Context and sustainability: Monitoring and evaluating humanitarian aid

Schoolchildren who have benefited from a Gaza rehabilitation project by Turkish NGO IHH Humanitarian Relief Foundation, September 2014

The scale of a humanitarian disaster and the response to it can make the development and application of appropriate monitoring and evaluation (M&E) systems and approaches very difficult. A disaster means that agencies have to become operational in a short space of time. At the same time, affected people are more focused on addressing the issues affecting them than engaging with more typical M&E processes.

Despite the challenges, there are long-term benefits to developing and managing appropriate M&E systems for humanitarian situations. Beyond the general application of good practice, accountability, and meeting agency performance benchmarks, humanitarian M&E is a job that is always context-specific and at its most effective when it is locally owned.

In a report on the international response to the 2004 Indian Ocean tsunami, analysts recognised the lack of context sensitivity and community ownership in the initial response, and the potential of international agencies’ interventions undermining local NGO disaster response capacity. Yet while local non-governmental organisations (NGOs) are increasingly recognised as part of the international humanitarian system and their role in the development of local...
resilience and response capacity, the attention and support they receive remains minimal.3 The articles in this ONTRAC demonstrate that there exist a number of practical ways and initiatives to help focus on the local contribution to disaster response. Oxfam’s Vivien Margaret Walden presents the ‘Contribution to Change’ approach, a new attempt to understand the relative importance of interventions in recovery. Drawing together data from before, during, and up to a year after the event, it seeks to understand change from the point of view of the people affected, over a period of time. Its main focus is therefore not on delivery of relief, but on the longer-term impact of that assistance.

Patient Balunwe of Norwegian Church Aid relates the experiences since 1994 of a WASH (Water, Sanitation and Hygiene) intervention in the Democratic Republic of Congo (DRC). The approach included having evaluators systematically walk through project communities (doing transect walks) to ensure they had personal experience of the conditions of the programme. However, given the major security and logistical challenges, it was not possible to do transect walks in all geographic areas. Alternative solutions relied significantly on feedback from local leaders, beneficiaries and site managers. This had the added benefit of increasing local ownership of the process and acceptance of findings. Bobi Morris of the International Rescue Committee (IRC) discusses how her organisation developed Standard Toolkits for Emergency Programming (STEPs) and outlines lessons learned for others considering a similar approach. She describes how the pros of creating the toolkits – including increases in speed, quality, and learning opportunities in emergency response – outweighed the cons. Her article speaks to the tensions between attempting to work to very context-specific approaches and the desire for standardisation of evaluation frameworks in very large organisations. Alexandra Warner’s article looks at the Active Learning Network for Accountability and Performance in Humanitarian Action’s (ALNAP’s) Evaluating Humanitarian Action Guide (EHA Guide) and the way it is being piloted to incorporate inputs from users. She highlights the importance of defining the exact terms of reference, using inception reports to ensure buy-in of main stakeholders, and thinking through dissemination as part of the evaluation approach.

In a recent INTRAC webinar on monitoring and evaluating humanitarian responses, practitioners from Haiti, Mali, the Democratic Republic of the Congo, the Philippines and Europe demonstrated the scale of desire to learn about examples of the development of good practice. It became clear that NGOs need to develop and apply context-appropriate methodologies and processes that are supported by coherent, supportive, and adaptable systems. Thinking through this challenge inevitably leads to the question of for whom and for what purpose monitoring and evaluation is done in humanitarian contexts. Is it about reporting on a relief effort to satisfy donor interests? Or is it about understanding how aid is empowering those affected by disasters to rebuild their lives and prepare for effective local response to disasters in the future? The authors’ experiences show that shifts in emphasis towards local capacity, ownership and innovation are possible.

The number of humanitarian disasters and the number of people affected globally continues to rise – in 2013, there were 315 different emergencies and 95 million people affected. Funding is becoming more competitive and with that, the need to prove that aid agencies’ programmes are effective and making a difference.

