we going to analyse it? How are we going to use it? Will it help you make decisions to improve future performance?	☐	
Time-bound *The period is defined during which this phenomenon can be observed **(by when?)**.*	Is it in line with the project timeframe?	☐	
	How often will you have to collect it?	☐	

[32] Adapted from: *Design and Implement a Monitoring System*, Tdh, 2016; *Project Cycle Handbook*, Tdh, 2013; and *Project/Programme Planning Guidance Manual*, IFRC, 2010

[33] Keep in mind that tools must be chosen according to context.

3.9 Step 6: Designing the logical framework and writing the project document

Designing the logical framework

What?

The logical framework or logframe is the ***result of the first five steps of strategic planning***.

The logical framework is a matrix made up of four rows and four columns, in which the key aspects of a project are summarised. ***It sets out the logical sequence of cause-effect relationships based on the result-chain hierarchy***.[34] The logical framework matrix makes it possible to present the essential elements of the project concisely, while checking their logical coherence. You must complete all the boxes in a logical framework. In particular, you must define the means of verification, as well as assumptions and risks.

Box 23 *Zooming in:* **Logical framework vs theory of chamge**

The best way to describe how programmes lead to results is the logical framework, which is used by most organisations and required by most donors. A new approach, which consists in developing a Theory of Change (ToC), has recently become more common and is even required by some donors (e.g. DFID and the Dutch Ministry of Foreign Affairs).
Both the logical framework and the ToC have the same general purpose: to describe how your programme will lead to results, and to help you think critically about this. They mainly differ in their visual approach and in the fact that the ToC insists more on how changes happen, on identifying the role of the organisation in the change process and on developing conceptual pathways of change.

In 2017, Tdh made the leap and developed a ToC for each of its programmes, as well as for the institution as a whole. However, a logical framework is still developed for each project and a compulsory element of strategic planning.

Reference 16 **Theory of change**

- *Theory of Change*, INTRAC, 2015

The logical framework is a ***dynamic and living tool*** in the sense that it is used to reassess and revise the intervention as necessary over its lifespan.

Why?

Properly designing a logical framework is of the utmost importance since it is ***not only used for project design but also for implementation, monitoring and evaluation***. It is also used when drafting reports on the project.

As a rule, a logical framework is designed for each intervention at Tdh.

How?

A variety of ***formats*** are used for logical frameworks. In the emergency and humanitarian crisis context, there are **two scenarios**:

- ***If the project is to be presented as a whole to a specific and previously identified donor***, use the donor's logical framework format.
- ***If the source of funding is not yet known or if the project is to be presented to multiple donors*** (e.g. one grant per component), use the Tdh logical framework template.

Tool 11

- Logical framework template

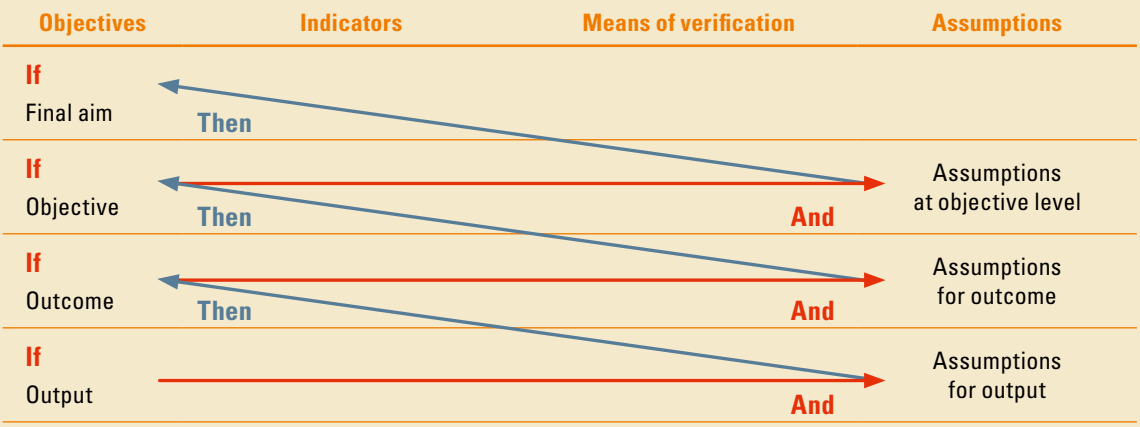
[34] *Project/Programme Planning Guidance Manual*, IFRC, 2011

Box 24 *Tips:* Tips for checking the coherency of your logical framework

1. **Does the logical framework summarise:** [35]
   - What you want to achieve (set of outputs and outcomes towards the achievement of the project objective);
   - How you get there (set of activities);
   - How you know when you have gotten there (sources of verification);
   - Potential problems that may arise along the way (set of assumptions).

   If the answer to one of the questions is "no", review your intervention logic and revise your outputs, outcome, activities, assumptions and sources of verification.

2. **Use the "if-and-then" method to verify your intervention logic and ensure that your assumptions are aligned with the objective of the project** as per the figure below: [36]



- *If "Transitional shelter kits are distributed"*
- *And "Prices for building materials remain within the project budget"*
- *Then the outcome, "Improve access to transitional shelter in target communities", will be achieved.*

Writing the project document

The project document is a ***compulsory reference document*** summarising the elements drawn up during strategic planning.

This document ***is not intended for fundraising***. However, it is used as a basis for drafting requests for funds depending on the template prescribed by donors. It comprises an executive summary, a narrative part presenting the essential elements of strategic planning, a logical framework, as well as operational planning elements – budget, work plan and organisation chart (see 3.10 Operational Planning).

In the emergency and humanitarian crisis context, where time for strategic planning is limited and is insufficient to develop a full project document, Tdh recommends following one of the **two options** below:

- ***If the project is to be presented as a whole to a specific and previously identified donor***, use the donor's template for project proposals.
- ***If the source of funding is not yet known or if the project is to be presented to multiple donors*** (e.g. one grant per component), use the Tdh project document template. You must at least design the logical framework for the whole intervention. It will then be split when submitting funding applications.

Tool 12

- Project document template
- Checklist for proposal

[35] *Programme/Project Management: The Results-Based Approach*, ICRC, May 2008
[36] Adapted from: *Project/Programme Planning Guidance Manual*, IFRC, 2010

3.10 Operational planning

Operational planning is the process of determining how the objectives in the strategic plan will be achieved "on the ground".

Operational planning covers the **implementation of the intervention** once strategic planning has been completed. Indeed, in order to translate strategic objectives into practical results, the required actions need to be planned (in a **work plan**), the people doing the work need to be identified (**organisation chart**), and the action's costs and funding must be detailed (**budget**).

The work plan, organisation chart and budget are compulsory appendixes to any project document and logical framework. They must cover the full duration of the project.

Box 25 *Tips:* **Five tips for work plan drafting**

- Keep in mind that an activity schedule considers and determines what will happen, when and for how long it will happen, and in which order activities will be carried out (dependencies);
- Draft the activity plan only after activities have been defined; in other words, once all objectives, assumptions, indicators and means of verification have been completed in the logframe matrix;
- Define a set of activities for each output;
- Establish in which order key activities will take place;
- ***Do not forget transversal activities; for instance, those related to assessment, monitoring, evaluation and capitalisation.***

Reference 17

- *Project Cycle Handbook*, Tdh, 2012
- *Project/Programme Planning, Guidance Manual*, IFRC, 2010

The work plan

Also named the activity schedule or Gantt chart, the work plan analyses and presents project or programme activities in graph form. It shows the project schedule, and a detailed definition of the resources (human, material, and financial) required to carry out the project. It can be used to check whether the strategic plan is consistent with available means. Do not underestimate the importance of a good work plan as, later on, it can be used as a basis for monitoring activities.

Tool 13

- Work plan/Gantt chart template

The organisation chart

The organisation chart shows the internal structure of an organisation or company. The employees and positions are represented by boxes or other shapes. Straight or elbowed lines link the levels together. This creates a clear visual depiction of the hierarchy and ranks of the different people, jobs and departments that make up the organisation.

In humanitarian settings, it is important to have a clear organisation chart since it ***helps to define the human resources required for project implementation (quantity and type), how these people will work together and how they will be allocated geographically.***

Don't forget to plan for ***operational staff who have transversal roles and responsibilities***, namely those involved in monitoring and evaluation.

Tool 14

- Organization chart

The budget

A budget is a financial plan for a project or programme. The basic rule is to ensure that all resources and costs needed for each identified activity are reflected in the budget. The budget is a ***key component of a good planning process*** because it:

- Helps check if the project plan is realistic;
- Is a prerequisite for funding applications;
- Is a vital tool for monitoring and evaluating project/programme progress.[37]

At Tdh, a ***procurement plan*** must be established at the same time as the budget. Seek advice from the finance and logistics departments in the field and at headquarters.

Tool 15

- Budget matrix
- Procurement plan

[37] *Project/Programme Planning Guidance Manual*, IFRC, 2010

3.11 Checklist for strategic planning in emergencies and humanitarian crises

Print the checklist.
Use it throughout the strategic planning process.
Check it when finalising a step.

How to use this checklist?

The checklist below summarises what is explained in this chapter. It covers what Tdh expects when conducting strategic planning in emergencies and humanitarian crises. It therefore presents the ***most important and compulsory milestones*** of the strategic planning process. Keep in mind that the checklist is not exhaustive.

The checklist is designed to help you ***remember everything and save time.*** Overall, it will contribute to the ***consistency and quality*** of the intended intervention. This is of the utmost importance especially since several individuals will most likely be involved in this task.

The purpose of the checklist is **twofold**:

- Use the checklist ***to ensure that you have not underestimated/forgotten anything important while completing the six successive steps of strategic planning*** described in this handbook.
  This is strongly suggested if:
  - ✓ This is your first strategic planning;
  - ✓ This is the first time you have used Tdh's *Project Cycle Management in Emergencies and Humanitarian Crises handbook* – you may have experience in conducting strategic planning in the emergency and humanitarian crisis context with other organisations, but take enough time to understand and master Tdh's approach in this field.
- Use the checklist ***if you are looking for additional specific methodological guidance, tools, references, templates, and/or information on strategic planning*** in emergencies and humanitarian crises.
  This is strongly recommended even if:
  - ✓ You have already used Tdh's *Project Cycle Management in Emergencies and Humanitarian Crises handbook* and feel that you are familiar with Tdh's approach, tools, references and templates in this field.
  - ✓ You are familiar with Tdh's *Project Cycle Handbook*. You will need to adapt your practice of strategic planning to the emergency and humanitarian crisis context by consulting specialized resources.

If you answer "no" to any of the questions in the checklist and, if time allows it, review your strategic planning and project document accordingly. If this is not possible and you believe that the gaps identified can be addressed during the implementation phase, flag them and move forward with the next project cycle phase.

