Measuring results

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ICRC

MEASURING RESULTS

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INTRODUCTION

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INTRODUCTION

The aim of this handbook is to introduce the user to monitoring, review and evaluation and to show how these processes can be used to measure the results of ICRC interventions. It provides a step-by-step guide to monitoring and to preparing and carrying out locally led reviews of programmes/projects, so that they can be adapted if and when necessary. It also provides guidance on how to contribute to headquarter-led reviews and evaluations.

This handbook accompanies the course on "Measuring Results" organized by the ICRC's Economic Security Unit (Ecosec). The course aims to strengthen the capacity of teams carrying out economic security or similar activities to monitor and review/evaluate their interventions. It contributes to the implementation and practical use of Results-Based Management (RBM),[1] which is the ICRC's management priority number 2 for 2007–10.

Measuring Results is one of three Ecosec "basic courses":
- Module I: Assessment
- Module II: Programme/Project Management: The Results-Based Approach[2]
- Module III: Measuring Results

The course is compulsory for all Ecosec team members and is open to other practitioners, such as staff of National Societies and other ICRC units.

The handbook has two parts:
- Part I: Content – Definitions and descriptions
- Part II: Process – Implementation

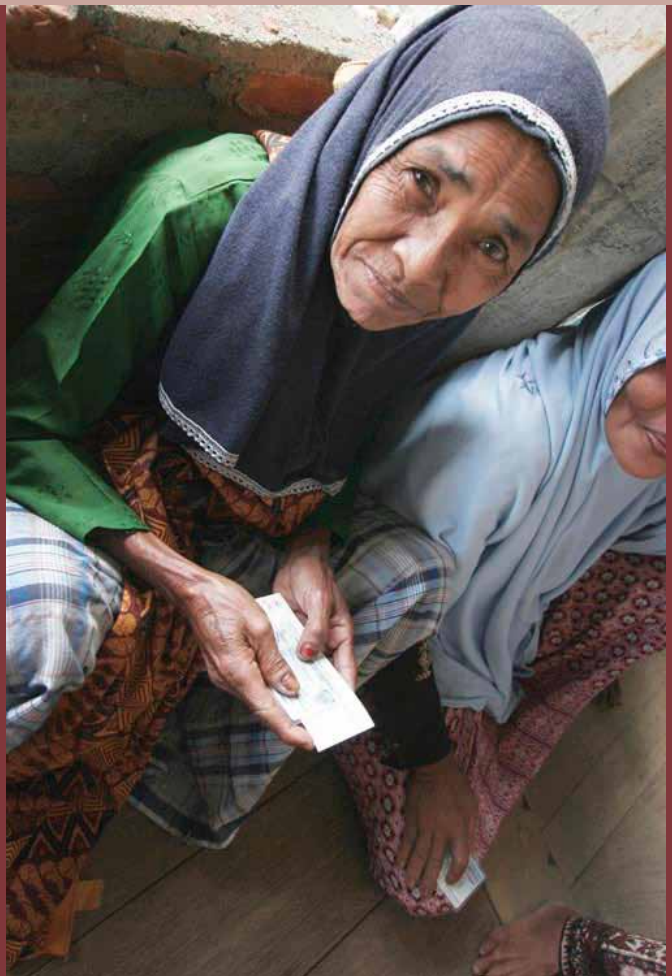
1 Results-Based Management (RBM) is a management strategy that focuses on performance and the achievement of results.

2 This handbook is about design, formulation and planning mainly.

When using this handbook, it is recommended that you also refer to the handbooks that accompany the other two modules, *Guidelines for assessment in emergencies* (ICRC/ International Federation of Red Cross and Red Crescent Societies, March 2008) and *Programme/project management: The results-based approach* (ICRC, May 2008).

PART I: CONTENT

ABOUT MEASURING RESULTS



1 ABOUT MEASURING RESULTS

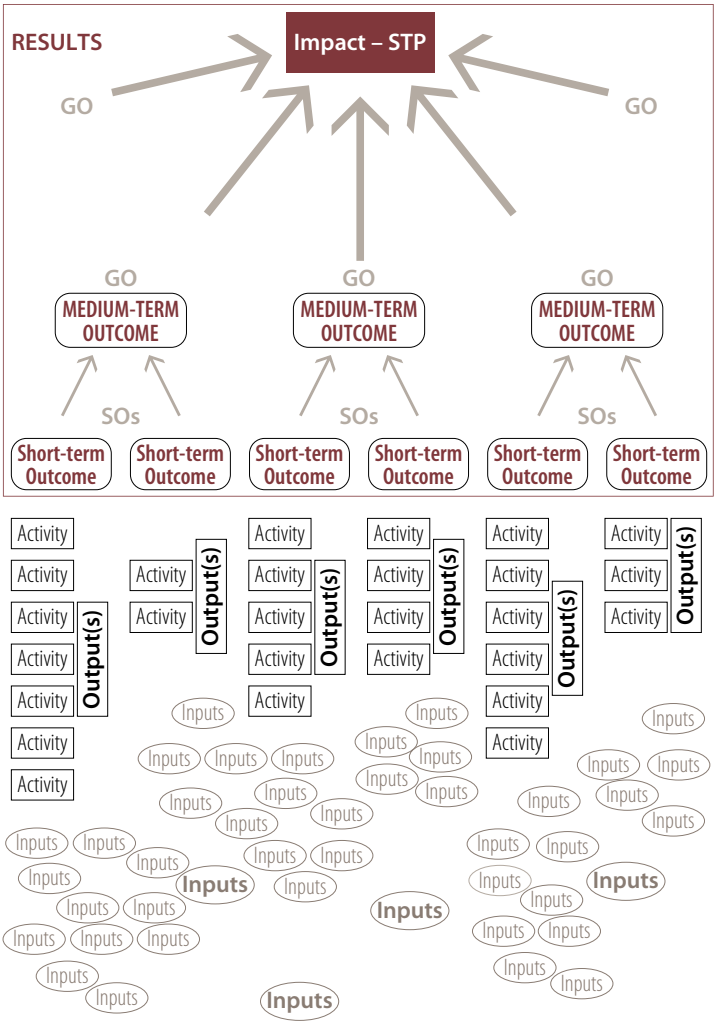
1.1 The results chain

Result
A result is a describable and/or measurable effect produced by an intervention; it can be planned or unplanned and occur at short-term outcome, medium-term outcome and impact levels.

The expected result statement (objective) should:

- Express a concrete, visible, measurable change in state or a situation.
- Focus on what is to be different (rather than on what is to be done).

Figure 1: The results chain



STP: Sub-Target Population
GO: General Objective
SO: Specific Objective

Outputs
The products, goods and services a sub-target population has access to as a result of ICRC activities.

Short-term outcomes
The likely or achieved short-term effects which result from the outputs and should lead to the achievement of a medium-term outcome.

Short-term outcomes are the first level of results. They are the results over which you have most control.

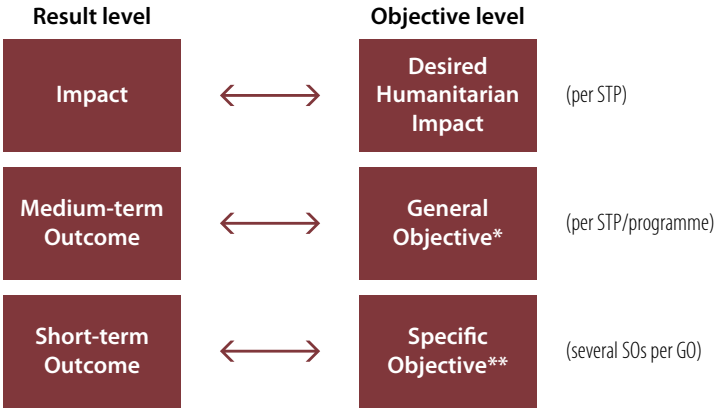
Medium-term outcomes
The likely or achieved medium-term effects which result from short-term outcomes and should contribute to the impact.

Medium-term outcomes are the second level of results. You have less control over them than over short-term outcomes, but they are essential because they represent the main changes you are trying to bring about in your work.

Impacts
Impacts are the primary and secondary long-term effects to which an intervention contributes, be they positive or negative, direct or indirect, intended or unintended.

Impacts are the third level of results. Impacts make up the "big picture" of the changes that you are working towards but that your activities alone may not achieve. They represent the underlying goal of your work and justify the intervention.

Figure 2: Result levels in the ICRC Planning for Results Process



* A General Objective (GO) describes the medium-term effects or positive changes we would like to see happening within a time frame of 1 to 5 years for the sub-target population due to the accumulated effects of implemented SOs

** A Specific Objective (SO) describes the short-term effects or positive changes we would like to see happening for the STP thanks to the produced outputs of a program or intervention.

1.2 Why monitor and review/evaluate?

The main task of a programme/project manager is to ensure that an intervention remains focused on the expected results and that each decision, task or expense is geared towards achieving those results. If this is not the case, the intervention may need to be adapted accordingly.

Three processes have been developed to help keep track of results of interventions: monitoring, review and evaluation. The main reasons for undertaking these processes are:

- **To support operational decision-making by:**
  - Informing management and staff of progress – or lack of it – in achieving the intervention's objectives/expected results.

- Alerting managers to actual and potential weaknesses, problems and shortcomings in an intervention before it is too late.
- Highlighting the strengths of an intervention.
- Checking if the needs of a target group have evolved and if there have been changes brought about by the intervention or in the situation.
- Checking, if relevant, the sustainability of achievements.

- **To help institutional learning by:**
  - Enabling managers and staff to identify and reinforce initial positive results, strengths and successes.
  - Improving future planning and programme/project development based on lessons learnt.

- **For accountability purposes by:**
  - Informing donors, staff, beneficiaries and other stakeholders of the extent to which the intervention is meeting its objectives.
  - Building greater transparency and accountability with regard to use of programme/project resources.