However, measuring impact in humanitarian programmes can be difficult. Rigorous impact evaluations need resources, both financial and human, which not every organisation can afford. There are ethical and practical issues around using control or comparison groups, because even if aid does not reach all communities immediately, it would be unethical to study a group prior to delivering assistance. In order to measure impact, baseline data is required but during emergency interventions there are several constraints:

• The need to deliver aid quickly takes precedence over data collection.
• Communities are traumatised and busy looking for loved ones, burying those who did not survive, and trying to salvage what they can from destroyed homes and businesses.
• Access may be difficult and bringing in enumerators to collect rigorous data places an extra burden on overstretched resources such as transport and accommodation.
• In emergencies where populations are displaced, it may be difficult to find respondents from the baseline when it comes to collecting endline data.
• Secondary data from the pre-emergency situation is not always reliable and may not give enough detail about the affected area for it to be useful.

The other issue is around attribution. One of the problems of past reporting is that some aid agencies have claimed more than their fair share of success in post-disaster programmes, for example by reporting changes brought about by more than one agency in the same community. The international context of rapid-onset emergencies is changing; there are more actors and more non-traditional ones such as the private sector. Non-governmental agencies can no longer claim that their interventions alone have brought about positive change.

At the same time, the coping mechanisms and efforts of community members, their friends and families, or small community-based groups, have not been acknowledged. The contribution or attribution question has plagued agencies for years but finally seems to have been resolved with contribution being seen as the obvious choice. Bearing this in mind, Oxfam formed a partnership with the University of East Anglia in order to develop a methodology that would measure the changes that had occurred in people’s lives following a post-disaster intervention. The idea behind the Contribution to Change approach is that the aid agency or other actors’ efforts are only a contribution to the recovery process and other factors also play a role in determining the extent to which recovery takes place. These could be negative, such as weather conditions or conflict, or positive, such as traditional community volunteerism. See Figure 1 for a visual representation of the Contribution to Change approach.

The Contribution to Change approach has also taken into consideration the constraints on baseline collection. Instead of relying on baselines, the approach uses retrospective data collection through recall around specific points in time: the pre-disaster situation serves as the comparison group. Thus respondents in the affected population are asked about their livelihoods pre-disaster (T-1), just after the disaster (T+1) and about eight months later (T-2), after aid provision. Figure 2 below shows this.

Although the timeframe refers to a disaster event (T0) it is only in rapid-onset emergencies such as the November 2013 typhoon in the Philippines that things are so clear-cut. Often there are several hazard events that affect recovery. This was shown during the piloting of the Contribution to Change approach in Sri Lanka, where communities spoke of several different hazards including recurring small floods, and did not necessarily talk about the headline-grabbing event (serious flooding that prompted a response by different agencies) as the most significant. In fact, one hindrance to recovery from the flooding was the elephants from a

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2 Humanitarian Emergency Review Response, n.l.

3 www.intrac.org

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Figure 1: The Contribution to Change: What is the relative importance of interventions in recovery?

Figure 2: Conceptual timeframe for a rapid-onset disaster
Monitoring and evaluation in a fragile state: Norwegian Church Aid’s experience

Norwegian Church Aid has been implementing an emergency water, sanitation and hygiene (WASH) programme for internally displaced persons (IDPs) in the North and South Kivu provinces of the Democratic Republic of Congo (DRC) since 1994. The programme has been implemented in Kalehe and Rutsuru territories, in Minova and Birambizo health areas respectively.

The North and South Kivu provinces have been affected by repeated wars in the DRC and there has been an observed increase in activities by armed groups in the two provinces. There have been population movements since 2008, following clashes between the National Congress for the Defense of the People (CNPD) and the national army, and more recently due to the presence of various armed groups including the Democratic Forces for the Liberation of Rwanda (FDLR).

Our approach to M&E

The purpose of carrying out monitoring and evaluation (M&E) of the WASH programme was to: check the quality and level of implementation; understand how far project objectives and indicators have been achieved; identify additional gaps that are not currently covered by the programme and that require intervention; and measure the impact of the project.