☑ Checklist 5 Strategic planning in emergencies and humanitarian crises

	Yes	No	If "No", have a look at:
General			
01. Do strategic planning and the subsequent intended project ***align with Tdh's Emergency and Humanitarian Crisis Programme and Thematic Policies in Emergencies and Humanitarian crises?*** It must be comprehensive and multi-sector. It must integrate an exit or transition towards rehabilitation or development scenario.	☐	☐	➤ 1.2 Terre des hommes commitments in emergencies and humanitarian crises ➤ 1.2.1 Tdh's Emergency and Humanitarian Crisis Programme ➤ 1.2.2 Linking relief, rehabilitation and development
02. Is the intended project ***adapted to the context and stage of the crisis*** (e.g. sudden disaster, chronic or protracted crisis, etc.)?	☐	☐	
03. Is strategic planning ***inclusive and participative?***	☐	☐	
04. Are the ***protection of data and target groups (including children) and other ethics and crosscutting considerations*** (do no harm, gender, most vulnerable groups, humanitarian principles, conflict sensibility, etc.) guaranteed throughout the whole strategic planning process and in the intended project?	☐	☐	➤ Box 12 *Zooming in:* Do no harm, protection of target groups and child safeguarding policy in humanitarian and emergency contexts ➤ Box 9 *Zooming in:* Data protection
Step 1: Refining operational conclusions and recommendations			
05. Have you ***reflected on operational conclusions and recommendations drawn during the situation analysis phase?*** Refining operational conclusions and recommendations is compulsory if: • The information collected appears to be insufficient, inaccurate, and incomplete or biased; • The context has significantly evolved since the initial situation analysis; or • There is no consensus on the conclusions and recommendations.	☐	☐	➤ 3.4. Step 1: Refining operational conclusions and recommendations ➤ Checklist 2 Refining operational conclusions and recommendations
Step 2: Defining the objective			
06. ***How many objectives*** has the intended project? There must be one and only one.	☐	☐	➤ 3.5 Step 2: Defining the objective ➤ Checklist 3 Defining the objective ➤ Box 16 When defining an objective is too complicated: use an objective tree
07. Does the objective of the intended project ***address the main issue*** identified in the intervention context?	☐	☐	
08. Does the objective of the intended action ***match the criteria defined in the checklist*** for defining an objective? It must: • Describe a situation and NOT a process; • Describe the improved situation of the target group at the end of the project; • Describe a measurable and objectively observable situation; • Clearly define the beneficiary group; • Be realistic, clear, simple and concise.	☐	☐	

	Yes	No	If "No", have a look at:
Step 3: Defining results and activities			
09. Do the results and activities ***show the change you want to see?***	☐	☐	➤ 3.6 Step 3: Defining results and activities ➤ Box 17 Which results are expected from the project? ➤ Figure 11 The result chain: a tool to structure strategic planning ➤ Box 18 *Zooming in:* Feedback and complaints mechanisms
10. Did you include in the intended project ***output, intermediate outcome, final outcome, and impact-related results?*** They must be translated in the logical framework.	☐	☐	
11. Have you checked the ***validity of the results chain?*** (e.g. Is the outcome a real outcome?)	☐	☐	
12. Are ***feedback and complaints mechanisms*** part of the activities of the intended project?	☐	☐	
13. Does the intended project ***include and build local synergies and dynamics?*** (e.g. local organisations)	☐	☐	
14. Does the intended project pay enough attention to the notions of ***complementarity and coordination*** between Tdh and the other stakeholders present in the targeted area of intervention?	☐	☐	
Step 4: Defining risks and assumptions			
15. Are you sure your ***assumptions are not risks and vice-versa?***	☐	☐	➤ 3.7 Step 4: Defining risks and assumptions ➤ Box 19 How to mitigate risks
16. Have you planed for ***risk mitigation mechanisms?***	☐	☐	
17. Are the ***risks you have defined exclusively external?*** When it comes to operational planning, think about internal risks – which must NOT be included in the logical framework.	☐	☐	
18. Do the assumptions you have defined ***lie outside the direct control of Tdh?***	☐	☐	
Step 5: Defining indicators and means of verification			
19. Did you use ***humanitarian standards indicators*** and those of ***Tdh's Emergency and Humanitarian Crisis Programme?***	☐	☐	➤ 3.8 Step 5: Defining indicators and means of verification ➤ Checklist 4 Designing SMART indicators ➤ Box 22 How Tdh formulate indicators ➤ Box 21 Indicator traps ➤ Tips for defining means of verification
20. Are your ***indicators SMART***, phrased according to Tdh's recommendations and both qualitative and quantitative? An indicator must be Specific, Measurable, Achievable, Relevant and Time-bound.	☐	☐	
21. Do you have a ***reasonable number*** of indicators?	☐	☐	

	Yes	No	If "No", have a look at:
22. Are your ***means of verification realistic?*** They must: • Be defined at the same time as indicators; • Use a two-step approach; • Consider the following: cost, timeliness, feasibility, cultural sensitivity, gender, child safeguarding.	☐	☐	➤ 3.8 Step 5 Defining indicators and means of verification ➤ Checklist 4 Designing SMART indicators ➤ Box 22 How Tdh formulate indicators ➤ Box 21 Indicator traps ➤ Tips for defining means of verification

Step 6: Designing the logical framework and writing the project document

23. Have you written a ***project document*** summarizing the elements drawn up during the different steps of strategic planning? This document is compulsory. Use Tdh's template.	☐	☐	➤ 3.9 Step 6: Designing the logical framework and writing the project document / Writing the project document
24. Does the intended project align with ***Tdh's checklist for proposals?***	☐	☐	➤ Tool 12 Checklist for proposal

Operational planning

25. Have a ***workplan, organization chart and budget*** using Tdh's templates been defined?	☐	☐	➤ 3.10 Operational planning

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4. Monitoring

Have you ever found yourself in one of the following situations?

- I do not know if we are doing what we said we would do.
- I do not know how many people have been targeted and why.
- I do not know if beneficiaries are satisfied and their needs fulfilled.
- My team is frustrated because they do not understand what their work is for.
- I had no way of producing relevant and robust reports about our intervention.
- I have the feeling that we are spending too much or too little given the pace of activities.
- Our last evaluator was not able to measure our project's impact because he lacked information about the initial situation and project deliverables.
- Our donor did not accept or had too many complicated questions about our final report because it was too superficial and not based on solid data.
- There was a change in context that we did not foresee, expect, or even realize was happening, making our intervention irrelevant.

▶ No?

You are a monitoring master! Nevertheless, take a look at the information below.

▶ Yes?

You need to put in place better project monitoring. Take a look at the information below.

4.1 What will you find in this chapter?

This chapter describes the four steps of monitoring planning in emergency and humanitarian crisis contexts.

This chapter will give you **methods, tips and tools** to successfully complete these four steps. In addition, references contain further reading on some aspects of monitoring, which can be consulted if desired.

At the end of the chapter, a **checklist** summarises important and compulsory milestones in the monitoring process. Go through it to make sure you are on the right track before moving forward to the next project cycle stage.

A word on these four steps…

Tdh includes four steps in monitoring planning in emergency and humanitarian crisis contexts. These steps are ***NOT successive but interconnected. For this reason, they must be considered simultaneously and should be viewed as part of a mutually supportive monitoring system***. Depending on the project phase (emergency, recovery or rehabilitation), you may choose to focus more or less on a given step. Regardless, ***use your common sense*** to ensure that your project monitoring is robust enough to fulfil its purpose. The further you move forward in your intervention, the stricter you must be in applying these four steps.

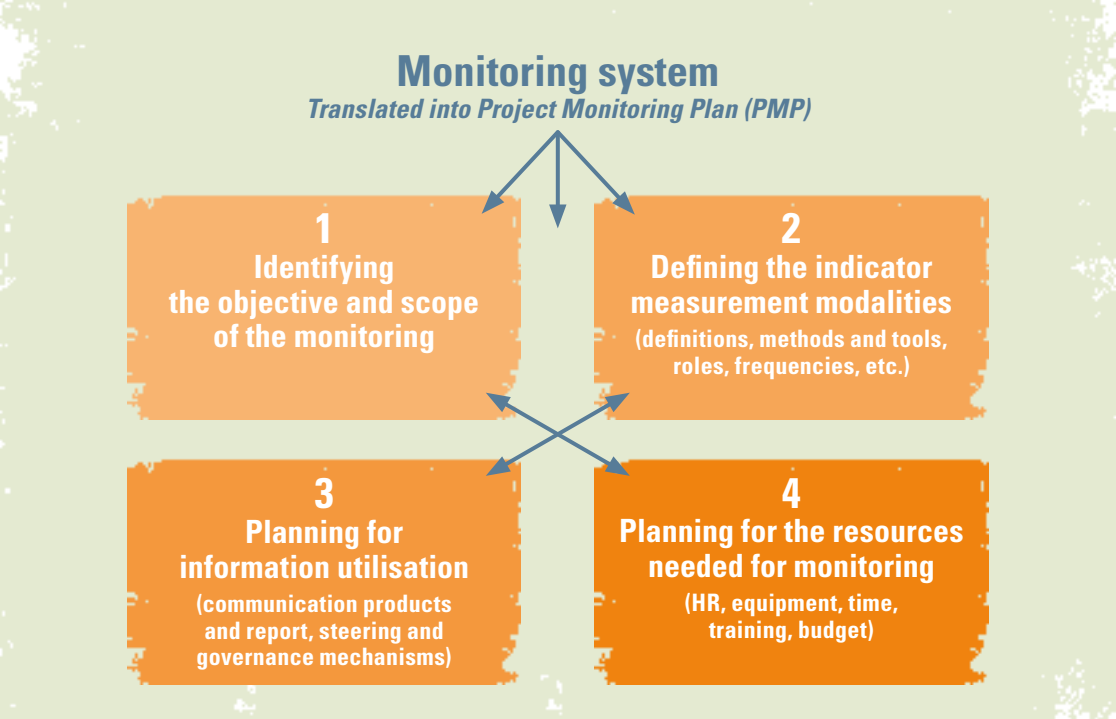

Figure 12 *The four steps of monitoring*

4.2 Definition and objective

Monitoring is the collection, analysis and use of data concerning events and processes related to a project's progress.[38] It is used to assess a project's progress and ensure it is on the right track to achieve the expected results, or to observe and understand discrepancies, difficulties or even new opportunities.[39]

Monitoring is a key part of effectively steering projects and programmes. It is carried out continuously, in a systematic manner, and relies on a coherent set of methods, tools and functions. It is linked with the project management structure and articulates different levels (inputs, outputs, outcomes, context, etc.). This is why we talk about a **monitoring system**. The **project monitoring plan** or PMP "explains" how this system is concretely put into effect.

In emergency and humanitarian crisis contexts, a well-functioning monitoring system is a critical part of good project implementation, management, quality and accountability. ***Timely and reliable*** monitoring provides information to:

- **Support** project implementation by informing decision making;
- **Contribute** to organisational learning and knowledge sharing;
- **Uphold** accountability, transparency and compliance;
- **Provide** opportunities for stakeholder participation and empowerment, especially project beneficiaries, partners and actors;
- **Enhance** the impact of our work and uphold our advocacy initiatives;
- **Promote** our work by highlighting our accomplishments and achievements.

There are **different types and levels of monitoring:** results, context, inputs, activity, process, outputs, outcome, impact,[40] financial and organisational (see Box 27).

[38] *Project Cycle Handbook*, Tdh, 2012
[39] *Design and Implement a Monitoring System*, Tdh, 2016
[40] Bear in mind that an "impact" is assessed through evaluation rather than monitoring.

4.3 Key features of monitoring in emergencies and humanitarian crises

Compared to development projects, monitoring systems in emergencies and humanitarian crises must take into consideration the following unique characteristics:

- The high financial volume of the action;
- The short timeframe of the action;
- The high number of beneficiaries, who are characterised by a high degree of vulnerability;
- The rapidly changing context and evolving needs;
- Multisector interventions; multiplicity of actors;
- High turnover;
- Access restriction, security;
- Information systems in place which may have collapsed, infrastructures that may be damaged or absent.

In addition, monitoring during emergencies and humanitarian crises can take place in violent conflicts or volatile settings. This means that key features must be taken into consideration to ensure that no harm is caused while implementing and monitoring project activities.

Box 26 *Zooming in:* **Specific questions to address when working in a conflict or volatile environment (do no harm)**[41]

In a conflict situation, additional monitoring is needed to ensure that the project is conflict-sensitive. In other words, ***the project must not have unintended negative impacts on conflict or stability, or harm beneficiaries.*** It is crucially important to assess whether the risks created by conflict or fragility have a negative impact on project implementation, and to monitor changes in the country context to determine whether project objectives, methods and approaches remain appropriate. ***Answer the following questions:***

- Are staff, partners and the project seen as neutral or aligned with stakeholders or parties to the conflict?
- How are they perceived by warring parties and security forces?
- With whom and where are they working – and not working?
- What are the human and financial resources transferred by the project, and who benefits?
- Whose power, interests or needs are they challenging or reducing, directly or indirectly, and whose are they helping to build?

[41] Adapted from DFID: *www.gov.uk/government/uploads/system/uploads/attachment_data/file/67695/building-peaceful-states-l.pdf*

Monitoring in emergencies and humanitarian crises is…

Simple and efficient

Avoid placing a heavy burden on staff and detracting from the response itself, enable decision-making and be use-oriented. To do so, focus on regular and timely monitoring and rapid evaluations.

Launched during strategic planning

Strategic planning shapes the monitoring system.