ABOUT MONITORING, REVIEW AND EVALUATION

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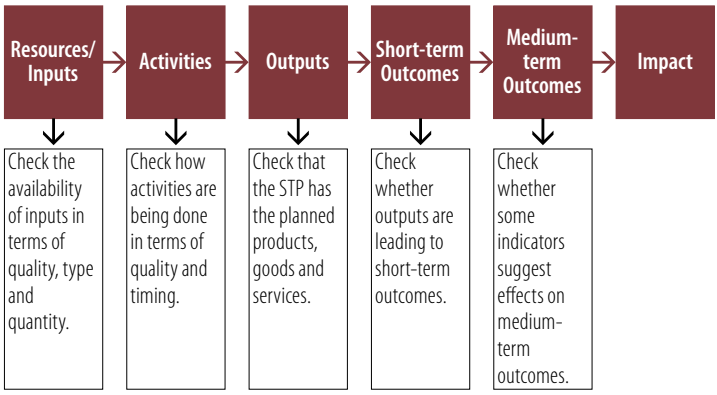
2 ABOUT MONITORING, REVIEW AND EVALUATION

Figure 3: The programme/project cycle

2.1 Monitoring

Monitoring is a compulsory, continuous and regular process that aims to track the different constitutive elements of an intervention (described in Figure 4) in order to achieve its objectives. As a result of monitoring, an intervention may need to be adapted.

Figure 4: The scope of programme/project monitoring



This handbook focuses on three types of monitoring:

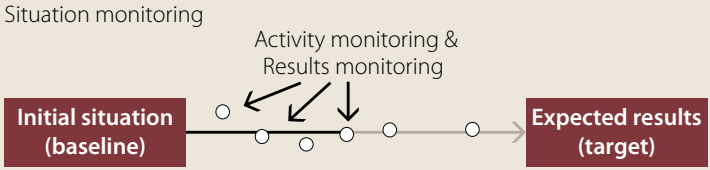
Activity monitoring is about checking on the quantity, quality and timeliness of inputs and activities on a day-to-day basis. Activity monitoring also involves checking that the sub-target population has received the products, goods and/or services it has been told it will receive (in terms of quality and quantity).

Results monitoring is a continuous process of self-assessment in relation to planned objectives with the aim of providing early indications of progress in the achievement of the expected results. It is mainly done at short-term outcome level.

Situation monitoring entails keeping track of the changes in the context/environment that may affect a programme/project (its implementation, its results, its relevance), as well as the effects that the programme/project has on the context/environment.

Situation monitoring can also be used to keep an eye on a context/environment without a programme/project being implemented. The aim in that case is to intervene when deemed necessary.[3]

Figure 5: Monitoring timeline



3 Situation monitoring also corresponds to the continual assessment described in the *Guidelines for assessment in emergencies* (ICRC/International Federation of Red Cross and Red Crescent Societies, March 2008) and/to an early warning system.

2.2 Review and evaluation

Review and evaluation, unlike monitoring, only take place at specific points during implementation or at the end of a programme/project (see Figure 6). Their aim is to feed into operational and strategic decision-making; their scope is therefore wider than that of monitoring.

Figure 6: Differences between an intermediate and a final review/evaluation

Intermediate review/ evaluation	Final review/evaluation
To draw findings and recommendations for potential corrective action to improve an ongoing programme/project.	To draw findings, recommendations and lessons learnt for the benefit of future programmes/ projects, the Ecosec team, the delegation and beyond.
To review an ongoing strategy and question whether it needs adapting.	To check the extent to which the strategy has been implemented and the expected results have been achieved.
To measure if short-term and medium-term outcomes are being achieved.	To measure if short-term and medium-term outcomes have been achieved and whether these have contributed to impact.

An **evaluation** is an independent, objective and systematic examination of a policy, programme/project, support service or emergency operation and its design, implementation and results.[4] At the ICRC, the Institutional Performance

4 ICRC, Institutional Performance Management (IPM) database.

Management (IPM) Unit has the tasks of managing the evaluation process, providing guidance throughout all phases of execution and giving approval for deliverables.

A **review** is similar to an evaluation with the exception that it is led by Ecosec at headquarters (HQ) (hereafter called **HQ-led review**) or by the Ecosec team in the field (hereafter called **locally led review**). The latter has a more limited scope.

Figure 7: Review/evaluation types

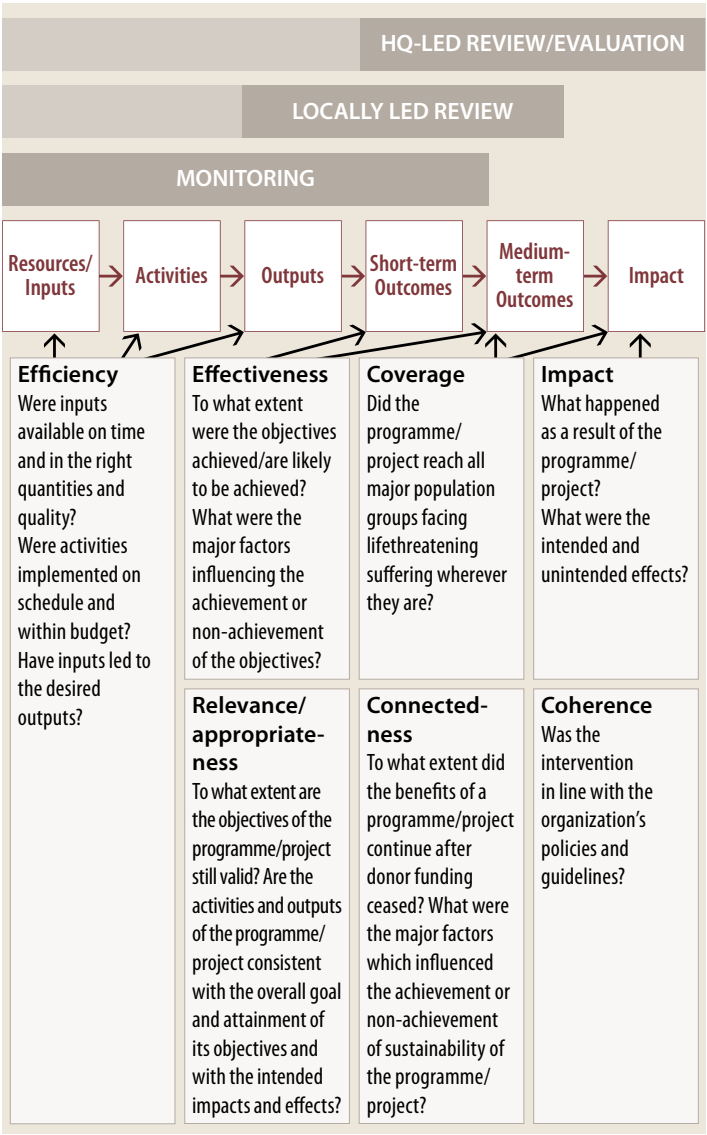
Type		Lead
HQ-led	Evaluation	IPM Unit
	Review	Ecosec Unit
Locally led	Review	Ecosec coordinator

This handbook focuses mainly on locally led reviews. For HQ-led reviews and evaluations, the handbook provides only a brief description of the required involvement of the Ecosec coordinator and his/her team.[5]

Note
Different organizations use different terminology. In some organizations, an evaluation is an evaluation no matter who leads it. Sometimes an evaluation has a wider scope than a review, but in some organizations it can be the other way around.

5 For more detailed information on evaluation, refer to the "Evaluation guidelines" in the IPM database under 06. EVALUATION/6.1. Stratégies et guidelines.

Figure 8: The scope of monitoring, review and evaluation[6]



6 Adapted from International Federation of Red Cross and Red Crescent Societies, *Monitoring and Evaluation Handbook*, Geneva, 2002.

PART II: PROCESS

3 HOW TO DO MONITORING

3.1 Main frameworks for monitoring and review/evaluation

Results monitoring and activity monitoring, as well as some elements of review and evaluation, are based on what is described in two key tools:[7]

- The **results monitoring framework** (or logical framework matrix) describes the expected changes to be brought about by an intervention (short-term outcomes, medium-term outcomes, impact). It allows one to measure the achievement of or progress towards the achievement of results based indicators (see Figure 9).

- The **activity and resource plan**[8] describes how one plans to achieve the results and what the expected outputs are. It provides guidance on when activities should be implemented and helps track whether the programme/project is on schedule (see Figure 10).

Both these frameworks should be developed during the design/planning phase of a programme/project (i.e. within the Ecosec Operational Plan). The data collection strategy (the last two columns of the results monitoring framework in Figure 9) can be finalized after the planning rush, as long as you make allowances in the annual budget for the resources (human, logistical, IT, etc.) required to monitor and review/evaluate the intervention.

7 For a more detailed explanation of how to create a results monitoring framework (or logical framework matrix) and an activity and resource plan refer to the handbook *Programme/project management: The results-based approach*.

8 Also sometimes referred to as "plan of action".

During the design phase of an intervention, a set of indicators is defined, often based on what was found during the assessment. The initial value for each indicator (baseline) should be determined, ideally taken from the assessment. During planning, target values for these indicators also need to be established. During monitoring, review and evaluation, information on each indicator is gathered, analysed and compared with its baseline and target.

Most difficulties encountered in monitoring can be attributed to weak, incomplete or inappropriate sets of indicators. Indicators should serve to express real and measurable changes, both during a programme/project and after its completion. When defining indicators, try to answer the following question: What elements need to be considered in order to check that an intervention is on the right track to achieve a result or that the result has been achieved?

