

## Module 3 – Sphere and the Project Cycle

### Trainers' Notes

**Module 3 is designed to enable participants to:**

- describe how the project cycle can enable and enhance humanitarian action
- use the Sphere handbook through each stage of the project cycle
- describe how the use of the Sphere handbook can increase quality, accountability and learning

**You can use Module 3 in number of ways, selecting from:**

- 6 x 90 minutes core sessions
- 1 x 180 minutes core session
- 5 optional exercises

In this way, you can run training of 2-3 days with this material.

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**Please:**

- review these materials carefully
- adapt them to meet the needs of your audience
- See Part 1: Trainers' Guide for guidance on maximising the impact of your training

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**Review the background note:**

- read it to become familiar with the core content and issues relating to this module
- consider if you want to send or email it to participants for them to read as preparation for your workshop
- consider if you want to give it to participants after the workshop as a reference guide
- see ` **Module 3 Background note** ' in the Module 3 section on the CD

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**Use this training material for:**

- all the trainers' notes relating to Module 3
- a toolkit of optional exercises and handouts which you may want to build into your training programme

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**Review the slides for this module:**

- use ` **Module 3 slides** ' on the CD
- see print-outs in Part 1: Trainer's Guide - PowerPoints

**For information and guidance on how to get the most from these training materials, including example agendas:** see Part 1: Trainers Guide, Planning.

CONTENTS
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	Use	Page
<b>Session 1:</b> <b>Context and the project cycle</b> 90 minutes	<b>Enable participants to:</b> <ul style="list-style-type: none"> <li>describe the steps in the project cycle</li> <li>describe the factors that influence the analysis of humanitarian contexts</li> <li>demonstrate how to use the Sphere handbook to analyse the humanitarian context</li> </ul>	<b>199</b>
<b>Session 2</b> <b>Sphere and assessment</b> 90 minutes	<b>Enable participants to:</b> <ul style="list-style-type: none"> <li>define the purpose of assessment in humanitarian response and its place in the project cycle</li> <li>describe what bias is, and how it might influence an assessment</li> <li>define how standards and checklists can enhance assessment</li> <li>describe the role of key indicators in assessment</li> <li>recognise that the project cycle is an iterative process, and that initial assessment is a first stage</li> </ul>	<b>207</b>
<b>Session 3:</b> <a href="#"><u>Sphere and analysis</u></a> up to 180 minutes	<b>Enable participants to:</b> <ul style="list-style-type: none"> <li>define the purpose of analysis and where it happens in the project cycle</li> <li>demonstrate how to use the Sphere handbook in problem analysis</li> <li>define how the Sphere handbook can enhance the quality of analysis</li> <li>identify practical analysis techniques and tools to use with the Sphere handbook</li> </ul>	<b>225</b>
<b>Session 4:</b> <a href="#"><u>Sphere and programme planning</u></a> 90 minutes	<b>Enable participants to:</b> <ul style="list-style-type: none"> <li>list the principles of project planning and identify where it happens in the project cycle</li> <li>demonstrate how to use the Sphere handbook in project planning</li> <li>demonstrate how to use the Sphere handbook with a logical framework</li> <li>demonstrate how to use a gap identification chart in coordinated project planning</li> </ul>	<b>243</b>

<b>Session 5:</b>	<b>Enable participants to:</b>	<b>257</b>
<a href="#"><u>Sphere and monitoring and evaluation</u></a>	<ul style="list-style-type: none"> <li>• discuss and contrast key elements of monitoring and evaluation</li> <li>• select and apply priority key indicators from the Sphere handbook to a specific project</li> <li>• describe how to set up a monitoring system for a humanitarian project</li> <li>• select, adapt and 'operationalise', or implement indicators for a specific project</li> <li>• describe how emergency situations constrain monitoring and evaluation</li> <li>•</li> </ul>	
90 minutes		
<b>Session 6:</b>	<b>Enable participants to:</b>	<b>269</b>
<a href="#"><u>Beyond the project cycle</u></a>	<ul style="list-style-type: none"> <li>• list ten critical issues facing the humanitarian system.</li> <li>• identify which of those issues could be addressed through application of the Sphere handbook</li> </ul>	
90 minutes		

**Total time for sessions I - 6 = about 10 hours**

## Optional toolkit

In addition to the six 90 minute sessions, there is a range of optional exercises. These enable you to use the modules flexibly to meet the specific needs of your audience. Review these exercises to see how you can build them into your training programme to enhance impact and retention.