Timely

It helps the team to be responsive to the changing context and evolving needs.

Dynamic

It is adapted to the crisis level and response phase: monitoring in emergencies first focuses on the inputs, activities, outputs, processes and context. It then considers outcomes and impact.

Inclusive and participative

Internal cooperation (M&E, operations and support teams) and work with external stakeholders helps give voice to the affected population. Participation ensures monitoring is well accepted and credible. This helps build ownership. Take into account key principles: gender, equity and equality.

Ethics-oriented

It is informed by "do no harm", necessity and protection principles; ensures a high level of data protection and is sensitive to beneficiary fatigue.

Quality-oriented

Choose the most appropriate methods to ensure data quality management. Be open to challenging assumptions.

A critical part of RBM

It forms a basis for clear and accurate appreciation, measurement and communication of the results achieved by an intervention.

Figure 13 *Key features of monitoring in emergencies and humanitarian crises*

Box 27 The different levels of monitoring

Level	What	Monitoring questions	Indicators (protection example)	Indicators (WASH example)
Context	Assess the environmental, ***economic, social, security*** context to monitor any change, especially if it influences risks and assumptions.	• Do any unexpected considerations arise? • Are populations moving? • Are changes occurring in the setting we work in? • Is a peak in violence or a political change likely to occur?	• Number of people per square metre in the camp • Number of unaccompanied children in the camp	• Watery diarrhoea and bloody diarrhoea threshold • Population movement: number of new refugees in urban area/camp setting • Price evolution • Ratio latrines per household (1/25)
Inputs	Track the ***use*** of material, financial and human ***resources.***	• Are funds, staff and materials available on time and in the right quantities and quality? • How much money is being spent? • How is procurement going? • How are our stocks evolving?	• Level of expenditure/ time • % of goods purchased, stock level	• Level of expenditure/ time • % of goods purchased, stock level
Process/ Activity	Reflect ***what is being done*** (activities) and how it is being done (processes). Assess the ***means or methods to achieve*** the desired results. Indicate the ***quality*** of the intervention.	• Are our activities conducted according to standards? • How do beneficiaries feel about the work? • Are activities being implemented on schedule and within budget? • How are they implemented? • What is causing delays or unexpected results?	• Number and kind of activities in Child Friendly Spaces, per week • % of cases managed according to IASC [42] standards • Ratio of social workers to children	• Number of complaints received (and % dealt with in a certain period of time) • % of infrastructure following standard design
Outputs	Measure the quantity of ***goods or services produced.*** It is the immediate effect of an activity, tangible products, goods and services or immediate changes that may lead to the achievement of outcomes.	• Are activities leading to outputs? • What has been produced/ built/ delivered by the activities?	• Number of children benefiting from Child Friendly Spaces activities • Number of parenting skills sessions held (or number of parents participating)	• Number of water sources rehabilitated • Number of people receiving hygiene kits
Outcomes	Assess the ***benefits*** achieved for the target group(s), the ***medium-term changes/effects*** of an intervention through the provision of the goods and services (longer-term changes).	• Are the outputs leading to outcomes? • Are the expected changes in terms of beneficiaries' situation, behaviour, attitudes and policy materializing?	• Number and % of children expressing improved subjective well-being following structured PSS intervention (or better life skills management) • % of children with improved self-esteem	• % of households with access to improved and safely managed water sources • % of beneficiaries practicing hand washing
Impact	Assess the consequences of the program, the ***long-term change*** in conditions of the community, its ***primary and secondary, direct and indirect, positive and negative*** long-term effects.	• Is anything happening which could jeopardise impact? • Are the conditions being progressively put in place to produce expected longer-term changes?	• Increase in % of youth seen as well-adjusted and positively engaged in life of community	• Decrease in prevalence of water-borne diseases • Decrease in % of child mortality due to hydric diseases

[42] Inter-Agency Standing Committee

It is important to note that Tdh's capacity to capture the changes produced by our action decreases at outcome and impact levels. Outcomes do not only depend on the project's actions but are influenced by factors that are not under our control. Tdh's influence on the results chain is therefore relative; which has consequences for our capacity to reflect on our contribution to the impact and to attribute the change to our intervention. The challenge of attribution is not unique to the humanitarian sector, but is amplified in most of the contexts we work in, and often shaped by many unpredictable factors affecting outcomes and impact.

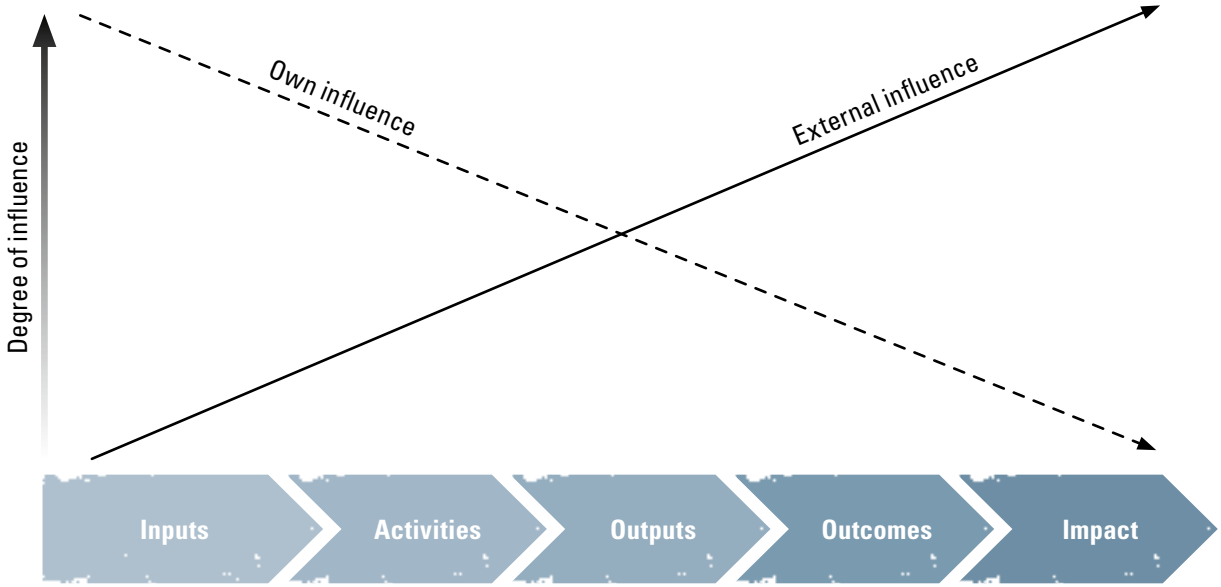

Figure 14 *Influence and contribution to change over project lifecycle*[43]

[43] Adapted from: *Evaluation of Humanitarian Action Guide*, ALNAP, 2016

Box 28 Beware: monitoring is not evaluation

An **evaluation**[44] is "a systematic and objective assessment of an on-going or completed project, its design, implementation, and results. It must provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process".

Monitoring is the collection, analysis and use of data concerning events and processes related to a project's progress.[45] It is used to assess a project's progress and ensure it is on the right track to achieve the expected results, or to observe and understand discrepancies, difficulties or even new opportunities.[46] Monitoring is a key part of effectively steering projects and programmes.

The two exercises globally serve quality, accountability and learning purposes but are different in their objectives and modalities of execution as explained in the table below:

Result	Monitoring	Evaluation
Why	• Checks progress and supports decision-making for project management	• Complements ongoing monitoring • Assesses progress, project design and impact (based on OECD/DAC criteria) • Goes into more detail than monitoring: judgment of merit or worth • Provides recommendations for longer-term planning • Provides accountability and supports learning
When	• Continuous and part of day-to-day management	• Less frequent than monitoring and completed at specific times
Who	• Internal staff – project implementers • External staff under specific and exceptional conditions	• Internal or external staff, but often external – for neutrality and accountability reasons • Staff with specific expertise
Focus	• Inputs, activity delivery and outputs, shorter-term outcomes and pre-conditions for impact • Use of resources	• Outcomes, process and impact • Use of resources • Usually done using OECD/DAC[47] and CHS criteria

In this handbook, ***Tdh focuses only on monitoring.*** However, in emergency and humanitarian crisis contexts project cycle phases often overlap, and ***evaluation is also compulsory.*** Given these remarks, keep in mind the following tips:

- Go through the ALNAP guide when planning to commission an evaluation. This is the reference document for Tdh when it comes to evaluation.
- Tdh's *Project Cycle Handbook* indicates that any project lasting more than one year should be evaluated, either internally or externally. Mid-term evaluation is also recommended.
- There are several kinds of evaluations which can be used for different purposes. Consider your needs and context: learning (formative evaluation), performance (summative), contribution to new concepts and ideas (developmental). Choose wisely and according to your needs (what do we want to know?) and context.
- Evaluation can be carried out using different schedules: during the very early stages of the response or during operations (real-time evaluations), in the middle of a project (mid-term), at the end (final) or immediately afterwards (ex post).
- Evaluation can focus on a whole project or a project component (e.g. child protection, WASH, gender, etc.).
- Evaluation can be internal (e.g. by humanitarian specialists, the Quality and Accountability Unit) or external.

[44] *Project Cycle Handbook*, Tdh, 2012
[45] *Ibid.*
[46] *Design and Implement a Monitoring System*, Tdh, 2016
[47] Organisation for Economic Co-operation and Development (OECD) / Development Assistance Committee (DAC)

Zoom on real-time evaluations (RTEs)

A real-time evaluation (RTE) is an evaluation in which the primary objective is to ***provide feedback in a participatory way in real time (i.e. during the evaluation fieldwork) to those executing and managing the humanitarian response.*** In this sense, it not only contributes to project strategy, planning and implementation, but also to its monitoring system. RTEs are increasingly demanded in the sector. While Tdh has limited experience in RTEs, you may wish to explore the mechanism, which requires a specific set-up (seek advice from headquarters). Please note, RTEs should only be used in specific conditions:

- During the early stages of a response, when they are best able to influence operations (<90 days);
- During fast programme transitions and internally or externally driven change;
- When the level of risk is high in major operations;
- When deploying in new areas or starting operations in a new thematic field;
- When there is a sudden increase in the scale of a project;
- When there is a sudden change in the nature of a project;
- When there are warning signs from project monitoring (e.g. increase in indicator data on malnutrition).

RTEs are unique in terms of timing and audience:

- The evaluation team must be recruited and deployed more quickly;
- The report (or a substantive draft) must be delivered before leaving the field;
- The primary audience is Tdh staff; the primary objective is learning rather than accountability;
- The focus is on "today" in order to immediately influence programming;
- The focus is not normally on efficiency or impact.

Tool 16

- Tdh Q&A toolkit for external evaluation (ToR template, budget, selection grid)

Reference 18

- *Evaluation of Humanitarian Action*, ALNAP, 2016
- *Real Time Evaluations of Humanitarian Action*, Pilot Version, ALNAP, 2009
- *Example of RTE, Swiss Solidarity*, Haiti, 2017

4.4 Step 1: Identifying the objective and scope of monitoring

What?

The monitoring system answers the questions:
"Why do we need the monitoring system?",
"How comprehensive should it be?" [48], and
"What would be the adequate level of complexity?"

This step is often overlooked, especially in an emergency and humanitarian crisis context, as the priority is to "save lives" as fast as possible. In addition, it is often not possible to complete this analysis in the early response stage of an emergency. However, focusing on the objective and scope of monitoring can help ensure that a solid system is implemented to facilitate project steering and reporting. This is particularly important when the situation stabilises and there is more time to think about strategic approaches.

When?

The objective and scope of monitoring are defined during the operational programming phase, before project implementation is started.

Who?

The programme / project coordinators / managers, together with M&E managers / officers, are responsible for defining the objective and scope of monitoring. It is a joint process.

How?

Three stages to identify the scope and objective of monitoring:

- Reviewing the logical framework;
- Identifying information needs, expectations and requirements;
- Identifying the scope of the monitoring system to be put in place.

To help you save time when completing this step, some key questions are suggested in the boxes below. Use them as a checklist to validate your decision.

Stage 1: Reviewing the logical framework

Why?