Figure 9: Results monitoring framework

Intervention logic	Indicator			Data collection strategy	
Description of result	Description	Baseline	Target	Methodology, data source & frequency/ timing	Person responsible
Desired Impact					
GO – Medium-term outcome					
SO1 – Short-term outcome					
SO2 – Short-term outcome					

Figure 10: Activity and resource plan

SO number	Activities	Duration/ deadline	Outputs	Inputs (human resources & commodities)	Cost of inputs

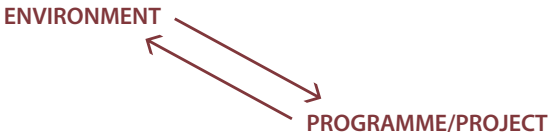
In some cases, it may be desirable to go into further detail before the actual implementation of a programme/ project by being more precise on the timing of the activities and the required resources, for example through a Gantt

chart (see Annex 2), and by allocating the different tasks to the team members.

3.2 Situation monitoring

Situation monitoring examines the factors that may have an effect on the environment and on the programme/project. The relationship between the environment and the programme/project is mutually dependent: the environment can affect the programme/project, but the environment may also change because of the existence of a programme/project. For instance, displaced people in a camp are likely to have an effect on the surrounding natural resources, whilst the risk of transmission of communicable disease will increase with the presence of large numbers of people in crowded conditions. The environment can also change on its own. For example, the wild food supply may decrease owing to lack of rain.

Figure 11: Causal relations between the environment and the programme/project



The environment is made up of different components, each of them characterized by a series of variables. Variables are elements that are subject to change and are the object of situation monitoring in order to predict what would be the likely effect of an occurring change on the environment and on the programme/project (see Figure 12).

Figure 12: The environment, its components and variables

Component	Variable
Ecological environment: - Natural resources - Climate	Water Wild food for eating/sale Fuel for cooking/sale Rainfall pattern Drought Heat waves
Natural events	Earthquake Flood Tidal wave Volcanic eruption Cricket invasion Bird attack on crops Epidemics affecting crops or humans
Infrastructure	Access routes (air/sea/land) Storage facilities Market places
Actors	Population benefiting from the programme Population not benefiting from the programme Categories of people concerned by the programme (authorities, businesses, armed forces, services, other humanitarian actors)
Political factors	Negotiations Military events Elections Unmet needs
Economic factors	Price of commodities and services Humanitarian assistance Inflation/devaluation Economic activities Unmet needs
Security factors	Attitude of fighting forces Presence of uncontrolled groups Terrorism
New factors	Anything new likely to impact on programmes/projects

Each set of variables is likely to have a subset of other variables, e.g. beneficiary population (main variable) has population dynamics, attitude, reaction to programme, reaction to unmet needs, etc. as sub-variables.

Since humanitarian action is context specific, the variables should be identified from the start in order to avoid gathering irrelevant information. However, in many circumstances, the future is not predictable and you must be attentive to what is happening besides the identified variables.

All the information gathered must be regularly summarized and analysed. A major change in the environment is likely to require adaptations to the programme/project and could even lead to its complete cancellation. For example, a drop in the price of seeds immediately after a seed distribution should be further investigated: does this have other effects (positive or negative) on the economic environment and/or the security environment?

Some parts of the section entitled "Update on the general situation and notable evolutions" in the ICRC's Weekly Operational Reports concern situation monitoring.

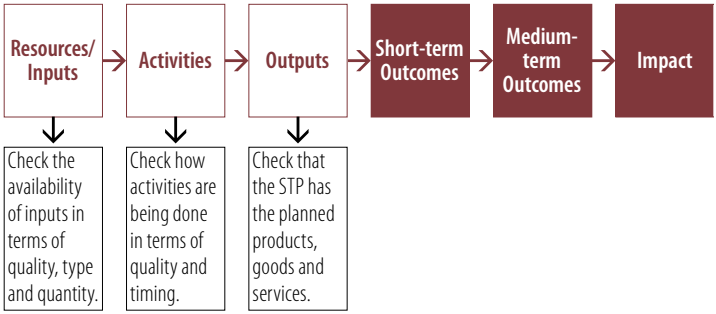
3.3 Activity monitoring

Activity monitoring is based on the activity and resource plan (see Figure 10). The activity and resource plan can be seen as the programme/project "dashboard",[9] which needs to be regularly consulted. It enables you to check whether activities have been implemented and outputs have occurred as planned. If that is not the case, it helps you to find out why and, when necessary, to adapt the approach

9 Dashboard: A panel under the windscreen of a vehicle, containing indicator dials, compartments and sometimes control instruments – The free dictionary by Farlex.

and activities accordingly. The complexity of the intervention and the level of detail of the activity and resource plan will dictate the frequency with which you consult the plan.

Figure 13: Scope of activity monitoring



Activity monitoring involves:

- Checking that inputs[10] correspond to what was planned/ordered in type, quality and quantity, and if not, identifying the reasons and adapting accordingly (see Section 3.3.1).[4]
- Checking that the sequence and, timing of activities correspond to what was planned and, if not, identifying the reasons and adapting accordingly (see Section 3.3.2).
- Making sure that the beneficiaries have received the planned products, goods and services and, if not, clarifying why not (see Section 3.3.3).
- Making sure that the immediate feedback from the beneficiaries is gathered and taken into consideration (see Section 3.3.4).

While the first two of the above steps take place in the office and concern ICRC staff, the last two steps also require beneficiary consultation.

10 Inputs: human, technical, material, financial resources and logistical means required/used for the implementation of activities and the production of outputs – IPM database.

Note
The activity monitoring described below centres on the procurement and distribution of goods, but the same would apply to other activities such as training or the distribution of cash or the delivery of services.

Figure 14: Example of an activity and resource plan

SO number	Activity	Duration/ deadline	Outputs	Inputs (human resources & goods)	Cost of inputs
	Distribute x kg seeds/ group to 40 farmers' groups	Deadline: March	40 farmers' groups have received seeds (x kg/ group) and training sessions	xx kg certified seeds	
				xx trucks …	
				xx staff	
	Train 40 farmers' groups in improved farming techniques through 40 sessions (1 session per village)	From week 2 to week 6		xx Extension workers Ministry of Agriculture	
				xx trainers	
				xx training material	
	…				

3.3.1 Inputs correspond to what was planned/ordered in type, quantity and quality

In order to ensure that all the resources described in the "inputs" column of the activity and resource plan are available and correspond to what was planned, you should continually check the following issues:

- Quantity of the goods: Does the quantity of the goods correspond to what was ordered?
- Quality of the goods: Do they comply with the requested specifications? This may mean opening some boxes and bags and testing/tasting at random. This is the first quality check.
- Human resources: Are the team members available according to what was planned in terms of number and qualifications/competencies? This requires regularly checking that the programme/project is neither overstaffed nor understaffed and that roles and responsibilities have been appropriately assigned.
- Logistical and financial resources: Can activities take place in an organized and timely manner thanks to sufficient and good quality logistical support/materials? Is expenditure globally in line with the planned budget?[11]

The last point also means regularly checking whether the same activities could be implemented with fewer resources without affecting their quality, or whether a lot more could be done with just a few more means.

11 A detailed budget follow-up is neither requested nor possible at field level. It is nonetheless important that teams – mainly Ecosec coordinators – compare globally what was requested (quantity and budget as stated in the PfR) with what has been engaged so far (requisition orders and allocations of expenditures).

3.3.2 Sequence and timing of activities correspond to what was planned

To ensure that the activities defined in the activity and resource plan take place in as smooth and as timely a manner as possible, the programme/project manager will regularly meet colleagues to keep an eye on progress and to take potential delays into consideration. More specifically, he/she will check that:

- The authorization of expenditure request (at coordinator level) is submitted on time, so that Logistics has the green light to proceed.
- Requisition orders for goods are submitted to Logistics in a timely manner.
- The requested goods arrive on time.
- All other inputs (such as human resources, trucks, etc.) are mobilized in time.
- The sequence (order) of implementation is respected.

3.3.3 The beneficiaries received what was planned

Compare the outputs defined in the activity and resource plan or the initial needs as specified in the needs and supply file in the operational plan[12] with what was actually distributed and explain any major differences and/or delays to all concerned.

Most of the information on distributions, e.g. number of households assisted, quantity of goods distributed, number of training sessions held, number of people trained, is reported in the Monthly Statistical Reports.

12 For each planning cycle, Ecosec coordinators establish an operational plan, which contains a narrative section, a results monitoring framework and an activity and resource plan, along with a needs and supply file specifying the goods to be ordered and the timeframe for delivery.

3.3.4 Immediate feedback from the beneficiaries is gathered and taken into consideration

Once a distribution (or other activity) has been carried out, the programme/project manager must ensure that the beneficiaries' immediate reactions are gathered:

- What is their first impression of the products, goods or services?
- What do they do immediately after receiving the assistance? For example, one week after a distribution, what have the beneficiaries done with the goods: own use, exchanged, donated, sold? If exchanged or sold, why and for what?

You are not at this stage looking at the results for the beneficiaries but strictly at their immediate reactions to what they have received.

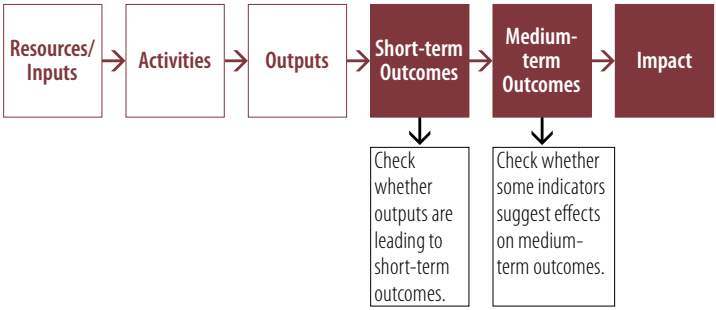
Key message

Anticipation, regularity and communication are the key words in activity monitoring.

3.4 Results monitoring

Results monitoring mainly focuses on short-term outcomes. It may also include changes leading to medium-term outcomes.