The main approaches that we took to M&E were:

- **Transact walks (systematic walks through the sites with local people)**
- **Interviews with various stakeholders including rights holders, local leaders, managers of IDP camps, hygiene committees, key staff in central offices in the health areas, and implementing partners**
- **Meetings with members of hygiene committees who are responsible for maintenance of IDP camps**

Successes and challenges

During the M&E process, our meetings with the hygiene committees went well and enabled us to collect general information about the following:

- **Trends in population movement in the IDP camps**
- **The level of building work achieved**
- **The level of the hygiene committees’ involvement in the project**
- **Gaps in the sites that still needed to be addressed**

We decided to undertake the transect walks so we could correctly identify priority areas and carefully assess accessibility. We hoped that walking and visiting the sites would enable us to see the problem areas and tailor solutions accordingly.

However, the transect walks did not go very well. We faced major challenges due to the tight timeframe allowed for data collection. The security context (i.e. the presence of armed groups) and poor accessibility conditions (i.e. broken bridges) also limited our access to certain project areas.

Solutions

In trying to overcome these challenges, we collaborated with NGO site managers and agents based in the camps. This helped us gather information and analyse all sites and activities in the area. It also helped us make joint decisions about necessary changes. We were able to develop a good mechanism for communication with local leaders to help us gain access to some hard-to-reach areas and monitor the security context. We also developed a short questionnaire format that we used to collect key information within a short time frame, without straying from the objective of our mission.

Lessons learnt

The following lessons can be highlighted from our experience:

- **In the context of our country, a good preliminary analysis of the security environment is essential before carrying out M&E in full swing. This analysis must be done before drawing up the terms of reference.**
- **Involving local leaders and relevant officials in M&E ensures greater project sustainability.**
- **Working with a local partner can help in providing access to some hard-to-reach areas despite security and logistical constraints.**
- **The involvement of beneficiaries in the M&E increases their sense of ownership.**
- **Meeting with other organisations to discuss implementation of M&E activities helps in measuring the effects of the project. This also helps us to assess the impact of our project on aspects other than WASH. For example, if we meet other NGOs working in health we can gain a better understanding of the epidemiologic data variation.**
- **Providing support to IDPs without also attending to neighbouring indigenous communities can be considered a form of discrimination between the two communities. This is important for the integration of ‘do no harm’ aspects of our project as well as to assess the level of collaboration between IDPs and indigenous communities.**
- **It is important to undertake capacity building of WASH staff in M&E to ensure that it is done effectively.**
- **Effective planning and M&E are necessary to ensure that the programme or project does not move away from its expected results.**

Conclusion

M&E activities are important during all phases of the project and require more serious attention given their goals.

A good study of the context in which the activity is taking place is necessary during the entire project. This helps us define the tools and stakeholders needed to implement the activity effectively.

NGOs are key providers of water infrastructure in Province Orientale, DRC, where state presence is limited.

Creating contextualised standards for emergency programming: Lessons learnt

‘Every emergency is different. Every emergency programme we implement needs to adapt to context. I’m concerned standardisation is not possible if we expect to have high-impact emergency programmes.’

The above was the first comment at a meeting on creating Standard Toolkits for Emergency Programming (STEP), attended by International Rescue Committee (IRC) technical directors three years ago, and many in the group nodded in assent.

The quote is illustrative of some of the issues the IRC faced when deciding whether to develop and implement STEP.

The proposal for STEP was that one toolkit would be created for each project that the IRC regularly implements in emergency settings, such as the delivery of clean water, the provision of primary healthcare, the distribution of non-food items, and so on. Each toolkit would contain standard definitions of beneficiaries, indicators, narrative content around indicators, and monitoring tools, among other items such as draft job descriptions and lists of training and programme materials.

The pros and cons of developing STEP, as mapped out in the meeting, are detailed below.

Possible pros

Increased speed of response as:

- The content of the toolkit is used as a starting point in developing proposals for emergency responses
- Training on key project elements would not need to be created from scratch each time
Other materials such as job descriptions and monitoring tools would already be available in draft form, therefore reducing start-up time.