The logical framework is the foundation on which the monitoring system is built (see Part 3, "Strategic Planning"). Especially in emergencies and humanitarian crises, ***it often needs to be reviewed, for the following reasons:***

- The logical framework is often drafted in a rush, sometimes in an office or by people far from the project area/country;
- The team may have not been in place when it was developed, so they may have unanswered questions or a different understanding of its content;
- The logical framework should not be a static blueprint given the changing circumstances in the field (needs, populations, capacities);
- It may contain standardised industry and/or sector-specific indicators or indicators requested by donors, but omit complementary "internal" indicators or cluster indicators;
- Data collection methods and means of verification are often underdeveloped, and may not be realistic or fully relevant considering the context, so more work is needed to effectively operationalise indicator measurement ;
- The logical framework must be reviewed to make it more operational and reflect the project's management system;
- Information use modalities have not been specified;
- The available budget and resources, including those allocated to project monitoring, are clearer at this stage than at the time of strategic planning.

[48] *Project / Programme Monitoring and Evaluation Guide*, IFRC, 2011

How?

Box 29 *Tips:* Tips for reviewing your logical framework

Ask yourself the two following questions:

- ***Is the intervention's logical framework and relevance clear?*** Try to explain it to someone outside the project. If they agree with your intentions, you're good to go. If not, you may need to go through the different strategic planning steps and clarify some key elements.
- ***Does your logical framework use a combination of local-context-driven and standardised indicators*** (including Tdh's programmatic indicators)? Be careful not to include too many indicators in your monitoring system (see "Strategic planning"). Re-check the relevance of indicators, now that you may have included "internal" indicators.

If you discover that your indicators are not measurable or specific, but you cannot modify your logical framework, use the indicator reference sheet to clarify and review your indicators, making sure that the team agrees that you will collect consistent and reliable data. Have a look at "4.5 Step 2: Defining indicator measurement modalities" for further information on this.

Tool 17

- Indicators reference sheet

Stage 2: Identifying information needs, expectations and requirements

Why?

Important information needs can be specified in donor guidelines and requirements, governmental laws and regulations, and internationally-agreed-upon standards. These requirements can include very detailed procedures, formats and resources, and are often ***non-negotiable.*** Therefore, it is best to plan for them early in the monitoring process. [49]

How?

Box 30 *Tips:* Tips for identifying your monitoring requirements

Ask yourself the four following questions:

- What are the ***procedures and formats*** we are required to respect (internally and externally)?
- What do we need to ***monitor*** in addition to the indicators included in the logical framework? Why? Have we thought about process and context indicators?
- What are our ***constraints***?
- What are our ***resources***? How might they evolve?

Stage 3: Identifying the scope of the monitoring system to be put in place

The scope of the monitoring system refers to its scale and complexity. This element is partly defined when reviewing the logical framework and identifying monitoring requirements. The following considerations must also be taken into account:

Box 31 *Tips:* Tips for determining the scope of your monitoring system

Ask yourself the five following questions:

- What is the ***geographic scale*** of the project? The wider the geographic coverage, the more complex the monitoring system.
- What is the ***demographic scale*** (target population) of the project? The complexity of your system will vary based on accessibility and target population.
- What is the ***security context?*** Your approach and ambitions must take into account highly volatile security contexts (focus on do no harm, remote mechanisms, prioritising). You may have to opt for remote monitoring (see Box 33) and/or third-party monitoring (see Box 32).
- What is the ***time frame*** of the project? Short projects only require simple and streamlined monitoring systems; whereas longer-term projects are more ambitious in terms of measuring outcomes, impact, and transitions towards the relief and development phases.
- Is your intervention ***multi-sector?*** The more themes your project deals with, the more complex your monitoring will be.

[49] *Project/Programme Monitoring and Evaluation Guide*, IFRC, 2011

In some cases (insufficient access, operational and financial volume of the project, etc.) you may have to resort to **third-party monitoring** which involves ***contracting third parties to collect and verify monitoring data.*** However, Tdh recommends that this should be ***limited to exceptional situations and used as a last resort.*** Third parties should not replace Tdh monitoring staff or replace Tdh's monitoring system. The use of third-party monitoring must always be combined with ongoing training for Tdh team members. Bear in mind that third-party monitoring can involve very specific data protection issues.

Box 32 Third-party monitoring: advantages and disadvantages

Advantages:

- Can provide independent monitoring;
- Increasingly accepted and considered as a plus by some donors;
- If embedded or working closely with the team, may contribute to M&E capacity development in the delegation.

Disadvantages:

- May damage relationships with communities if the third party does not behave according to humanitarian values;
- Third-party monitoring is often very expensive;
- There is a duty of care when transferring risk to third parties who may not be protected;
- The third party's skills and competencies may not be appropriate;
- The third party may lack understanding of Tdh's actions and approaches;
- Low data quality;
- Time.

Reference 19

- *Third party monitoring in insecure contexts*, Secure Access in Volatile Environments, 2016

In other situations, you may have to resort to **remote monitoring**. Indeed, ***humanitarian interventions are increasingly carried out in locations where access is limited.*** This is particularly true for Tdh, as emergency responses may already be remotely implemented (e.g. Syria) or access to the intervention area is not always guaranteed (e.g. Iraq). Given that Tdh's strategy is to go where others will not go, ***this situation is expected to become increasingly frequent.*** If staff cannot visit the project regularly, how can they know if it is up to standard?

Box 33 *Tips:* Tips for remote monitoring

Remote monitoring may be our only option in some cases. There are several possible options, but ***tools should only be used if staff safety is not endangered.*** Remote monitoring can be completed by using text messages, forums, and phone calls:

- Social media: Facebook, Twitter, WhatsApp;
- Photos, GPS-enabled locations;
- Helpdesks and call centres;
- Shared responsibilities with partners, other organisations and communities in the field, (partners, peer to peer, community monitoring);
- A third party in the field.

If remote monitoring is set up in a delegation, it is ***compulsory to:***

- Do a proper risk-benefit analysis;
- Clarify procedures, roles and responsibilities, expected deliverables and products;
- Clarify what data you need and how it should be collected, processed, analysed and presented;
- Supervise and accompany;
- Review and take into account lessons learned.

Remote impact monitoring is generally challenging because of the difficulty in establishing a baseline and gathering reliable data. In this situation, ***focus on a small number of outputs and lower level outcomes,*** including the unintended negative effects of the intervention. Focus more on priorities.

Quantitative data is easier to collect remotely, but quantitative tools are often overused in remote monitoring. They fail to capture a subjective view of the people. Do not neglect qualitative data.

4.5 Step 2: Defining indicator measurement modalities

Avoid information overload.
Avoid indicator overload.
Avoid tools overload.

Once your objective and scope have been defined, you must consider monitoring from an operational point of view and further define indicator measurement modalities, which are also part of the **Project Monitoring Plan** or PMP design.

Tool 18

- Indicator planning matrix
- Monitoring activities calendar
- Indicator tracking table
- Indicator reference sheet
- Information use plan
- Monitoring budget

What?

The PMP comprises a series of tools which range in complexity and detail depending on the type of response and emergency momentum. At a minimum, it is composed of a ***table that builds on a project's logical framework to detail key monitoring requirements for each indicator and assumption.*** Table columns typically summarise key indicator (measurement) information, including concept definition, detailed information about the data, its sources, the methods and timing of its collection and analysis, the tools to be used, sampling size, baseline value, the people responsible for data collection, treatment analysis, and the intended audience and use of the data.

At the onset of an emergency and humanitarian intervention, the PMP can remain simple.
However, at minimum, it should contain:

- The indicator planning matrix;
- The monitoring activities calendar;
- The monitoring budget (see Step 4);
- The indicator tracking table.

As the situation stabilises and other project phases begin, your PMP must evolve to become more comprehensive. In addition to the previous tools, it should include:

- The indicator reference sheet for complex outcome indicators;
- The information use plan (see Step 3);
- Data quality management, ethics, human resource considerations and information flow mapping in a more elaborate PMP template.

When?

The PMP is developed during the operational programming phase, before project implementation. It is a document that is constantly updated over the course of the project.

Who?

Programme / project coordinators / managers, together with M&E managers/officers, are responsible for developing and completing the PMP. It is a joint process. This involvement helps ensure data quality because it improves understanding of what data is to be collected, why and how.

How?

Three stages for drafting a basic project monitoring plan:

- Reviewing the indicators;
- Selecting data collection methods and designing tools (see Box 36);
- Going through the PMP checklist (see Checklist 6).

Stage 1: Reviewing indicators

When defining the objective and scope of monitoring, you must review the logical framework (see Box 29). In doing so, you may discover that additional indicators are needed, or that indicators need to be rephrased or combined/merged. It is crucial to review your indicators at this stage of the process by using the recommendations in Part 3 on Strategic Planning.

In emergencies and humanitarian crises, reviewing indicators often reveals a lack of sufficient, up-to-date, reliable and accurate data and information. In these conditions, the situation analysis does not provide the picture needed for comparison after project implementation. Consequently, you may need to conduct a **baseline** study. To plan for and design your baseline study, have a look at Box 36 on data collection tools and methods.

Box 34 *Zooming in:* The baseline study

What?
A baseline study is a snapshot quantitative and qualitative analysis that describes the situation prior to an intervention. A baseline study is needed to compare the situation before and after the project, and the situation during the monitoring and evaluation process. It can support efforts to prove whether change has taken place as a consequence of your intervention or not. A baseline will help you set achievable and realistic targets and can show whether your indicators are accurate and viable. Keep in mind that a baseline study is also useful for meaningful evaluation.

When?
The baseline study should take place after the planning phase and before implementation.

Who?
Ideally, the baseline study should be conducted by an external team or Tdh staff, depending on the level of expertise.

What if a baseline survey is not possible?
Depending on the context, intervention timeframe or other constraints, conducting a baseline study is not always possible. In this case, or if you are lacking data:

- ***Collect baseline data when launching a response;***
- ***Use data that was available prior to the crisis;***
- ***Use relevant and reliable secondary reviews, including demographic data;***
- ***Use recall techniques by recreating the beneficiaries' memories and assessing the progress they have made since using the services.***

However, be aware that this approach cannot be used to extrapolate data. It can only be used to illustrate changes, and must be triangulated.

Tool 19

- Terms of reference for baseline studies
- *Baseline basics*, IFRC, 2013
- *Reconstructing Baseline Data for Impact, Evaluation and Results Measurement. No. 4.* Bamberger, Michael World Bank, Washington, DC, 2010

Stage 2: Selecting data collection methods and designing tools

During the situation analysis phase, a series of data collection methods and tools are used. Some of the recommendations and advice in this part is also valid for the monitoring stage. These two parts should therefore be read simultaneously. This chapter focuses on data collection methods that are useful for project monitoring purposes.

How?

To help you ***define data collection methods and tools, ask yourself the following questions.*** Some concern data protection, which is a crucial element to bear in mind (see Box 9):

- What do you need to know and why? What data will be collected and why? To what question should we respond? What will you do with this information?
- What is the nature of the indicator? Are you collecting a qualitative or quantitative indicator? Are the means of verification in the logical framework reliable, accessible and enough to get the information needed?
- Do you need to use standardised/validated tools?
- Are there any contextual elements that could affect the choice of method (culture, environment)?
- Do you want to use participatory approaches? To what extent will the methods planned allow the beneficiaries to be involved in monitoring? (See Box 4 and Box 35)
- How will you handle the data?
- What are the potential risks of collecting this information? What harm could it cause?
- Who will "own" beneficiary data and resulting information products?
- Who will be responsible or even liable if a security breach allows data to be used in a harmful way?

Then, ***choose the most appropriate methods and design tools.*** Many tools are available, and they must be adapted to the monitoring level as highlighted in Figure 16. Box 36 provides some examples. Boxes 37, 38 and 39 zoom in on some common and useful methods and tools used by Tdh.

Box 35 *Zooming in:* The importance of participation in monitoring

As highlighted in Box 4, Tdh requires all actions, whether they are in development or emergency contexts, to promote and implement information sharing and participation mechanisms at all stages of the project cycle.

Participation is crucial during monitoring as ***it involves beneficiaries in the decision-making process*** and therefore fosters the quality and relevance of the intervention.