Figure 15: Scope of results monitoring



Results monitoring involves:

- Deciding on the information to be collected (see Section 3.4.1).
- Preparing the collection of data/information (see Section 3.4.2).
- Collecting the data/information (see Section 3.4.3).
- Processing the data/information (see Section 3.4.4).
- Analysing and interpreting the data and reporting the monitoring results (see Section 3.4.5).
- Incorporating corrective action in programme/project implementation (see Section 3.4.6).

3.4.1 Deciding on the information to be collected

The first step in results monitoring is to look at your results monitoring framework and on that basis to check the quality, quantity and relevance of the indicators (for guidance on this, see the handbook *Programme/project management: The results-based approach*.

If no results monitoring framework exists, refer back to all the key documents and create one. See Figure 16 for an example of a results monitoring framework.

Figure 16: Results monitoring framework section

Intervention logic Description of result	Indicator		
	Description	Baseline	Target
DESIRED IMPACT …			
MEDIUM-TERM OUTCOME (GOx) …	…		
SHORT-TERM OUTCOME 1 (SO1) By the end of 2009, 400 farmers' groups in the villages increased their rice production by 30% thanks to improved techniques and good quality inputs	Satisfaction of farmers' groups with the quality of the seeds post-harvest		At least 80% of farmers' groups satisfied with the quality of seeds post-harvest
	Ha of cultivated land per farmers' group	40 ha per group of 50 farmers	75 ha per group of 50 farmers
	Bags of rice harvested per farmers' group	560 bags of rice (50kg/bag) per group of 50 farmers	720 bags of rice (50kg/bag) per group of 50 farmers
	Technical skills		90% of farmers apply newly taught farming techniques
	Fertilizer usage		90% of farmers' groups use fertilizer
	…		
SHORT-TERM OUTCOME 2 (SO2) …			

When defining the indicators and data to be collected, keep in mind the type of analysis you want to do and the decisions you want it to lead to. For example, information regarding the indicator "bags of rice harvested per farmers' group" may need to be compiled/analysed by:

- Geographic location: village, department, etc.
- Population group or beneficiary group: female/male, ethnic group, etc.

Data collection strategy		
Methodology, data, tools, frequency and timing		Person responsible

If you fail to identify these criteria, you will have difficulty compiling/analysing the data.

3.4.2 Preparing for the collection of data/information

There should be a clear link between the results monitoring framework and the data collection tools, and information gathered should cater to the needs of management at different levels.

Decide on the data collection tools and respondents

Identify which data collection tools are best suited to providing the information you are looking for. Ask for experienced support in case of complex tools (e.g. group interviews or questionnaires). Training in use of the tools may also be conducted and guidelines produced. Figure 17 provides a list of data collection tools and their uses.

Figure 17: Examples of data collection tools

Tool	Use
Field visit	• Good for validation purposes. • Includes observation and can be part of the implementation process (during support activities).
Group interview	• Captures general perceptions of the community or group.
Observation	• Detects and quantifies certain behaviours (positive or negative) or practices. • Monitors certain community behaviours. • Provides direct information.
Household interview	• Allows participants to explain their experiences in their own words and setting. • Gives quantitative and qualitative data.
Beneficiary interview	• Enables qualitative and quantitative data and the perceptions of the direct beneficiaries to be gathered.
Strengths, weaknesses, opportunities and constraints (SWOC) analysis	• Provides a framework for group analysis of a given situation. • Encourages the participation of all stakeholders.
Gathering stories	• Enables articulation of emotional aspects as well as factual content. • Increases the potential for sharing knowledge. • Grounds facts in a narrative structure where learning is more likely to take place and be passed on.
Photo-monitoring (e.g. GIS[13])	• Provides an overview of visible changes in the project context, which may be predominantly related to biophysical and economic issues. • Photos require interpretation and further investigation of the background. • Photos can be sensitive in some contexts.

13 GIS: Geographic Information System.

Data collection tools should be coherent, clear and focused. Avoid using tools that gather information that is scattered over too many unrelated issues. We often collect too much information. It is important to know which information is just interesting and which information is absolutely necessary and needs to be tracked over time.

A good way to streamline tools and informants is to complete the data collection strategy in the results monitoring framework as shown in Figure 18.

Figure 18: Results monitoring framework section with tools and sources of information

Intervention logic Description of result	Indicator		
	Description	Baseline	Target
DESIRED IMPACT …			
MEDIUM-TERM OUTCOME (GOx) …	…		
SHORT-TERM OUTCOME 1 (SO1) By the end of 2009, 400 farmers' groups in the villages increased their rice production by 30% thanks to improved techniques and good quality inputs	Satisfaction of farmers' groups with the quality of the seeds post-harvest		At least 80% of farmers' groups satisfied with the quality of seeds post-harvest
	Ha of cultivated land per farmers' group	40 ha per group of 50 farmers	75 ha per group of 50 farmers
	Bags of rice harvested per farmer household	560 bags of rice (50kg/bag) per group of 50 farmers	720 bags of rice (50kg/bag) per group of 50 farmers
	Technical skills		90% of farmers apply newly taught farming techniques
	Fertilizer usage		90% of farmers groups use fertilizer
	…		
SHORT-TERM OUTCOME 2 (SO2) …			

Data collection strategy			
Methodology, data, tools, frequency and timing			**Person responsible**
Focus groups post-harvest	Farmers' groups		Household economist
Group interview Observation 1.5 months after planting season	Farmers' group		Agronomist
Household interview Observation within 1 week of harvest	Household		Household economist
Household interview Observation during ploughing and sowing	Household		Agronomist
Group interview Observation during …	Farmers' group		Agronomist

Key message

A good set of data collection tools:

- Favours the diversity and reliability of:
  - Tools (observation, questionnaires, interviews, etc.).
  - Respondents (key informants or not).
- Favours simplicity over complex sources of verification (e.g. avoid using tools requiring specific skills, such as questionnaires).
- Triangulates (cross-checks) key information.
- Gathers both quantitative and qualitative data.

Lastly, to select villages or households (that benefited from the programme/project) for monitoring purposes, it is recommended you use systematic sampling. For other respondents, purposive sampling[14] is advisable. For all sampling methodologies, see the "Technical brief on sampling" in the Ecosec reference database. Systematic sampling is also described in Annex 3.

Consider whether a data processing tool is necessary

You will need to think about how you will process the data at the same time as you decide on the data to be collected. One of the most frequent monitoring problems is that information is not processed and analysed, i.e. data are collected but nothing is done with them. This is a waste of time and resources for both beneficiaries and staff. Reasons for this may be that either there is no capacity or tools to process the data or there is too much data.

Spreadsheet programs (such as Microsoft Excel) are suitable for managing small amounts of data and do not require complex skills, whereas simple databases (such as Microsoft

14 Purposive sampling: Selection based on purpose.

Access) are better suited to larger amounts of data but require greater IT skills. Other statistical tools (such as Epi Info) require trained staff and more time. Your choice of software will depend mainly on the type of data and the analysis required.

Key message

Less is more.

Test the data collection tools and sampling method

- Check the terminology and language (ask other people to read your tools, in particular those who will be using them); have the tools translated into other languages, if necessary.
- Test your tools and sampling methodology on a small sample.

Plan resources

Resources for monitoring should already have been defined during the programme/project planning stage. Check the following prior to each monitoring event:

- Roles and responsibilities

Define how many people are needed to do what, how, where and when. Identify weaknesses and what training and support the team will need to carry out the monitoring tasks.

To clarify roles and responsibilities, you may want to fill in the column "person responsible" in the results monitoring framework.

- Logistics

Consider what equipment and transportation are needed. Monitoring requires vehicles, people and data collection equipment (e.g. cameras, bags for samples, etc.). Plan in advance and assess the costs.

- Time

Determine and allow for the time necessary to carry out the planned tasks.

Key message

Whenever possible, involve the beneficiary population in all stages of the programme/project cycle, including designing the intervention and defining indicators. Similarly, they should have a say in what information should be collected and if it is culturally acceptable to do so.

3.4.3 Collecting data/information

Apply the methods and techniques

Make sure that there is rigour and consistency in the way the data are collected over the entire data collection process, i.e. that agreed sampling methods are applied by all monitoring team members and that they do not deviate from the agreed questions.

In order to ensure consistency over the entire data collection period and to pick up on and respond to organizational problems, it can be useful (indeed, strongly recommended) to hold daily meetings with all the team members to recapitulate, triangulate and share key findings, as well as problems faced.

Also:
- When an area or someone is not accessible, replace them with a similar location or person.
- Be aware of potential sources of bias.
- Collect proof or evidence: photos, samples of what was produced, etc.

Document and codify data collection forms

Organize the data collection forms in a way that will enable you to trace which team member collected which data, i.e. their names need to be on the form in case there are any problems with the data collected or clarification is required.

Initial findings should be shared with the programme/project beneficiaries (or their representatives) to cross-check findings and obtain additional information.

3.4.4 Processing the data/information

The main objective of processing data is to capture them in a way that facilitates analysis. There are basically two ways of capturing data depending on the type of data concerned:

- For quantitative data, you can enter the data in a spreadsheet or other computer program, for easy extraction of averages, totals and percentages (see Figure 19).
- For qualitative or mixed data, you can synthesize key findings in a simple table (see Figure 20).