Increased quality of programmes as:

• Each toolkit would be developed with the appropriate IRC technical and emergency experts, who are not available to work in every emergency response.

• An extensive review process would be undertaken to ensure every indicator, monitoring methodology, and so on, met both best practice and key feasibility requirements for emergencies.

Improved learning opportunities as:

• The toolkits are used over time in various emergency settings, which makes it easier to learn from previous projects and adapt new ones accordingly (as opposed to using varying indicators in each emergency)

• Using standard indicators can allow for data from various emergencies to be aggregated over time, providing opportunities for enhanced monitoring and evaluation.

Possible cons

Contextual variances in emergencies would not be addressed, resulting in:

• Programmes that are culturally inappropriate.

• Programmes that do not have a 100 per cent fit to the needs of the population (there may not be a toolkit for the identified needs).

Beneficiary input into decision-making may be compromised because:

• Emergency responders may arrive with a toolkit and simply implement, without consulting or empowering affected populations.

Lastly, standardisation may not always work, as donors have varying requirements.

ECONOMIC RECOVERY & DEVELOPMENT

• Economic recovery and development

• Recovery

• Return

• Resettlement

• Reintegration

GOVERNANCE & RIGHTS

• Governance

• Access to information

• Accountability

• Participation

• Aid effectiveness

• Rights

• Fundamental rights

• Human rights

• Water, sanitation and hygiene

• Health

• Social protection

• Legislation

• Policy

• Public services

ENVIRONMENTAL HEALTH

• Environmental health

• Water and sanitation

• Child health

• Maternal health

• Disease surveillance

• Disease control

• Health promotion

CHILDREN’S & YOUTH PROTECTION & DEVELOPMENT

• Children’s and youth protection

• Inclusion

• Protection

• Education

• Social protection

• Gender

• Gender-based violence risk reduction

WOMEN’S PROTECTION & EMPOWERMENT

• Women’s protection

• Gender

• Gender-based violence risk reduction

• Gender-based violence risk reduction

Overall, the IRC decided that the pros of creating the toolkits outweighed the cons and three years later, 20 of these toolkits are used widely by the IRC in emergencies around the world.

However, the process of creating the toolkits and addressing the potential disadvantages has taken significant time and resources, and we have learnt several lessons that can be used by others considering a similar approach.

One of the key lessons was the need to ensure that expert-level staff throughout the organisation developed each toolkit. This included technical, human resources, emergency response, monitoring and evaluation, and grants experts, among others. Gathering input and reviews from this cross-section of individuals increased the quality of the information and the diversity of situations to which it can be applied. This means that in each response, the toolkit can be quickly adapted to the culture, donor requirements, and varying need scenarios instead of starting from scratch.

The second key lesson is the need to accompany the toolkits with extremely strong accountability mechanisms. This includes beneficiary-driven needs assessments, which are done prior to programming to provide the basis for rapidly adapting the toolkit to ensure it meets cultural and contextual factors in the emergency. Additionally, multiple types of beneficiary feedback mechanisms should be systematically used to continue to adapt programmes throughout the response.

Lastly, it is important to recognise that while the 20 toolkits can be readily applied to many projects that the IRC often implements in emergencies, sometimes there will be clear needs for projects that do not have an accompanying step toolkit. In these instances, the IRC is best placed to provide this different type of project (that is clearly needed and prioritised by the affected population), the needs of the population take priority, and a new project will be developed.

On the whole, using the standardised toolkits and indicators in the field has received a positive response, including from the IRC’s emergency teams in the field and core donors. Feedback has shown an increase in speed, quality, and learning opportunities in emergency response. A continued focus on needs assessments and feedback mechanisms to ensure accountability and contextualisation has allowed the IRC to feel, overall, that the pros have outweighed the cons. We are now providing better, faster, and appropriate emergency response to affected people by emergencies worldwide. As the active pilots will help make sense of all the feedback during a validation workshop in early 2015. This last step in the pilot process will play a key role in orienting the finalisation of the EHA Guide. A final EHA Guide filled with new suggestions and a deepened utilisation focus should then close the curtain. Or not. As it is well known in this field, getting evaluations used is a better play when it doesn’t stop.