Participation can happen at multiple levels in monitoring and is part of a continuum (see Figure 15): at one end of the spectrum the monitoring system can be completely participatory, where local stakeholders actively participate in all processes and decision-making, while at the other end it can be top-down, in which local stakeholders are given a voice but mainly as sources or recipients of information only. Ultimately, the degree of participation will vary according to the project/programme and context. [50] ***During the first stages of emergency and humanitarian crisis response, participation may be limited. However, when the situation stabilizes and the project enters other phases, it must be more and more important.*** This is of the utmost importance to ensure the LRRD contiguum.

There are many benefits to local participation in monitoring, but it is also important to recognize some of the potential drawbacks. ***Tdh recommends the use of a balance of participatory and non-participatory monitoring according to the project/programme needs and context.***

Potential advantages of participation during monitoring: [51]

- It empowers beneficiaries to analyse from their perspective and act on their own situation (as "active participants" rather than "passive recipients");
- It builds local capacity and ownership, which are necessary to manage and sustain the project;
- It supports collaboration and consensus at different levels – between beneficiaries, local staff and partners, and senior management;

[50] *Design and Implement a Monitoring System*, Tdh, 2016

[51] Adapted from: *Project/Programme Monitoring and Evaluation Guide*, IFRC, 2011

- It reinforces accountability and transparency, preventing one perspective from dominating the monitoring process;
- It provides timely, better quality and more complete information from the people;
- It catalyzes commitment to taking corrective actions;
- People are more likely to accept and internalize findings and recommendations that they provide.

Potential challenges in adopting participatory monitoring:

- It requires more time and money to train and manage local staff and community members;
- It requires openness, flexibility and capacity to learn collectively;
- It requires skilled facilitators to ensure that everyone understands the process and is equally involved, especially when working with children affected by an emergency;
- It requires a long-term perspective which is often a challenge in humanitarian response;
- It requires dealing with local governance problems, potential democracy gaps and social/cultural tensions;
- Data collection, analysis and decision-making can be dominated by community's most powerful voices (related to gender, ethnic, or religious factors);
- It requires the genuine commitment of local people and the support of donors, since the project/programme may not use traditional indicators or formats for reporting findings;
- If not carefully planned and led, it can create beneficiary fatigue or cause harm unintentionally.

Examples of participatory monitoring: participatory assessments; community representatives reporting on key monitoring indicators; self-evaluations using simple methods adapted to the local context (e.g. most significant change and participatory project reviews); utilization of feedback mechanisms for beneficiaries, volunteers and staff; sharing monitoring findings with community members for participatory analysis and identification or recommendations.

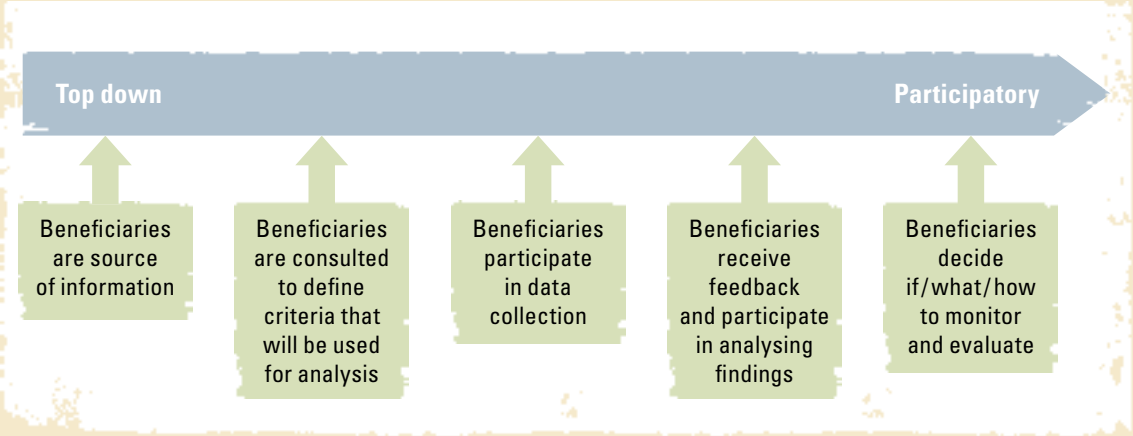

Figure 15 *The participatory continuum*

Box 36 *Zooming in:* Data collection methods and tools for monitoring purposes

Method	Level of monitoring	Purpose	Advantages	Disadvantages	Further reading
Secondary review	Context	• To monitor changes in the general and humanitarian context in the area/country of intervention	• Time and resource friendly • Essential in the emergency and humanitarian crisis context	• Potential data quality and reliability issues • Can be time-consuming if not prepared properly	• HDX for your setting: *data.humdata.org* • *Secondary Data Review – Sudden Onset Natural Disasters*, ACAPS, 2014 • *Secondary Data Review and Needs Assessment*, ACAPS, 2011 • *Evaluation of Humanitarian Action Guide*, ALNAP, 2016
Surveys	Outcome	To understand: • Satisfaction with a service, increased knowledge, utilisation of a service (e.g. water point frequentation) • Evolving needs among a population • Trends in a phenomenon (including knowledge, attitudes, practices)	• Perceived as more reliable, credible and objective • When the sampling method allows it, enables extrapolation and comparison • Enables comparisons overtime, as well as the replication of instruments and visualisation	• Numerous sources of bias and error • Risk of simplifying reality • Difficulty in readjusting data collection tool when the survey is deployed • Requires good experience and expertise • Requires a lot of time (survey planning, questionnaire design, training) • Difficult to implement in emergencies	• KAP WASH • *The KAP Survey Model*, Médecins du Monde, 2011 • Tdh survey pack
Observation	Context Outcome Impact	To monitor ongoing or completed activities: • Infrastructure and equipment status, maintenance, utilisation • Distribution activities • Quality of a service delivered (interaction between professionals and beneficiaries)	• Supports evidence gathering • Produces information on real practices and captures discrepancies between what is being said and what is being done • Provides a better understanding of physical, geographical and social contexts influencing the project • Facilitates data analysis • Suitable in emergencies: fast and reliable	• Bias: the very fact that there is an observation may influence practices. If an observation grid is poorly constructed, there is a risk that it may influence the results and that important data may be overlooked • Can be intrusive • Some fields of study are difficult or impossible to access • People tend to see what they notice. What they notice will depend on their personality and experience • Some key issues are often invisible	• *Qualitative Methods*, Médecins du Monde, 2012 • *How to conduct a qualitative/ quantitative study? From planning to using findings*, Handicap International, 2017

Method	Level of monitoring	Purpose	Advantages	Disadvantages	Further reading
Lab testing		• To assess water quality	• Standardised, provides good evidence	• Requires specific equipment and expertise, conditions for data reliability	• *Microbiological water quality testing guidelines*, Swiss Water and Sanitation Consortium
Focus groups	Outcome Impact	• To obtain information from within a community and produce a valid assumption of the target group's opinion with regards to the project	• Provides a significant volume of information quickly and at relatively low cost • Good for exploration: helps to understand community standards, norms and interaction • Helps explain and enrich data gathered through other methods	• Cannot be applied to the whole community: a range of points of view and opinions are provided • Difficult to manage (group constitution, moderation), data transcript and analysis. Often confused with larger community meetings • Bias: power dynamic, taboos → caution with group constitution and sensitive topics	• *Qualitative Methods*, Médecins du Monde, 2012 • *How to conduct a qualitative/ quantitative study? From planning to using findings*, Handicap International, 2017
Community meetings	Outcome Impact	• To confirm or invalidate a hypothesis • To grasp community dynamics	• Well accepted in communities, good to build trust and show transparency	• Only a few people will talk, generally leaders or people in a position of power	• *Qualitative Methods*, Médecins du Monde, 2012 • *How to conduct a qualitative/ quantitative study? From planning to using findings*, Handicap International, 2017
Key informant interviews	Context Outcome Impact	• To confirm or invalidate a hypothesis, enrich or explain findings from surveys • To approach a thematic issue that is sensitive or when you do not know much about a topic (exploration) • Especially useful in the field of child protection.	• Helps explain behaviours or mental representations that cannot be expressed via questionnaire or group meetings, especially for sensitive issues that cannot be dealt with in a group • Well tolerated and accepted, resource friendly • If well-conducted, supports collection of detailed and nuanced information	• Bias: gap between words and practice, subjectivity of opinion → Cannot be extrapolated to the whole population • A priori seems simple, but requires a certain expertise and time • Translation: subtle translator may influence conversation	• *Qualitative Methods*, Médecins du Monde, 2012 • *How to conduct a qualitative/ quantitative study? From planning to using findings*, Handicap International, 2017 • *Direct Observation and Key Informant Interview Techniques for Primary Data Collection During Rapid Assessment*, ACAPS, 2011
Mapping and ranking	Context Output	• To visualise and discuss qualitative information useful for monitoring: satisfaction levels, kind of changes and attribution to projects, living environment patterns.	• Participatory, triggers debate • Can be used to quantify qualitative information • Very useful for readjusting intervention quickly. • Useful for accountability to donors and community	• Power dynamics in groups • Difficult to constitute and moderate • Risk of reducing qualitative information by over quantifying	• *Participatory Approaches: A Facilitator's Guide*
Stories	Activity Output Outcome Impact	• To gain an idea of beneficiaries' interpretation and appreciation of a phenomenon	• Adapted to children • Participatory • Good to illustrate	• Difficult to design and interpret • Cannot be extrapolated	• *Most Significant Change Guide*, Rick Davies and Jess Dart, 2005

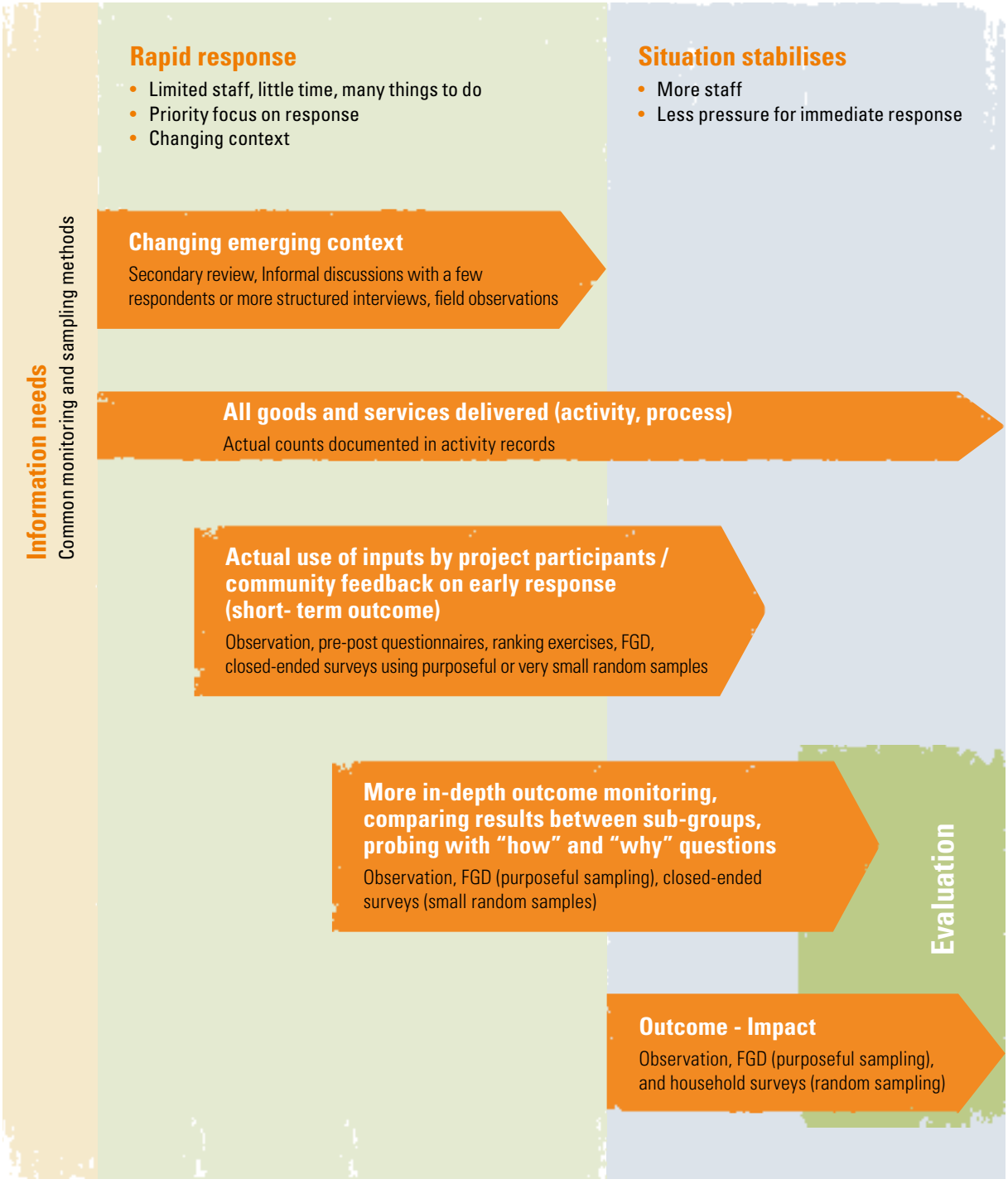

Figure 16 *The Progression of monitoring in an emergency and humanitarian crisis context* [52]