Figure 19: Spreadsheet with quantitative data from household interviews

HH* interview Code	Village	Pleased with seeds (post-harvest)		Ha cultivated	Bags of rice harvested	Applied new technology		Used fertilizer	
		Y	N			Y	N	Y	N
HH1	A	x		1.5	14		x	x	
HH2	A	x		1.8	20	x			x
HH3	A		x	0.9	10		x		x
Etc.	…	x		0.7	8		x	x	
Subtotal Village A		**20**	**12**	**1.2**	**12**	**24**	**8**		
HH4	B		x	2	22		x		x
HH5	B	x		1.2	11	x		x	
Etc.	…		x	1.9	20		x	x	
Subtotal Village B				**1.6**	**15**				
Etc.	…	x					x		x
TOTAL or AVG**		**144**	**86**	**1.35**	**14**	**57**	**173**	**120**	**110**

* HH = household

** AVG = average

Figure 20: Summary of quantitative and qualitative data from group discussions

Village – Focus group / Indicator	Village A	Village B	Village C	Village D
Quality of the seeds post-harvest	Farmer group not pleased with the type and quality of the seeds; the type of seeds was unknown to them	Farmer group pleased with the type and quality of the seeds; they liked the new variety and their yield	Farmer group pleased with the type and quality of the seeds; they liked the new variety and their yield	Farmer group not pleased with the type and quality of the seeds; due to harsh weather conditions only a few germinated
Ha cultivated land	55	75	85	60
Harvest (bags of 50kg)	600	740	800	630
Technical skills, % farmers who applied newly taught farming techniques	40%; did not think that the training was appropriate and thus did not understand much	80%; most were pleased with the training and able to apply it	90%; only the people absent during the training did not apply it	50%; those who did were pleased with the result, the others thought that the training was too complex
Fertilizer usage	45% of farmers used fertilizer	95% of farmers used fertilizer	95% of farmers used fertilizer	40% of farmers used fertilizer

Key message

Data, in particular qualitative data, must be processed as quickly as possible, while it is fresh in people's memory.

3.4.5 Analysing and interpreting the data and reporting the monitoring results

Analysis and interpretation of data

Once the data have been processed, you can create graphs and tables to identify general trends for each indicator. Look for unusual data (i.e. at one extreme or the other) to check whether this is reality or just a data entry error.

All the results need to be put into perspective by comparing them with the baselines and targets and with the updated general situation (creating, if necessary, new tables or graphs). If some information has not already been collected during the field work and some unusual findings come up, you may well have to return to the field to search for explanations.

Hold regular meetings with field staff to consider the findings of the monitoring work and to agree on changes to programme/project implementation, if needed.

Figure 21: Example of synthesis of the information gathered for monitoring purposes

Objectives and indicators			Monitoring results on ("date")	
			Findings	**Analysis of causes, explanation**
Specific Objective 1: 400 farmers' groups in the villages increased their rice production by 30% thanks to improved techniques and good quality inputs			Objective not quite met, but a significant difference has been made	For the next planting season, should foresee an additional kg of seed per household and some coaching
Indicator	**Baseline**	**Target**	**Findings**	**Analysis of causes, explanation**
Satisfaction of farmers' groups with the quality of the seeds post-harvest		At least 80% of farmers' groups satisfied with the quality of seeds post-harvest	50/50	The new types of seeds were not liked by some, and the weather obstructed growth for a few as well, but generally when the weather was OK, so was the production
Ha of cultivated land per farmers' group	40 ha per group of 50 farmers	75 ha per group of 50 farmers	50–90 ha (av. 71 ha)/group of 50 farmers	Target met by a small margin, but likely to improve in the next planting season
Bags of rice harvested per farmer household	560 bags of rice (50kg/bag) per group of 50 farmers	720 bags of rice (50kg/bag) per group of 50 farmers	550–960 ha (av. 680 ha)/group of 50 farmers	Same as above
Technical skills		90% of farmers applied newly taught farming techniques	…	
Fertilizer usage		90% of farmers' groups used fertilizer	…	
…	…	…		

Reporting

Monitoring information is collected for one main reason: to help management take informed decisions to steer the programme/project. Monitoring reports alert managers at various levels to problems and provide them with options for corrective action. Thus, monitoring reports should provide the right amount and quality of information for decision-making.[15]

The monitoring findings (progress towards results, trends, etc.) and recommended adjustments should be described in an ad hoc report or in the quarterly reports. A summary of these can then also be included in the Biannual Field Reports, which are shared with donors by REX.[16]

Before writing up the monitoring section within a regular or ad hoc report, think about the best way to present the monitoring findings and recommendations so that these are accessible (easily understandable) for people outside the monitoring process or for non-technical people.

A good monitoring report includes the following information:

- Advances made in the achievement of results (based on the results monitoring framework).
- Progress of activities (based on the activity and resource plan).
- The problems, constraints and difficulties that may slow down programme/project implementation.
- Proposed corrective action and reasons for changes compared with previous plans.
- Annexes, including the documentation of findings.

15 See ICRC, *Programme/project management: The results-based approach*, May 2008, Section 7.4.3.

16 External Resources Division.

3.4.6 Incorporating corrective action in programme/project implementation

Once the monitoring team has made its conclusions and recommendations, these need to be shared with the rest of the sub-delegation and possibly also the delegation.

If the required adaptations to the programme/project are significant, they will need to be discussed and agreed on with the senior management of the delegation and at headquarters. Major changes should, to the extent possible, also be discussed and agreed on with the beneficiaries. Regardless of whether there will be changes or not, the beneficiaries need to receive feedback on the monitoring findings (e.g. through the beneficiaries' representatives).

The agreed corrective action should be fed back into and included in programme/project planning and implemented at the most appropriate time and as the issues arise.

HOW TO DO A REVIEW OR AN EVALUATION

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4 HOW TO DO A REVIEW OR AN EVALUATION

As explained in Section 2.2, the main focus of this handbook is on locally led reviews, i.e. those led by Ecosec coordinators. Many of the steps are similar to those for monitoring described in Section 3 and only the differences are noted here.

Figure 22: Review/evaluation step by step

Results monitoring	Locally led review	Hq-led review/ evaluation*
	Trigger and initiation of a locally led review	Trigger and initiation of an HQ-led review/ evaluation
Decision on the information to be collected	Formulation of the questions to be asked	Drafting of an approach paper and terms of reference (and selection of the evaluators)
Preparation for the collection of data/ information	Preparation for the collection of data/ information	Preparation of the HQ-led review/evaluation field work
Collection of data/ information	Collection of data/ information	Support to field work
Processing of data/ information	Processing of data/ information	
Analysis and interpretation of the data and reporting of the results	Analysis and interpretation of the data and reporting of the results	Analysis and interpretation of the data and reporting of the results
	Discussion and planning of corrective action or reorientation	Discussion and planning of corrective action
Incorporation of corrective action in programme/project implementation	Incorporation of corrective action in programme/project implementation	Incorporation of corrective action in programme/project implementation
	Follow-up and sharing of lessons learnt	Follow-up and sharing of lessons learnt

* Only the steps involving the delegation, in particular the Ecosec coordinator, are included for an HQ-led review/evaluation.

4.1 Implementing a locally led review

4.1.1 Trigger and initiation of a review

Various points in the lifespan of a programme/project can trigger a locally led review:

- There are problems with the programme/project that require an independent point of view.
- It has been a successful operation, for which you would like to document good practices for future reference.
- There are significant changes in the situation, possibly requiring a major reorientation of the programme/project.
- A major milestone in a programme/project is reached, requiring a thorough review of what has been achieved so far.
- The programme has come to an end.

Locally led reviews can also be conducted before the annual PfR process. A programme/project manager (usually the Ecosec coordinator) can decide to launch a review on his/her own initiative, or it can be suggested by the head of sub-delegation or delegation.

4.1.2 Formulating the questions to be asked

Collect information about the programme/project

Existing information on or relating to the programme/project can help you to better formulate your questions for the review/evaluation, as well as to explore ideas for the future. Go through past monitoring or review information. You will find such information in ad hoc ICRC reports (monitoring and review reports), Quarterly Ecosec Reports, external reports, etc. If relevant, you can represent the key moments of the programme/project in a simple timeline.

Figure 23: Historical timeline of a programme/project

Source: ALNAP

Also, try to get your hands on the raw data from previous monitoring or review exercises (e.g. tables with the follow-up of indicators, the synthesis of household interviews or focus groups).

Key message

Many review/evaluation reports note that the lack of good monitoring information weakened the reviewers/evaluators' efforts to assess results. Monitoring data and analysis should be of the best possible quality and should be easily accessible to future reviewers/evaluators. Monitoring files and reports should therefore be carefully kept.

Define the questions

Most of the issues you should explore during the review are included in the results monitoring framework (mainly in the indicators). Therefore, the monitoring tools and reports will give you information on each indicator at various points of time against which you can compare progress.

While during monitoring you were focused on short-term outcomes (increased production, income, knowledge, etc.), in a locally led review you will also explore medium-term outcomes. A PfR medium-term outcome would mainly be:

- The level of economic security of a given population.
- The sustainability of the economic security of a given population.
- The programme/project coverage of the given population as per defined criteria.

4.1.3 Preparing for the collection of data/information

The following steps, described in detail in Section 3.4.2, also apply to locally led reviews:

- **Decide on the data collection tools and respondents.**
- **Test the data collection tools and the sampling method.**
- **Plan resources.**

A few additional points to consider for locally led reviews when you:

- **Choose the respondents**
  While it is advisable to apply some systematic sampling when choosing villages or beneficiary households for monitoring purposes, it is even more important to do so during a locally led review (see Annex 3 for more detail, or seek experienced support if needed).

- **Choose the review team**
  Locally led reviews are usually carried out by the staff of the delegation. You can inject some objectivity and perspective by inviting the participation of "outsiders" (people not involved in the programme/project), e.g. a newly arrived delegate or someone from another department. You can also swap teams from different regions, i.e. an Ecosec team from one region reviews the programme/project in another region and vice versa.

- **Process data**
  The information you collect during a locally led review is likely to be more substantial than you usually collect during monitoring. You thus want to think even more carefully about how you will get your information and how to keep the data processing and analysis manageable.