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The EHA Guide can be downloaded at: www.alnap.org/ghdb. It is available in English, French, and Spanish.

ALNAP’s Evaluating Humanitarian Action Guide: Understanding the pilot process

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The Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP) has long been developing and piloting guides for humanitarian practitioners. However, the Evaluating Humanitarian Action Guide (EHA Guide), which covers all steps of evaluating a humanitarian programme, is the first to be so extensively and actively piloted.

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Advocacy and Policy Influencing (Blended Learning)  
2-5 February; 2-6 March 2015; 24 March 2015  
Course fee: £850 (Delivered remotely via webinar and Skype)  
This course will give you the knowledge and skills to influence policy and practice in your own context. You will learn skills to help you plan and deliver an effective advocacy strategy, enhance your ability to lobby decision makers, and gain confidence in relating to different audiences. You will have the skills to analyse power dynamics and choose your advocacy activities so they have maximum impact.  
Part 1: Four days of training consisting of a daily three hours of trainer-delivered content (via webinar) and three hours of self-directed and peer learning. Part 2: 50-minute one-to-one coaching session via phone or Skype. Part 3: Final three-hour webinar. Throughout: independent work on resources and optional modules.

Gender Analysis and Planning  
18-20 February 2015  
Course fees: £699 (non-residential)/£850 (residential)  
Development planners and NGOs are increasingly committed to incorporating a gender perspective into their programmes. However, many face challenges in its practical and systematic application to their work. This course will enable you to effectively and systematically analyse contexts and plan development and humanitarian programmes from a gender equality perspective. This course is intended for gender advisers in NGOs and UN agencies, and development practitioners with an interest in gender mainstreaming.

Monitoring and Evaluation (Blended Learning)  
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Course fee: £850 (Delivered remotely via webinar and Skype)  
This foundation course is designed to develop individuals’ understanding of what monitoring and evaluation (M&E) entails, why it is so vital, and how to do it well and in a participatory way. This course ensures that those who are new to M&E have a thorough understanding of the concepts and skills to do M&E effectively. Participants will learn to use a range of M&E tools and activities that will help improve accountability, learning and effectiveness of projects and programmes.

Use of Evidence (Blended Learning)  
4-5 March; 16-20 March; 26 March 2015  
Course fee: £880 (Delivered remotely via webinar and Skype)  
In response to growing demand for support to practitioners, this course will help individuals to respond to evidence debates and challenges. In this course participants have the opportunity to develop their knowledge and understanding of evidence. Participants will learn the skills to identify sources of evidence, assess the quality of evidence, and integrate the use of evidence into your own work and organisation so that it is of high quality and can be used with confidence.

Theory of Change for Planning and Impact Assessment  
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Course fee: £1,150 (non-residential)/£1,399 (residential)  
This course introduces the elements of Theory of Change and offers the opportunity for practitioners to apply and experiment with the key ideas and processes using their own case studies as well as illustrative case studies presented by the course facilitator. Conceptually clear and very practical, this course will equip staff with the knowledge and skills to consider which elements of Theory of Change they can apply in their own organisational setting and how best to go about it.

Advocacy Planning, Monitoring and Evaluation  
25-27 March 2015  
Course fee: £699 (non-residential)/£850 (residential)  
This course will support practitioners with how to ensure monitoring and evaluation (M&E) is integrated into both planning advocacy initiatives and feeding into organisational learning and accountability. The course will focus on a variety of practical ways to meet the challenges of advocacy M&E. The course content draws on real-life case studies from our work in supporting organisations to develop advocacy strategies and from carrying out evaluations of advocacy initiatives. It deals with the challenge of how to assess contribution to change. Finally, it provides a series of practical tools which can help practitioners to develop and improve the advocacy M&E systems, in accordance with their organisation’s capacity and needs.