[52] Adapted from: *Monitoring, evaluation, Accountability and Learning in Emergencies: a Resource Pack for Simple and Strong MEAL*, CRS, 2012

Box 37 *Zooming in:* Post-Distribution Monitoring (PDM): combining different methods to encompass the different levels of the result chain [53]

As per Tdh standards, ***PDM is compulsory*** and implemented at the end of distribution, whether this is in kind or through a Cash Transfer Programme (CTP) in cash or vouchers. It should also be considered in the framework of financial and/or material support provided during case management activities. It may include:

- During distribution: observation checklists during spot checks;
- Immediately after distribution: focus group discussions;
- Two months after distribution: household surveys and/or focus group discussions.

By conducting PDM, you may seek to:

- ***Assess the distribution process itself:*** potential security issues, selection problems, waiting times at the distribution point, the distance to be covered by beneficiaries → process
- ***Ensure reception of the assistance provided:*** types, quantities and quality of items, etc. → output
- ***Measure the level of use – and correct understanding – of the distributed items:*** resale, exchange, donation, effective use, etc. → outcome
- ***Measure the level of satisfaction of beneficiaries:*** quality and adaptation of items provided, distribution process, selection criteria, etc. → process, outcome
- ***Measure the wider/longer-term effects of distribution linked to the outcomes.*** This is often done through an in-depth household survey, taking into account the activity's impact or collecting data on whether continued support is relevant. This also makes it possible to detect the first signs of negative impacts (community tensions, rising prices, etc.) → outcome, impact.

Tool 20

- Lebanon – Syrian Crisis – Distribution of relief items, 2013
- Pakistan – Flood Response – Distribution of hygiene kits, 2016

Box 38 *Zooming in:* An example of a WASH monitoring tool – FACET WIH

FACET is a rapid assessment and monitoring tool for WASH in Health Centre Facilities designed for mobile data collection (MDC) on Android smartphones/tablets in humanitarian and development settings. It was developed by Tdh in cooperation with Eawag-Sandec, with technical support from CartONG. It can be used in both development and emergency contexts. In this regard, it is a promising tool for materializing LRRD.

FACET is geared for rural outpatient clinical settings. The process involves a brief interview and a walking tour of the facility to observe water, sanitation, hand hygiene, waste and maternity services; and takes 30-45 minutes depending on the type of survey selected (core or expanded).

The core questions are linked to a joint monitoring programme (JMP) service ladder scoring system that calculates the level of service: No Service, Limited Service, and Basic Service. [54]

The questions lists were compiled by experts from the WHO/UNICEF JMP for Water Supply and Sanitation. *www.who.int/water_sanitation_health/monitoring/coverage/winhcf-egm-report-final-public.pdf*

FACET WIH has been optimised for KoBo Toolbox (see MDC section) and the package includes:

- Offline/online data entry;
- Online Microsoft Excel Analyzer tool;
- Dashboards built with Power BI;
- FACET user guidebook.

Tool 21

- Tdh_FACET_WIH_V21
- *www.washinhcf.org*

[53] Adapted from: *Fiche Technique Post Distribution Monitoring*, Solidarités International

[54] The Advanced level on the service ladder rating system is not yet applied to institutions.

Box 39 *Zooming in:* Mobile data collection

Tdh encourages its team to use mobile data collection (MDC) whenever possible and relevant for monitoring and if essential pre-conditions are met.

Example of potential MDC use in monitoring	Advantages	Main potential risks	Pre-conditions
✓ Surveys (baseline or monitoring indicators, KAP) ✓ Pre-post questionnaires ✓ Registration ✓ Distribution (during and after) ✓ Follow-up of activities (engineering work, facilities management, supervision checklist, scoring risk, etc.) as well as context follow-up	✓ Replaces paper, prevents double data entry ✓ Supports automatic and easier data analysis, and therefore faster use and decision-making ✓ Includes integrated tools to collect enriched data (GPS, picture, audio, video, barcodes) ✓ easier to handle in multi-language settings ✓ Is more efficient (faster and less costly) especially if data collection work is replicated over time and used to manage a large amount of data. If well-handled can improve survey design and data quality, and encourage staff to improve their methodology	✗ Devices can raise visibility of aid staff and mistrust among authorities and communities. If not well used, "human contact" with respondents can be impacted ✗ Competing tools can cause fragmentation of IM practices ✗ There are privacy, confidentiality, data protection and security risks associated with digitalisation ✗ There is an implicit belief that the tool can palliate methodology gaps	✓ Necessary resources (trained HR, finance, equipment) ✓ Purpose of data collection is clearly stated, based on information need clarified in a monitoring plan and in a methodological protocol that includes an analysis plan ✓ MDC requires more rigorous preparation (than a paper-based collection) as well as proven and well-functioning procedures

Before launching MDC, you must:

- Read Tdh's document "Mobile Data Collection: Prerequisites for implementing digital data collection via mobile devices (smartphones or tablets)", *app.tdh.ch/qualite*, MDC package;
- Read recommended literature, including Tdh's MDC pack, which includes training materials;
- Contact the Information Management Advisor at Tdh headquarters.

Questions to be explored before opting for MDC:

- What are the objectives of the data collection exercise? Are they clear enough?
- Will the exercise be repeated over time?
- Where will the MDC tool be used? Will data synchronisation also have to be offline (for example, in remote areas with no internet connection)?
- Does the delegation already have Android devices?
- Is your sample size sufficient?
- Is the data potentially sensitive (e.g. personal information, information collected in a conflict-affected area or protection-related information) and will it need to be stored in a secure environment, or managed and used in particularly safe way?
- What are the different anticipated types of data to be collected (qualitative or quantitative)?
- How will the data be used later?
- Who will be collecting the data and how often?
- Who will the data users be? Will they require different access rights or functionalities such as searching and editing information?
- What type of analysis do you expect the tool used to offer? Is there a need for automated dynamic reporting to be linked to the data collected?
- If you face technical issues, contact your IM advisor at headquarters and/or the Tdh hotline *mobile.data@tdh.ch*

Stage 3: Going through the PMP checklist

☑ Checklist 6 Project Monitoring Plan

	Yes	No
• Are all identified indicators SMART?	☐	☐
• Have indicators been defined for the project's objective, the final and intermediate outcomes and for the activities and core resources?	☐	☐
• Have methods and tools for collecting and processing data been identified?	☐	☐
• Have staff been trained on the methods and tools?	☐	☐
• Have baseline and target values been defined where necessary?	☐	☐
• Is the distribution of tasks and responsibilities for collecting, processing and analysing data clearly defined?	☐	☐
• Is it possible to measure and deliver on the indicators at a reasonable cost (skills, resources)?	☐	☐
• Is data protection ensured? Have ethical questions been addressed: potential risks and harm, cost vs benefit, cultural, gender and age sensitivities?	☐	☐

4.6 Step 3: Planning for information utilisation

Remember: monitoring information is useful only if it is used.

While designing the PMP, you must plan how information will be used. This involves:

- Defining and/or adapting the information management system;
- Completing data analysis: critical analysis or reflection and examination are part of an appropriate and agile steering mechanism;
- Planning for monitoring products and reporting;
- Planning for information utilisation.

This step is of crucial importance. All too often, the data collected is insufficiently analysed and used, which represents a considerable waste of time, resources and personnel. Communication products, including reports, must not be ends in themselves, but serve a well-planned purpose that meets the objectives stated in Step 1 (scope and objective of monitoring) and adapts to audience requirements.

Defining / adapting the information management system

Once indicators have been reviewed and methods and tools defined, the information management system needs to be adapted. To do this, answer the following questions:

- What type of data is being collected and how detailed is it?
- How and where is data stored at the moment? Does our current database meet our needs?
- Do we have a clear analysis plan? Do we know exactly what we want to know?

How?

Tdh recommends creating a **database** in Excel, which is a widely known tool with good potential for monitoring emergency projects. Below is some advice for setting up databases:

- To design a database, always refer to an ***"analysis plan"*** (i.e. a brief document listing the expected analysis, expected charts, hypotheses to verify etc.).
- Keep in mind that there is no perfect database. Databases should therefore focus on ***interoperability*** rather than being comprehensive tools.
- Ask for support from headquarters or an Excel expert to ensure that your ***database remains streamlined and user-friendly***, not only at data entry level but also in terms of cleaning, integration and analysis.
- Enter ***original language data which is not needed for analysis and for which translation is not standardised*** (in order to avoid spelling issues, difficulties in identifying duplicates, etc.) For example, beneficiary names may be entered in Arabic.

Reference 20

- *50 humanitarian tips – Tips to organising and managing data in humanitarian response*, Simon Johnson: *simonbjohnson.github.io/im-tips/#/frontcover*

- If donors ask you to use/enter information into their own database, which can be challenging, do not try to create a parallel system that requires double data entry and analysis. Instead, try to keep your database simple, containing only essential information.
- Do not forget to attribute financial resources to database creation.
- Think about data protection. Protect your files, limit access/sharing functionalities based on a well-defined authorisation process, encrypt personal information, establish secure storage and archiving methods (see Box 9).

Who?

A focal point who is responsible for database management and data protection should be identified during the operational planning phase.

Completing data analysis : critical analysis or reflexion and examination are part of an appropriate and agile steering mechanism

The PMP and its database provide all the data and information (findings or evidence) needed to complete a solid analysis of the intervention by drafting conclusions and recommendations that are then translated into actions, which are key to successful project implementation (see Figure 17). This also involves the wisdom pyramid (or DIKW), which is a shorthand representation of the data-to-information-to-knowledge-to-wisdom transformation.

This is only possible if critical reflection and examination is carried out as a continuous steering mechanism.