- **Choose the timing**
  You may want to give more consideration to seasons and work cycles, as they can affect access to some areas/populations or bias the results. For example:
  – Rainy season, harvest time
  – End of the fiscal year
  – Public holidays and festivals
  – Political events

4.1.4 Collecting data/information

All the steps, tools and advice described in Section 3.4.3 are also applicable here (it just needs to be done a bit more thoroughly and will require more time):

- **Apply the methods and techniques.**
- **Document and codify data collection forms.**

4.1.5 Processing the data/information

The same data processing techniques as for monitoring apply (see Section 3.4.4). Once quantitative data on each indicator have been collected and processed, you can present the average numbers or percentages for the indicators, along with a summary of the qualitative information, in a modified results monitoring framework (see Figure 24).

Figure 24: Synthesis of the information gathered for a review

Objectives and indicators			Review results	
			Findings	Analysis of causes, explanation
General Objective				
Indicator	Baseline/ Target	Monitoring 1 (date)/ 2 (date)/ 3 (date) …		
Specific Objective 1				
Specific Objective 2				

4.1.6 Analysing and interpreting the data and reporting the results of the review

Analysis and interpretation of data

Discuss and clarify the findings with the entire review team and, when possible, with beneficiary representatives, on the basis of summary tables. Compare the review data with the results of the monitoring system, as well as with the baselines and targets; clarify reasons for the results trends (see the last column of Figure 24).

Reporting

At the end of the discussions with the team, you should be able to write the first draft of the report. There is no rule regarding the report's content. While Figure 24 summarizes the most important information to be considered, the following suggests a report structure:

- Present the background to the programme/project and the review

  Describe succinctly the reasons why the programme/project was started and what it consists of (including objectives) and what triggered the locally led review.

- Answer the questions of the review

  Focus on the expected results as defined in the results monitoring framework and activity and resource plan, as well as other more general review questions. If relevant, identify the differences in your findings for each area and population group. For each finding, you can document examples, quotations from interviewees and relevant quantitative/qualitative data. Answering a question may involve describing successes and failures:
  - What has or has not been achieved for the population?
  - What has been avoided thanks to the intervention?

- Present risks and project opportunities

  Based on your findings, you can forecast the results of your programme/project if the situation remains unchanged and the programme/project is not adapted.
  - How has the environment affected the programme/project? How has the environment changed because of the existence of the programme/project?
  - How will it affect the results in the future?

- Put the review results into a broader ICRC context
  - How will the programme/project results affect or have they affected the ICRC strategy for the given target population and for the delegation as a whole?

- Draft conclusions and initial recommendations

  Make a synthesis of the conclusions and list the main recommendations in a table. This will facilitate the discussion on what needs to happen concretely in the short to mid

term to improve the programme/project. It can later be developed further to become a "recommendation tracking table" (see Figure 25).

Be concise and use visual aids (photos, maps, tables, diagrams, charts).

4.1.7 Discussing and planning corrective action or programme/project reorientation

Share the results

Bring a selected group together (head of sub-delegation, head of delegation, coordinators) for a round-table. The meeting will enable you to: share the findings; discuss the initial recommendations; validate or refute recommendations; and agree on corrective action, if needed. Such a meeting could also include headquarters staff.

Some of the issues that are likely to be discussed during this meeting are:

- Should activities be continued as is or changed, and if changed, how?
- Should the exit strategy be (re)considered?
- What adaptations are required to the budget, logistics and the forthcoming PfR document?
- Should the team composition be adapted?

It is paramount to keep a good record of all the discussions that arise during this meeting.

Finalize the report

Complete the report, with an executive summary, and share it with your colleagues within the delegation as well as with headquarters staff. The report should include a "recommendation tracking table" detailing the recommendations that were accepted.

Figure 25: Recommendation tracking table

Priority	Recommendation	Action	Duration/ deadline	Person responsible

Communication

Circulating the report may not be enough, and you may want to organize a few information sessions for colleagues and staff who were not directly involved in the review. As with monitoring, do not forget to discuss the review results and proposed changes with beneficiaries.

4.1.8 Incorporating corrective action in programme/ project implementation

The Ecosec coordinator is responsible for ensuring that the resources to implement corrective action are available and that it takes place according to what is stated in the recommendation tracking table. Corrective action may include:

- An adapted activity and resource plan (time schedule, budget, human resources).
- An adapted results monitoring framework.

4.1.9 Review follow-up and sharing of lessons learnt

The Ecosec coordinator needs to regularly check the status of the actions outlined in the recommendation tracking table and report on them in the Quarterly Ecosec Reports. Some lessons learnt may be important enough to share in the next Ecosec forum (e.g. regional agronomic or annual coordinator workshops).

4.2 Contributing to an HQ-led review or evaluation

This section describes only the steps in which the Ecosec coordinator is involved in an HQ-led review or evaluation (take note, in particular, of sentences in bold italic).

While evaluations are led by IPM and reviews are led by Ecosec (with advice/coaching from IPM) most steps are similar for both, and only the differences are noted here.

4.2.1 Trigger and initiation of an HQ-led review or evaluation

The triggers for an HQ-led review or evaluation are the same as for a locally led review. The reason for opting for an HQ-led review or evaluation rather than a locally led review is to obtain a more independent and objective view of the programme/project and its results. Moreover, external reviewers/evaluators are often senior humanitarian staff with both programme implementation and evaluation experience who can bring a valuable new perspective.

Proposing and deciding on an HQ-led review or evaluation

An HQ-led review or evaluation ***can be proposed by the delegation*** or by headquarters (e.g. Ecosec, the operational region, the Directorate, the Governance). In the case of an Ecosec programme, an HQ-led review or evaluation may look at the whole programme in one or several countries or focus on a specific intervention worldwide or in a region. It can also be that an evaluation looks at an operation of which the Ecosec programme is one element.

An HQ-led review or evaluation requires considerable resources, both human and financial, and ***must be planned and budgeted.*** Usually this is done during the PfR process.[17] Proposals for HQ-led reviews or evaluations must be submitted to IPM, which maintains the updated institutional evaluation work-plan endorsed by the Directorate.

Initiating and planning an HQ-led review or evaluation

After the decision to carry out an HQ-led review or evaluation has been made, steps must be taken to plan and initiate the work. This includes deciding who will participate in the different steps of the HQ-led review or evaluation process and ***the preferred timing of the review or evaluation.*** Generally, this is also the moment that a steering committee is set up at headquarters (including, for example, representatives of Ecosec, the operational region and IPM).

4.2.2 Drafting an approach paper and terms of reference (and selecting the reviewers/ evaluators)

Approach paper

The next step in the HQ-led review or evaluation involves the drafting by the main stakeholders of an "approach paper" describing the subject of the review or evaluation, the rationale, its purpose, scope, target audiences and intended use, along with all the questions that need to be answered by the review/evaluation. (For more details on this process, see Annex 4.)

For an HQ-led review or evaluation of an Ecosec programme, the Ecosec coordinator/delegation is generally asked to write the first draft of the approach paper. The draft is then circulated

17 Information on the calculation and management of budgets for evaluations can be found in the IPM database 06. EVALUATION/6.1. Stratégies et guidelines/6.1.5.

among the stakeholders at headquarters for their input and comments. This may prompt further discussions with the Ecosec coordinator/delegation until there is agreement on the final version. It may therefore take some time before the final approach paper is ready, but the process enables all concerned to be mobilized and is a key step in the HQ-led review or evaluation process. When everybody's expectations have been clarified and a common understanding reached, the HQ-led review or evaluation moves to the next phase, i.e. the drafting of the terms of reference.

Terms of reference

Based on the approach paper, IPM prepares draft terms of reference (ToRs) for the evaluation. In the case of an HQ-led review, either the Ecosec Unit or the Ecosec coordinator drafts the first version of the ToRs. In either situation, the ToRs are circulated in the field and at headquarters for comments and editing until everybody agrees on the final version.

The ToRs have a pre-set structure and are used to guide the whole HQ-led review or evaluation process from start to finish. They are also the basis for recruiting and contracting the HQ-led review or evaluation team. Good and clear ToRs pave the way for a good evaluation.

The questions to be answered by the HQ-led review or evaluation that have been put forward in the approach paper are built into the ToRs according to the following commonly used evaluation criteria: relevance/appropriateness, effectiveness, efficiency, impact, sustainability, coherence, coordination, coverage and connectedness.[18] Individual HQ-led reviews or evaluations do not necessarily address all these criteria to the same extent.

18 These criteria were initially developed by OECD/DAC for development programmes and were later adapted for the evaluation of humanitarian action. For definitions see Annex 1.

Recruiting and selecting the evaluators
The recruitment and selection of the HQ-led review or evaluation team are done at headquarters. When these processes have been completed, the ***details of the selected evaluators are shared with the Ecosec coordinator/ delegation for final approval.***

4.2.3 Preparing the HQ-led review or evaluation field work

Documents
Before the HQ-led review or evaluation team starts work, ***the Ecosec coordinator/delegation is asked to provide the references to or paper/electronic copies of the relevant documents*** so that these can be shared with the reviewers/ evaluators before they go to the field.

Practical aspects
In addition, ***the Ecosec coordinator/delegation will be asked to provide the names of people/organizations and destinations that will be important*** for the reviewers/ evaluators to meet or visit. ***The Ecosec coordinator/ delegation may also be asked to provide a draft programme, set up meetings and make survey arrangements*** prior to the arrival of the team. Furthermore, the reviewers/ evaluators will need transport and lodging and may require interpreters (for reasons of objectivity, it may not be advisable to use Ecosec staff for this) and other staff, which generally requires planning ahead in the delegation.

Informing those not yet involved
It is also important at this stage to make sure that all stakeholders within and outside the delegation who have not taken part in the drafting of the approach paper and ToRs are informed that the HQ-led review or evaluation is to take place and what their roles in it (if any) will be.

Length of stay
The number of days that the reviewers/evaluators will spend in the field depends on the scope and focus of the evaluation. The more primary data they have to collect, the longer they will need. The length of their stay will also be influenced by factors such as security, geographical constraints, the need for permits, existing travel schedules in the delegation (e.g. flights) and public holidays.

4.2.4 Supporting field work

Reviewers/evaluators always spend a few days in Geneva before travelling to the field. In addition to meetings/briefings/interviews, they prepare a draft work plan that describes how the HQ-led review or evaluation will be carried out, refining, bringing specificity to and elaborating on the ToRs.

Arrival and launch
In the field, the reviewers/evaluators are contractually bound to follow standard ICRC and delegation rules of behaviour and fall under the responsibility of the head of delegation. It is the task of the Ecosec coordinator (and his/her colleagues) to support the reviewers/evaluators and to ensure that their work can be done as smoothly as possible.

It is important to have a meeting with the HQ-led review or evaluation team soon after arrival to discuss the ToRs and its draft work plan and how they would like to go about doing the work, if this is feasible and depending on what preparations have already been made by the delegation. It is likely that additional meetings will have to be set up and further arrangements made, especially at the beginning but also during the rest of the time that the HQ-led review or

evaluation is under way. Some additional reading, such as distribution lists and expenditure figures, may also need to be provided to the team.

Problems

In the unlikely event of a major problem with the HQ-led review or evaluation team or one of its members, the Ecosec coordinator (and the head of delegation) should discuss it with headquarters (IPM or other unit concerned). The same applies to situations such as a change in the security situation or unseasonal rains that make it impossible for the work to be carried out as foreseen. Solutions can then be jointly identified.

4.2.5 Analysing and interpreting the data and reporting the results of the HQ-led review or evaluation

Evaluation	**Debriefing meeting(s) for evaluations** Towards the end of the evaluators' field stay, ***a debriefing meeting must be organized,*** during which the evaluation team will explain what was evaluated, how the evaluation was conducted, what data were collected and what the preliminary findings are. It is not expected at this stage that the team present its full conclusions and recommendations. The Ecosec coordinator will need to decide with the evaluation team whether there will be one meeting or several meetings with different groups of stakeholders (e.g. the Ecosec team, head of delegation, etc.). **Draft evaluation report** Usually, the evaluation team does not go to headquarters immediately after the field visit but goes straight home to prepare the evaluation report. **Feedback on the evaluation report** When a proper draft is available and circulated, IPM will ask ***the Ecosec coordinator/delegation and the key stakeholders at headquarters to provide written comments for the evaluators.*** These should focus on issues of fact, points where there is disagreement with the team's conclusions, and general points that the person giving the feedback would like to share with the team.
HQ-led review	**Draft review report or presentation** It is likely that some discussions on findings and recommendations will already take place before the review team leaves the field/country to foster the delegation's ownership of the findings and recommendations. Such discussions should take place on the basis of a draft report and/or a well-developed presentation. (Round-table(s), see Section 4.2.6.) **Final review report** After the meeting(s) and based on the discussions, the draft report is often revised and circulated once or twice among all the stakeholders before being finalized by the Ecosec Unit.

4.2.6 Discussing and planning corrective action

Round-tables

Evaluation	When feedback on the evaluation report has been received from everybody, it is sent to the evaluation team and shortly thereafter a round-table is held at headquarters with the participation of key stakeholders from Geneva and the field and members of the evaluation team. This meeting will focus mainly on the evaluators' findings, conclusions and recommendations.
HQ-led review	Once the review team has completed a draft report and/or conducted a well-developed presentation in the field, ***one or several meetings need to be organized.*** Ideally, one meeting is held at the delegation (to encourage ownership), attended by the field and HQ staff concerned, during which the reviewers present the findings and recommendations to be commented on and discussed. During the meeting, recommendations can be accepted, partially accepted or refuted. For the last two, the reasons have to be explained and documented. If a joint field-HQ meeting is not feasible, two meetings must be held, one in the field and one at HQ.

Developing a recommendation tracking table

Evaluation	The Ecosec coordinator/delegation and the relevant entities at headquarters (e.g. the Ecosec Unit, operational region, Directorate of Operations, etc.) will be contacted by IPM to examine the evaluators' conclusions and recommendations. They will be asked to indicate in writing whether they agree or not with each conclusion/recommendation (and if not, why not). For the recommendations that are partially or fully accepted, each person is asked to specify what action will be taken. Based on their responses, a recommendation tracking table is developed, which includes information on who is in charge of following up on what recommendation and a timeline for doing so.
HQ-led review	As in the case of an evaluation, it is strongly recommended ***to establish a recommendation tracking table. This will be jointly developed by the Ecosec coordinator and the Ecosec Unit*** as the recommendations are likely to include actions required at both HQ level and in the field.

4.2.7 Incorporating corrective action in programme/project implementation

For programme/project recommendations, the ***Ecosec coordinator disseminates the information*** on the proposed changes to all concerned. ***He/she is responsible for putting in place the necessary steps that will enable corrective action*** to be incorporated into the programme/project in the field. The new or revised activities are also incorporated into an updated or new activity and resource plan.

The Ecosec coordinator and the head of sector need to regularly check the status of the actions outlined in the recommendation tracking table.

For evaluations, IPM has the task of monitoring the implementation of the recommendation tracking table.

4.2.8 HQ-led review or evaluation follow-up and sharing of lessons learnt

When the final evaluation report has been approved, it is the moment to decide how the results will be disseminated. IPM arranges for printed copies of the report to be made available and undertakes the first distribution within the ICRC.[19] How and with whom the results will be shared in the delegation and with partners in the country (e.g. other organizations, authorities, beneficiaries) is a decision to be agreed on by the Ecosec coordinator and the head of delegation. The same mostly applies to HQ-led reviews, with the exception that there is no obligation to share the report at the highest level.

19 In line with the ICRC's evaluation strategy, the Directorate, the Presidency, Internal Audit and the Control Commission of the Assembly are included in the distribution list of evaluation reports. The ToRs and executive summaries of evaluations are available in the IPM database, while the executive summary is usually also shared with the ICRC's Donor Support Group.

It is the Ecosec head of sector's responsibility to put lessons from HQ-led reviews into the Ecosec reference database and to be proactive in sharing the lessons identified in HQ-led reviews or evaluations during relevant meetings/ seminars.

ANNEXES

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ANNEXES

Annex 1 Evaluation criteria

In 1991, the Development Assistance Committee (DAC) of the Organisation for Economic Co-operation and Development (OECD) set out broad principles for the evaluation process for DAC members. These principles were refined into five criteria that have been widely used in the evaluation of development initiatives – efficiency, effectiveness, impact, sustainability and relevance (OECD-DAC, 2000). Subsequently the criteria were adapted for evaluation of complex emergencies (OECD-DAC, 1999), becoming a set of seven criteria: relevance/appropriateness, connectedness, coherence, coverage, efficiency, effectiveness and impact.[20]

20 Overseas Development Institute, *Evaluating humanitarian action using the OECD-DAC Criteria: An ALNAP guide for humanitarian agencies*, 2006, p. 10 http://www.alnap.org/publications/eha_dac/pdfs/eha_2006.pdf.

	Criteria as described in the IPM glossary	OECD-DAC criteria described by ALNAP[21] and some related questions from the OECD website[22]
Coherence	The extent to which an activity/ programme/ operation/policy is in keeping with relevant policies and with strategies.	The need to assess security, developmental, trade and military policies as well as humanitarian policies, to ensure that there is consistency and, in particular, that all policies take into account humanitarian and human rights considerations.
Connected-ness	The extent to which the long-term and connected problems are taken into account when planning and implementing short-term humanitarian action.	*(adapted from sustainability)* Connectedness refers to the need to ensure that activities of a short-term emergency nature are carried out in a context that takes longer-term and interconnected problems into account. • To what extent did the benefits of a programme or project continue after donor funding ceased? • What were the major factors which influenced the achievement or non-achievement of sustainability of the programme or project?
Coordination	The degree of functional cooperation and exchange of information with the various local and international actors and within the ICRC, as well as the degree to which one action is complementary with other actions.	*This criteria does not exist in the OECD-ALNAP criteria version.*

21 *Ibid.* pp. 20–21.

22 http://www.oecd.org/document/22/0,2340,en_2649_34435_2086550_1_1_1_1,00.html, August 2008.

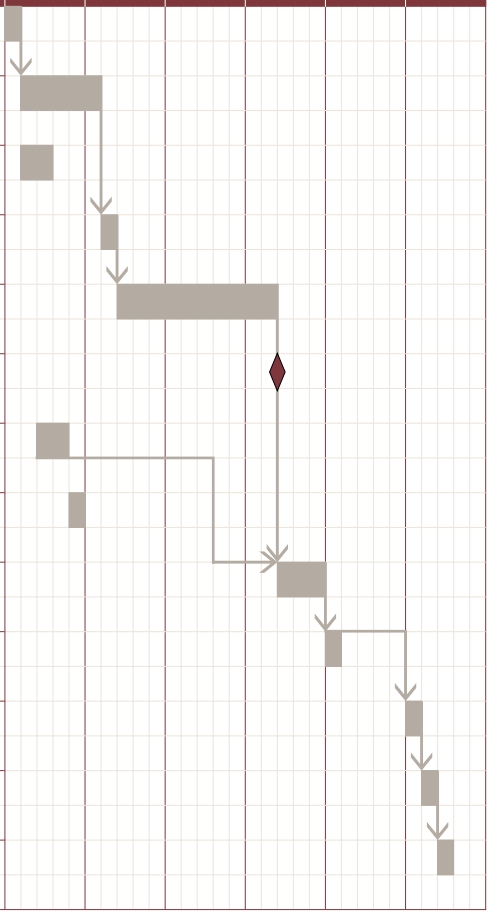
Coverage	The extent to which an initiative/ programme/ operation reaches its intended target population(s), institution(s) and/ or geographic area(s).	The need to reach major population groups facing life-threatening suffering wherever they are.
Effectiveness	The extent to which the programme's objectives were achieved, taking into account their relative importance.	Effectiveness measures the extent to which an activity achieves its purpose, or whether this can be expected to happen on the basis of the short-term outcomes. Implicit within the criterion of effectiveness is timeliness. • To what extent were the objectives achieved/are likely to be achieved? • What were the major factors influencing the achievement or non-achievement of the objectives?
Efficiency	A measure of how economically inputs/resources (human, technical, material, financial) are converted into short-term outcomes.	Efficiency measures the short-term outcomes – qualitative and quantitative – achieved as a result of inputs. This generally requires comparing alternative approaches to achieving any short-term outcomes, to see whether the most efficient approach has been used. • Were activities cost-efficient? • Were objectives achieved on time? • Was the programme or project implemented in the most efficient way compared to alternatives?