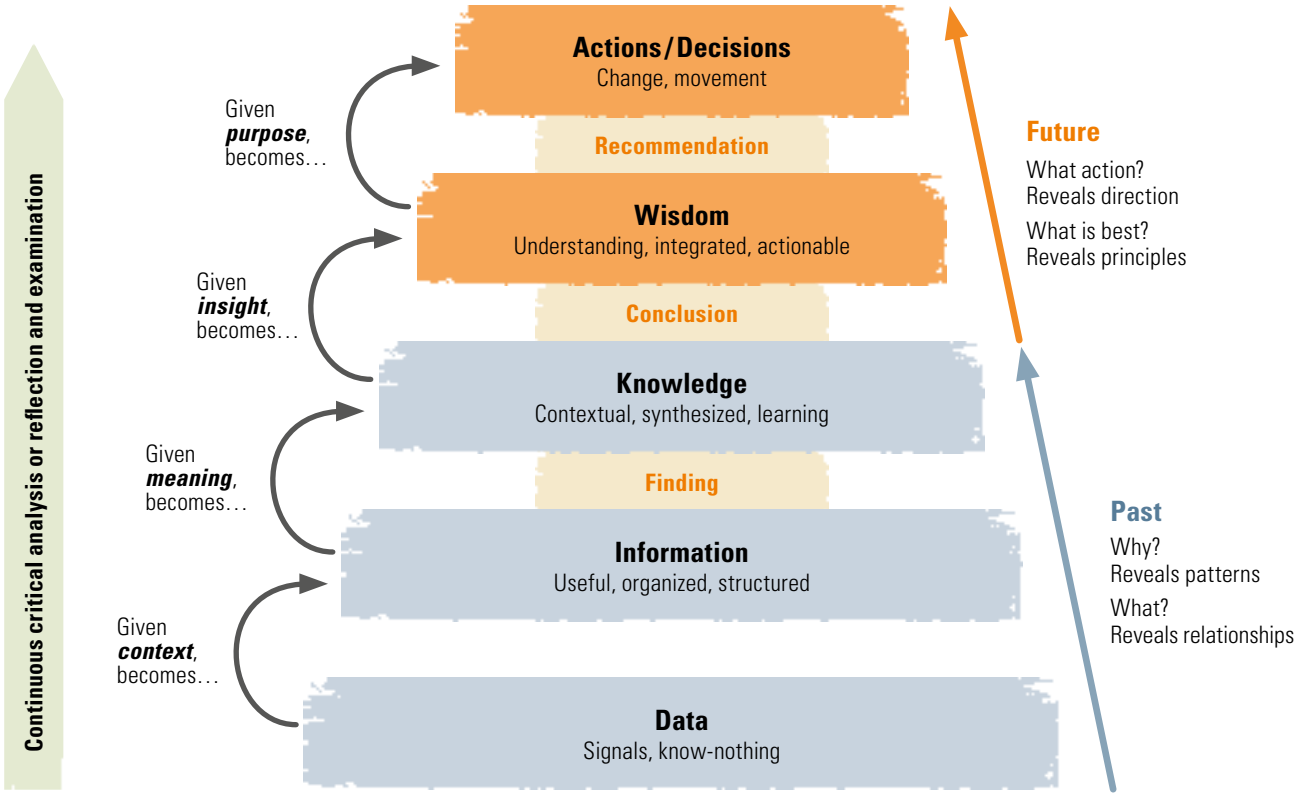

Figure 17 The monitoring pathway: from data to wisdom and actions [55]

[55] Adapted from: *www.i-scoop.eu/big-data-action-value-context/dikw-model*

What? [56]

Monitoring data is only relevant if it is used by the project's key actors. The project can only achieve the expected results if the actors make change, which can only happen by reflecting on the information, and setting aside time to learn lessons and make the necessary decisions. This is what is called **critical analysis or reflexion and examination**. It is also important to ensure that the decisions made are actually implemented.

This critical analysis or reflection has therefore the following aims:

- To ***describe:*** who, what, where?
- To ***explain:*** why, how come?
- To ***interpret*** the data with the key actors involved: so what, what does it mean, what else could it mean?
- To ***anticipate*** what could happen: assess the implications of this analysis on the project's strategy and actions with the concerned actors.
- To ***make the necessary decisions*** – what could be done? – and ensure that these decisions are implemented.
- To ***learn collectively:*** draw on the lessons learned for the project and/or for other projects in the country or elsewhere.

Critical analysis or reflection and examination is possible only if a steering mechanism is in place.

Who?

Planning and ensuring critical reflection and examination is a **team exercise** which involves the programme / project manager / coordinator as well as the Monitoring and Evaluation team. Where possible, involving support teams (logistics, finance and administration) is highly recommended, as their inputs are essential to refine conclusions and recommendations.

How?

During emergencies and humanitarian crises, there is not enough time to implement a complex steering mechanism, especially during the first weeks of intervention. However, it is very important to plan for it, so it is not conducted as an afterthought or simply to meet a reporting deadline. Therefore, you need to make it effective, solid and agile, but not too time- or resource-consuming. Once the situation stabilises, or after three months of intervention, you must adapt critical reflection and examination to the project's needs and context (see Box 40).

Over and above the steering mechanisms, the success of critical reflection and examination lies in setting up specific procedures for documenting and responding to information findings and recommendations. This is called **management decision tracking**. This should explain what actions will be taken, including their timeframe and responsibilities. It should also explain why any recommendation or identified issue is not addressed. Follow-up should be systematic, monitored and reported on in a reliable and timely manner. [57]

Box 40 *Tips:* **Tips for effective and structured steering mechanisms**

Rapid response phase "Limited"	• Integrate information sharing and discussion time in the project's operational procedures, meaning weekly coordination and/or project meetings (possibly thematic also) should be held. • Share indicator follow-up, findings, conclusions and recommendations in the monthly SITREP. • Ensure regular communications (emails) sharing findings/evidence (data and information) are sent by the Monitoring and Evaluation team to the project team and management. • Promote informal exchanges within the team.
Rehabilitation and reconstruction phase "Extended"	• Follow processes set up for the rapid response phase, plus what follows. • Plan information sharing and discussion time with partner organisations, beneficiaries and other relevant stakeholders. • Organise operational review workshops every three or six months. • Organise strategic workshops once a year

[56] *Design and Implement a Monitoring System*, Tdh, 2016

[57] Adapted from: *Project/Programme Monitoring and Evaluation Guide*, IFCR, 2011

A variety of tools is available to support management response, from simple meeting minutes to structured tables.

Tool 22

- Management decision tracking table

Monitoring products and reporting

Whether it is internal or external, a good product should be:

- ***Planned and anticipated:*** the frequency of reporting and information sharing should be clearly identified and summarised in reporting follow-up.
- ***Prepared*** for a specific audience and its needs, clearly identified prior to the report.
- ***Targeted***, meaning it should focus only on the information that is necessary and sufficient for its intended purpose.
- ***In the appropriate communication and reporting format:*** use donor's formats and, if none are available, Tdh's formats.
- ***Produced by the people who are responsible for it:*** this may seem self-evident, but the identity of the person who is ultimately responsible is often unclear, creating long and hectic reporting processes. The person responsible can be different depending on the type of reporting.
- Based on the ***determination of information dissemination strategies.***
- Based on the ***identification of roles and responsibilities:*** who will be involved, at what level and to do what?

Tool 23

- Template for reporting follow up
- Template for activities report
- Tdh Humanitarian Aid Direction RASCI

Box 41 What are the criteria for good reporting? [58]

If you meet the seven following criteria, you are good. Reporting must be:

- ***Relevant and useful***, responding to a clear information need/gap;
- ***Timely***, enabling fast and informed decision-making and steering;
- ***Complete***, including all important areas/people;
- ***Reliable***, using quality and reliable data, traceability and quality checks;
- ***Simple and user-friendly***, responding to aims and scope, and motivating teams;
- ***Consistent***, allowing comparisons over time through the same measurement methods;
- ***Cost-effective***, adapting to the intervention and available resources, and focusing on priorities.

Using information

This covers how information is distributed to users. To be successful, information use must be planned during the planning phase (see earlier chapters in this handbook):

- Clarify the ***key categories for information use:*** project management, learning and knowledge-sharing, accountability and compliance, celebration and advocacy;
- Clarify the ***media used to disseminate information:*** print, internet, etc.
- Clarify ***decision-making and management response processes*** to take into account information highlighted in reports and the required degree of critical analysis.

Reference 21

- *Project/Programme Monitoring and Evaluation Guide*, IFRC, 2011

[58] *Project/Programme Monitoring and Evaluation Guide*, IFRC, 2011

4.7 Step 4: Planning for monitoring resources[59]

An effective monitoring system requires appropriate resources to support it. This entails:

Human resources

- Defining the number and profiles of monitoring staff required for each aspect of monitoring (data collection, data processing, data analysis, information management, etc.). This depends on the size of the project, its financial volume, the objective and scope of monitoring, information management and intended communication products;
- Defining the roles and responsibilities of these persons;
- Clarifying and mapping communications flows, roles and functions, and steering modalities;
- Identifying training needs, coaching needs and/or support needs for remote monitoring;

Other resources

- Identifying the resources needed for the information management system: level of necessary and appropriate computerization, computer equipment, software, data collection tools, storage;
- Identifying the resources needed for conducting specific ad hoc and routine data collection work;
- Identifying the resources needed for conducting operational and strategic follow-up meetings and events;
- Identifying the resources needed for the dissemination of information and printing.

Box 42 What does Tdh recommend in terms of monitoring resources?

Budget

At least 5% of the total budget should be allocated to monitoring and evaluation, excluding staff. Check the donor's threshold, as it could be higher or lower. Never lose an opportunity to include monitoring and evaluation costs (equipment, staff, data collection work, external expertise, training, spot checks and field visits, etc.).

Human resources

There must be at least one monitoring staff member working alongside the Delegate or Programme Coordinator to promote the cross-disciplinary aspect of the monitoring process. This person has overall responsibility for managing and coordinating monitoring activities, implemented along with programme teams. All Monitoring and Evaluation staff must have proper job descriptions. Their roles should be understood by other staff. Monitoring and Evaluation commitments should also be clearly reflected in programme staff job descriptions.

Tool 24

- Tdh standard job descriptions for monitoring, evaluation, information management, quality and accountability staff

[59] From *Design and implement a monitoring system, methodological guide*, Tdh, 2016

4.8 Checklist for monitoring in emergencies and humanitarian crises

Print the checklist.
Use it throughout the monitoring process.
Check it regularly.

How to use this checklist?

The checklist below summarises what is explained in this chapter. It covers what Tdh expects when conducting monitoring in emergencies and humanitarian crises. It therefore presents the ***most important and compulsory milestones*** of the monitoring process. Keep in mind that the checklist is not exhaustive.

The checklist is designed to help you ***remember everything and save time.*** Overall, it will contribute to the ***consistency and quality*** of the intervention. This is of the utmost importance especially since several individuals will most likely be involved in this task.

The purpose of the checklist is **twofold**:

- Use the checklist ***to ensure that you have not underestimated/forgotten anything important while completing the four simultaneous steps of monitoring*** described in this handbook.
  This is strongly suggested if:
  - ✓ This is the first time you set up project monitoring;
  - ✓ This is the first time you have used Tdh's *Project Cycle Management in Emergencies and Humanitarian Crises Handbook* – you may have experience in monitoring in the emergency and humanitarian crisis context with other organisations, but take enough time to understand and master Tdh's approach in this field.
- Use the checklist ***if you are looking for additional specific methodological guidance, tools, references, templates, and/or information on monitoring*** in emergencies and humanitarian crises.
  This is strongly recommended even if:
  - ✓ You have already used Tdh's *Project Cycle Management in Emergencies and Humanitarian Crises Handbook* and feel that you are familiar with Tdh's approach, tools, references and templates in this field.
  - ✓ You are familiar with Tdh's *Project Cycle Handbook* and *Design and Implement a Monitoring System*. You will need to adapt your practice of monitoring to the emergency and humanitarian crisis context by consulting specialized resources.

If you answer "no" to any of the questions in the checklist and, if time allows it, review your monitoring system and project monitoring plan accordingly. If this is not possible and you believe that the gaps identified can be addressed during the implementation phase, flag them and move forward with the next project cycle phase.

If you do not answer yes to all of the questions of the checklist, refine your monitoring system and project monitoring plan.