Impact	Positive and negative, primary and secondary wider long-term changes/effects produced by an initiative/ programme/ operation/policy, directly and indirectly, intended and unintended.	Impact looks at the wider effects of the project – social, economic, technical, environmental – on individuals, gender- and age-groups, communities and institutions. Impacts can be intended and unintended, positive and negative, macro (sector) and micro (household). • What has happened as a result of the programme or project? • What real difference has the activity made to the beneficiaries? • How many people have been affected?
Relevance (and appro-priateness)	The extent to which the objectives of an initiative/ programme/ operation/policy are consistent with the needs of the target population.	Relevance is concerned with assessing whether the project is in line with local needs and priorities (as well as donor policy). Appropriateness is the tailoring of humanitarian activities to local needs, increasing ownership, accountability and cost-effectiveness accordingly. • To what extent are the objectives of the programme still valid? • Are the activities and short-term outcomes of the programme consistent with the overall goal and the attainment of its objectives? • Are the activities and short-term outcomes of the programme consistent with the intended impacts and effects?
Sustainability	The extent to which the initiative/ programme/ operation's benefits are likely to continue after it has come to an end.	*This criterion has been merged with connectedness in the OECD-ALNAP version.*

Annex 2 Gantt chart

Example Gantt Chart showing key dependencies in a recruitment process

Task	Duration (days)	Week 1	Week 2	Week 3	Week 4	Week 5	Week 6
Agree job and person specification	1						
Personnel manager to define job grade	5						
Prepare advertisement	2						
Publish advertisement on web site	1						
Receive enquiries and send further informantion	10						
Closing date for applications	1						
Agree composition of interview panel	2						
Book interview room	1						
Evaluate applications and prepare shortlist	3						
Invite shortlisted applicants for interview	1						
Conduct interview	1						
Confirm selection decision	1						
Send offer letter to successful candidate	1						



Source: http://www.jiscinfonet.ac.uk/InfoKits/infokit-related-files/gantt-chart-pic/view

Annex 3 Sampling

"**Sampling** is the process of selecting units (e.g., people, organizations) from a population of interest so that by studying the sample we may fairly generalize our results back to the population from which they were chosen."[23]

For an overview of sampling, consult the section "Technical brief on sampling" in the Ecosec reference database. This section concentrates on the practical aspects of sampling, mainly systematic sampling. Systematic sampling is the easiest method to apply when there are lists of beneficiaries, which is often the case when a programme is implemented.

In systematic sampling, you select every 3rd or every 6th or every xth (depending on the sample size required) from a population to obtain the sample.

A sample should only be drawn/selected from a homogeneous population, meaning that if you want to describe the effects of your programme on the internally displaced people, on the one hand, and the residents, on the other hand, you will have to make two samples, as these two populations are unlikely "to have similar characteristics" (i.e. to be homogeneous).

Example of systematic sampling

In order to explain the sampling process, here is an example of an agricultural programme in 10 villages with 5,095 beneficiary households for which there are lists.

23 Web Centre for Social Research Methods, August 2008, http://www.socialresearchmethods.net/kb/sampling.php

- **Define the sample size**

In order to determine the number of individuals or households to be visited during the monitoring or review/evaluation, refer to the table below; the population size is in bold black (those affected or those in your programme), while the sample size is in the line below:

Sample size for systematic and random sampling

Population size	**100**	**200**	**300**	**400**	**500**	**600**	**700**	**800**	**900**	**1,000**
Sample size (n)	74	116	143	162	176	187	196	203	209	213
Population size	**1,500**	**2,000**	**4,000**	**6,000**	**8,000**	**10,000**	**15,000**	**20,000**	**30,000**	**50,000**
Sample size (n)	230	239	254	259	262	264	267	**269**	**270**	**271**

NB: When the population size is below 100, you would almost have to consider the entire population for the research. For population sizes above 50,000, you can safely add just a few units. For 100,000, the sample size is 272, which is simply one additional sample unit for the additional 50,000 people.

We can see that we do not have the exact sample size for 5,095 households; however:

- for a population of 4,000 households, the sample size is 254 households
- for a population of 6,000 households, the sample size is 259 households

Thus, for our 5,095 households, we need to select 257 households.

Sample size = 257

- **Define the sampling interval**

Once you have defined your sample size, the next step is to identify your sampling interval. To do so divide 5,095 by 257 = 19.82, and round it up to 20, and this is your sampling interval.

Sampling interval = 20

- **Spread the sample proportionately over the villages**

We know that 257 is approximately 5% of 5,095; thus 5% is also the number of households to be visited in each village. Calculate 5% for every village and round up the figure. The results are:

Village	**1**	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10**
Nu. hh	***457***	***765***	***543***	***1254***	***566***	***120***	***620***	***240***	***320***	***210***
Sample Approx. 5%	23	38	28	64	28	6	31	12	16	11

- **Select the households**

Every household always needs to be given an equal chance of being selected. To allow for this, the first household on every list needs to be randomly selected.

Step 1: Take your first list of beneficiary households and randomly select the first household within the first sampling interval, in this case a household between 1 and 20.

Random selection
You can select your first household randomly in several ways:

- Put 20 numbered pieces of paper in a bag/hat and draw a number.
- Use a computer programme where you enter the first number and the last number of the sampling interval, and the number of random numbers you require (10 in this case) http://www.random.org/integers/.
- You could also blindly (closed eyes or blindfolded) point a pen at 1 of the 20 first households on your paper copy lists.

Step 2: Once you have randomly selected the first household, you can then select every 20th household (sampling interval) until you have reached the number of households required.

Repeat the above two steps for every list of beneficiary households.

Some other options
If you don't have the necessary resources (time, staff, etc.) to monitor or review your programme in the manner described above, you may want to proceed with non-probability sampling, such as purposive sampling (selection based on purpose[24]) or convenience sampling (use who's available). While in probability sampling every sampling unit has an equal chance of being selected, this is not the case in non-probability sampling. This sampling methodology is thus less representative and accurate.

An example of a two-stage sampling, with non-probability in the first stage and either probability or non-probability sampling in the second stage:

24 http://changingminds.org/explanations/research/sampling/non-probability_sampling.htm

First stage

1. From your programme, select 2–3 small villages, 2–3 medium-sized villages and 2–3 large villages, which are all quite distant from each other for geographical spread – *non-probability sampling, as not every village has an equal chance of being selected.*

Second stage

2a. You have lists of beneficiaries, in which case one would revert to systematic sampling from your lists – *probability sampling, every household has an equal chance of being selected.*

2b. You have no lists, in which case you could do some systematic sampling on location, visiting every xth household in the village starting from one end – *probability sampling, every household has an equal chance of being selected.*

2c. You have no lists and very little time, in which case you would use convenience sampling or purposive sampling – *non-probability sampling, as not every household has an equal chance of being selected.*

Annex 4 Study approach paper (pre-ToR)

For the development of the Approach Paper, the following structure is suggested as a basis for the document:

1. Introduction
   - √ A brief definition of the programme/project in general.
   - √ The reasons for the ICRC's involvement in the programme/project, where it fits within the ICRC mandate and activities, and relevant developments since the outset.

2. Background information on the country
   - √ A summary of the general situation in the country/region over time, the different conflicts, the problems and a brief overview of the ICRC's actions to date.

3. Description of the Ecosec programme in the country
   - √ Summary of the Ecosec programme: when it started, problems addressed, evolution of the objectives/expected results, strategy/approach, activities, locations, periods/phases, target population, number of beneficiaries, accomplishments, budget over time, organizational set-up in the country/region, ICRC staff involved, partners, etc. It may be advisable to prepare a separate fact sheet for different activities or periods of time, which builds up to qualitative and quantitative information about the activities as a whole.
   - √ Coordination within the ICRC delegation and between the delegation and HQ: persons involved previously and currently, mechanisms, procedures.
   - √ Coordination with partners/stakeholders outside the ICRC: who the partners are, mechanisms and procedures, plus a short description of the role and level of involvement of the different stakeholders over time.
   - √ The limits of the programme and the constraints and problems that have been encountered over time.

4. Details of the evaluation or review (N.B. the terms review and evaluation are used here, but we may conclude that it would be better to use another approach).
   - √ The purpose of the evaluation or review.
   - √ The scope of the evaluation or review.
   - √ The focus of the evaluation or review. This refers to the specific tasks of the evaluators/reviewers. The easiest way to identify these is by developing precise questions that you seek to answer through the evaluation. It is worth explaining why these issues are so important that they should be looked at in more depth. Indicate also which period should be covered by the evaluation.
   - √ Intended use of the evaluation: what will the results of the evaluation be used for and by whom?

REFERENCES AND FURTHER READING

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REFERENCES AND FURTHER READING

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Mission

The International Committee of the Red Cross (ICRC) is an impartial, neutral and independent organization whose exclusively humanitarian mission is to protect the lives and dignity of victims of armed conflict and other situations of violence and to provide them with assistance.

The ICRC also endeavours to prevent suffering by promoting and strengthening humanitarian law and universal humanitarian principles.

Established in 1863, the ICRC is at the origin of the Geneva Conventions and the International Red Cross and Red Crescent Movement. It directs and coordinates the international activities conducted by the Movement in armed conflicts and other situations of violence.