☑ Checklist 7 Monitoring in emergencies and humanitarian crises

	Yes	No	If "No", have a look at:
General			
01. Is monitoring ***inclusive and participative?***	☐	☐	➤ Box 35 *Zooming in:* The importance of participation in monitoring
02. Is your monitoring system ***simple and efficient?*** It must not place a heavy burden on staff and detract from the response itself, especially in the emergency and humanitarian crisis context. It must be use-oriented and enable decision-making.			
03. Is your monitoring system ***adapted to the context*** (e.g. third-party monitoring, remote monitoring, etc.) ***and the stage of the crisis*** (e.g. sudden disaster, chronic or protracted crisis, etc.)?	☐	☐	➤ Box 26 *Zooming in:* Specific questions to address when working on a conflict or volatile environment (Do no harm) ➤ Box 32 Third-party monitoring: advantages and disadvantages ➤ Box 33 *Tips:* Tips for remote monitoring
04. Is ***protection of data and target groups*** (including children) and ***other ethics and crosscutting considerations*** (do no harm, gender, most vulnerable groups, humanitarian principles, conflict sensibility, etc.) guaranteed throughout the whole strategic planning process and in the intended project?	☐	☐	➤ Box 9 *Zooming in:* Data protection ➤ Box 12 *Zooming in:* Do no harm, protection of target groups and child safeguarding policy in humanitarian and emergency contexts
Step 1: Identifying the objective and scope of monitoring			
05. Have you ***reviewed the logical framework*** to ensure it is a strong foundation on which to build the monitoring system?	☐	☐	➤ 4.4 Step 1: Identifying the objective and scope of monitoring / Stage 1: reviewing the logical framework ➤ Box 29 *Tips:* Tips for reviewing your logical framework
06. Have you identified what ***information, expectations and requirements*** are needed from your monitoring system?	☐	☐	➤ 4.4 Step 1: Identifying the objective and scope of monitoring / Stage 2: Identifying information needs, expectations and requirements ➤ Box 30 *Tips:* Tips for identifying your monitoring requirements
07. Have the ***objective and scope of monitoring*** been clarified and defined?	☐	☐	➤ 4.4 Step 1: Identifying the objective and scope of monitoring / Stage 3: Identifying the scope of the monitoring system to be put in place ➤ Box 31 *Tips:* Tips for determining the scope of your monitoring system
Step 2: Defining the indicator measurement modalities			
08. Have you defined if a ***baseline study*** is necessary, for which indicators and what level of complexity is needed?	☐	☐	➤ Box 34 *Zooming in:* The baseline study
09. Does your ***PMP include the following elements recommended by Tdh:*** indicator planning matrix, monitoring activities calendar, monitoring budget, indicator-tracking table, indicator reference sheet, information use plan?	☐	☐	➤ 4.5 Step 2: Defining the indicators measurements modalities

	Yes	No	If "No", have a look at:
10. Have you selected ***appropriate and contextualized data collection methods and tools*** (e.g. mobile data collection)? They must make it possible to collect both qualitative and quantitative data.	☐	☐	➤ Box 36 *Zooming in:* Data collection methods and tools for monitoring purposes ➤ Box 39 *Zooming in:* Mobile data collection
11. Do your methods and tools ***provide information for the different levels of monitoring*** (context, inputs, process/activity, outputs, outcome and conditions for impact)?	☐	☐	➤ Box 27 The different levels of monitoring ➤ Box 36 *Zooming in:* Data collection methods and tools for monitoring purposes

Step 3: Defining the indicator measurement modalities

12. Is the ***information management system*** adapted to the project and to the context?	☐	☐	➤ 4.6 Step 3: Plan for information utilisation/ Defining/adapting the information management system
13. Are ***effective and structured steering mechanisms*** in place?	☐	☐	➤ 4.6 Step 3: Plan for information utilisation / Completing data analysis: critical analysis or reflexion and examination are part of an appropriate and agile steering mechanism ➤ Box 40 *Tips:* Tips for effective and structured steering mechanisms
14. Are the expected ***monitoring products and reports clear and planned for?***	☐	☐	➤ 4.6 Step 3: Plan for information utilisation / Monitoring products and reporting ➤ Box 41 What are the criteria for good reporting?

Step 4: Defining the indicator measurement modalities

15. Are sufficient ***human, financial, technical and logistics resources*** available for backing up the intervention monitoring?	☐	☐	➤ 4.7 Planning for monitoring resources ➤ Box 42 What does Tdh recommend in terms of monitoring resources?

Last but not least...

What if?...

…there is something you do not understand?

…a tool is missing?

…you cannot find your way in the toolbox?

…there is a reference that should be mentioned in this handbook?

…there is a new approach/innovation that should be mentioned in this handbook?

Discuss with your Country Delegate and/or contact the Quality and Accountability Unit at headquarters.

Glossary

Analysis plan
A synthetic document or matrix that covers situation analysis, monitoring or evaluation questions, data sources, data processing methods, data triangulation, analysis steps to be completed, and the presentation of information (graphs).

Assessment fatigue
Assessment fatigue may occur when an area has been assessed many times by different agencies. The people are frustrated because they are expected to answer the same questions repeatedly, often with no immediate return. They lose patience with "humanitarian assessments". Under such circumstances, an assessment is unlikely to produce useful information.
Source: *Guidelines for assessment in emergencies*, IFRC, 2008

Baseline
Data collection and analysis exercise undertaken prior to or at the onset of an intervention to determine the baseline conditions (perimeter of our project indicators). The baseline data indicates our "starting point".

Beneficiaries
An individual, group, or organisation, whether targeted or not, that benefits, directly or indirectly, from the effects of a project.
Source: *Project Cycle Handbook*, Tdh, 2012

Complaint and feedback mechanism
A feedback mechanism is a set of procedures and tools formally established and used to allow humanitarian aid recipients (and in some cases other crisis-affected populations) to provide information on their experience of a humanitarian agency or of the wider humanitarian system. Feedback mechanisms can function as part of broader monitoring practices and can generate information for decision-making purposes. Feedback mechanisms collect information for a variety of purposes, including taking corrective action in improving some elements of the humanitarian response, and strengthening accountability towards affected populations.
Source: *Closing the Loop: Effective Feedback in Humanitarian Contexts*, ALNAP, 2014.

Conflict sensitivity
The ability of an organisation to: 1) understand the context it operates in, 2) understand the interaction between its intervention and that context, and 3) act upon this understanding in order to minimise negative impacts and maximise positive impacts on conflict.

Data
Raw, unorganised facts. Data can be quantitative (measured or expressed numerically, typically describing amounts, ranges, or quantities) or qualitative (describing attributes, properties, or qualities and often expressed in words rather than figures).

Data collection method
A formalized and systematic process to accomplish the task of collecting data and meeting an objective. A methodology is a combination of methods.

Data collection tools
The medium or support through which data is gathered (questionnaires, checklists, observation sheets, self-evaluation tools, etc.).

Do no harm
An approach that recognises the presence of 'dividers' and 'connectors' in conflict. It seeks to analyse how an intervention may be implemented in a way that helps local communities address the underlying causes of conflict rather than exacerbating conflict. The do no harm framework helps to analyse the impact of assistance on conflict.

Evaluation
A systematic and objective assessment of an on-going or completed project, its design, implementation, and results. It must provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process. Source: *Project Cycle Handbook*, Tdh, 2012.

Evidence
The available body of facts or information that can support a particular proposition or belief.
Source: ALNAP.

Humanity
Human suffering must be addressed wherever it is found. The purpose of humanitarian action is to protect life and health and ensure respect for human beings.

Impact
The long-term effects, be they negative or positive, direct or indirect, intended or unintended, resulting from a project's outputs.

Impartiality
Humanitarian action must be carried out on the basis of need alone, giving priority to the most urgent cases of distress and making no distinctions on the basis of nationality, race, gender, religious belief, class or political opinions.

Independence
Humanitarian action must be autonomous from the political, economic, military or other objectives that any actor may hold with regard to areas where humanitarian action is being implemented.

Logical framework
A project management and presentation tool consisting of a matrix that displays in its first column the results and actions of the project in a coherent hierarchy, and in the following columns, indicators, their means of verification as well as corresponding risks and assumptions.
Source: *Project Cycle Handbook*, Tdh, 2012

Method
A formalized and systematic process to accomplish a task and achieve an objective. A methodology is a combination of methods.

Monitoring
The collection, analysis and use of data concerning events and processes related to a project's progress. It is used to assess a project's progress and ensure it is on the right track to achieve the expected results, or to observe and understand discrepancies, difficulties or even new opportunities. Monitoring is a key part of effectively steering projects and programmes. Source: Tdh.

Neutrality
Humanitarian actors must not take sides in hostilities or engage in controversies of a political, racial, religious or ideological nature.

Outcome
A significant and measurable change in the practices, capacities, knowledge, and/or well-being of beneficiaries or target groups, which results from the outputs of a project.

Output
The goods, equipment, or services resulting from actions are called outputs. An output is characterised by the fact that the project controls the elements required to create it.

Primary data
Information collected or obtained via direct first-hand experience. It may be collected by Tdh or through partners or consultants contracted for this purpose, and as part of a process that is planned and controlled by the team in charge of analysis/monitoring.

Project Monitoring Plan (PMP)
A table that builds upon a project's logical framework to detail key monitoring requirements for each indicator and assumption. Table columns typically summarise key indicator (measurement) information, including detailed information on the data, its sources, the methods and timing of its collection, the tools to be used, the people responsible, and the intended audience and use of the data.
Source: *Project/Programme Monitoring and Evaluation Guide*, IFRC, 2011

Purpose sampling
In purposive sampling, we sample with a purpose or one or more specific predefined groups in mind. It produces a sample where the included groups are selected according to specific characteristics that are considered to be important as related to vulnerability (e.g. IDPs in camps, host population, etc.).

Recall
Recall or retrieval of memory refers to the subsequent re-accessing of events or information from the past, which have been previously encoded and stored in the brain. In common parlance, it is known as remembering. There are three main types of recall: free recall, cued recall and serial recall.

Resilience
The capacity of girls, boys, families, communities and systems to anticipate, cope, adapt and transform in the face of shocks and stresses.
Source: *Working paper on resilience for Terre des hommes*, INTRAC, 2017 (draft version).

Result chain
The causal sequence for a development intervention that stipulates the necessary sequence to achieve desired objectives-beginning with inputs, moving through activities and outputs, and culminating in outcomes, impacts, and feedback. In some agencies, reach is part of the result chain.

Sample size
The size of a sample is a determining factor for how representative a sample is. Larger sample sizes are more likely to be representative, and therefore more likely to accurately and precisely reflect a picture of the entire population.

Sampling methods
The sample can be selected through a variety of methods, which can be classified as probability or non-probability sampling. In probability samples, each member of the population has a known non-zero probability of being selected. These include methods such as random sampling, stratified sampling, and systematic sampling, and they have the advantage that a sampling error can be calculated. This is the degree to which a sample might be different from the studied population. In non-probability sampling, selection is performed in a non-random manner. These methods include convenience sampling, purposive sampling, and snowball sampling.

Sampling
Sampling is a statistical analysis to collect data for a subset of a group or population aiming at drawing, through extrapolation, conclusions about this particular group or the population[60] as a whole. It entails the selection of clusters, households, or individuals from a population of study according to a specific method linked with study objectives.

Saturation
Data saturation occurs when new cases no longer add new knowledge.
Source: *Evaluation of Humanitarian Action Guide*, ALNAP, 2016

Secondary data
Information gathered from pre-existing sources or databases. Can be raw data or data that has already been analysed.

Situation analysis (or assessment)
Gaining an understanding of a situation in order to identify the problems, their sources and consequences. Source: *Guidelines for Assessment in Emergencies*, IFRC, 2008

Sources
Where and from whom we will collect the necessary data. This can be documents (reports, minutes, files, registers, etc.) or (groups of) people. They must be reliable and accessible.

Strategic planning
The process of defining an objective and developing a strategy to achieve that objective.
Source: *Project Cycle Handbook*, Tdh, 2012

Tool
The medium or support through which information is gathered (questionnaires, checklists, observation sheets, self-evaluation tools, etc.).

Triangulation
Comparing data from different sources to see whether they support the same finding.
Source: *Evaluation of Humanitarian Action Guide*, ALNAP, 2016.

Vulnerability
The diminished capacity of an individual or group to anticipate, cope with, resist and recover from the impact of a natural or man-made hazard. The concept is relative and dynamic. Vulnerability is most often associated with poverty, but it can also arise when people are isolated, insecure and defenceless in the face of risk, shock or stress. People differ in their exposure to risk as a result of their social group, gender, ethnic or other identity, age and other factors. Vulnerability may also vary in its forms: poverty, for example, may mean that housing is unable to withstand an earthquake or a hurricane, or lack of preparedness may result in a slower response to a disaster, leading to greater loss of life or prolonged suffering.
Source: IFRC, *www.ifrc.org/en/what-we-do/disaster-management/about-disasters/what-is-a-disaster/what-is-vulnerability*

[60] Population must be understood in a broad sense as a grouping of units to which the findings of the study will be extended (persons, animals, plants, objects, events, situations…etc.).

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