Further optional exercises are available in other modules and on-line at: [www.sphereproject.org](http://www.sphereproject.org)

Optional toolkit exercises	Use	Page
<b>1: <a href="#">Case study Rwanda</a></b> <b>Case study</b> 90 minutes	<ul style="list-style-type: none"> <li>this optional exercise is an alternative case study to Session 1: Context and the project cycle</li> <li>this exercise has the same introductory material on the project cycle as Session 1, but in the case study focuses on the multi-donor evaluation of Rwanda.</li> </ul>	<b>277</b>
<b>2: <a href="#">Minimum Standards and the project cycle</a></b> <b>Brainstorm of standards and indicators</b> 90 minutes	<ul style="list-style-type: none"> <li>reinforce understanding of the project cycle</li> <li>build awareness of how the Sphere handbook can help at stages of the project cycle</li> <li>challenge highly experienced groups to compare their knowledge and experience with the information in the handbook</li> <li>without preparation whenever groups need more time to understand the project cycle</li> <li>at any time during module 3 to illustrate the project cycle or examine Minimum Standards and key indicators in more detail</li> </ul>	<b>287</b>
<b>3: <a href="#">Implementing the Sphere indicators</a></b> <b>Work based assignment</b> 120 minutes	<ul style="list-style-type: none"> <li>enable participants to use the Sphere handbook on their own project</li> <li>prompt participants to start using the Sphere handbook when back at work</li> <li>encourage participants to work on this exercise with their colleagues involved in Monitoring and Evaluation activities, for example, project managers, field officers, and logistics</li> <li>as an assignment to give to participants as follow up to reinforce the learning that has occurred</li> <li>an assignment to be completed in between two short seminars, where the second seminar opens with a review of the answers to this assignment</li> </ul>	<b>289</b>
<b>4: <a href="#">Local monitoring and evaluation practice</a></b> <b>Small team work / Group discussion</b> 90 minutes	<ul style="list-style-type: none"> <li>help reinforce understanding of why monitoring and evaluation is important</li> <li>practice identifying the key stakeholders in a project, and what they want from monitoring and evaluation</li> <li>in a field-based workshop, in either a single-agency setting or in an interagency setting</li> </ul>	<b>296</b>

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**5: [Evaluation exercises](#)**

**Quiz and team exercise**

40 minutes

- experience the importance of not making assumptions or jumping to conclusions when evaluating

**299**

As follow up to Module 3: Session 5 on monitoring and evaluation



## Module 3

### Session 1: Context and the project cycle

#### Overview

#### Learning objectives

**At the end of this session participants will be able to:**

- describe the steps in the project cycle
- describe the factors that influence an analysis of a humanitarian context
- demonstrate how the Sphere handbook can be used to analyse the humanitarian context

#### Main messages

- contextual and other dynamic factors influence humanitarian relief programmes. They should be recognised and factored into project design and implementation
- the project cycle is a useful framework for visualising humanitarian work, and for monitoring changes in the context
- the Sphere handbook provides a tool to objectively analyse a humanitarian context, but should not be used in isolation

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**Timing** ⌚ **90 minutes.**

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**Method** Presentation/lecture / Team work – Context case study / Group discussion

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**Resources needed** Laptop / data projector / screen / flipchart and pens / The Sphere handbook

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**Visual aid** PowerPoint slides / Handout 'Mitch case study'.

#### Preparation

- check whether this case study is the most appropriate for your group. an alternative case study on Rwanda is available in Optional Exercise 1
- photocopy handout 'Mitch case study' for each participant
- prepare for visual aids as described in Part 1: Trainers Guide

## Session 1: Context and the project cycle

Time	Activity
<b>5</b>	1: Introduction
<b>10</b>	2: Brainstorm on context
<b>40</b>	3: Team work: Case study
<b>10</b>	4: Activity: The project cycle
<b>15</b>	5: Presentation: The project cycle
<b>10</b>	6: Conclusion
<b>90</b>	TOTAL TIME

You can find copies of all the slides in this Module in the PowerPoint section at the back of Part 1: Trainers' Guide.

### Activity 1: Introduction 5 mins

☐ Show slide: 'Title slide: Module 3'

Keep this slide on screen while people arrive and settle in for the session.

When you are about to start, you may want to show the session title slide: 'Module 3 Session 1: Context and the project cycle'.

#### Welcome the group.

Explain that:

- Module 3 focuses on the project cycle
- the other sessions in Module 3 focus on key stages in the project cycle, from assessment through to monitoring and evaluation
- in this session we're going to look at an overview of the project cycle and focus on applying it to a case study

☐ Show slide: 'Learning objectives'

#### Explain the objectives for the session:

- to describe the steps in the project cycle
- to describe the factors that influence the analysis of humanitarian contexts
- to demonstrate how to use the Sphere handbook to analyse the humanitarian context

**Review the agenda and go through any housekeeping points.**



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## Activity 2: Context and influencing factors

### 10 mins

Lead a discussion on the specific context in which the training event is occurring.

**Ask them:**

- have you any examples from this country (or another country in which you have worked) of contextual factors or biases that have influenced the analysis of the humanitarian situation?
- for example, cultural bias and assumptions about needs leading to inappropriate aid being provided, or political/economic agendas
- how did these examples influence the humanitarian situation?
- how were these managed? Please give examples
- how these were mitigated? Please give examples

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## Activity 3: Case study


### 40 mins

**Give each participant a copy of the handout: 'Mitch case study – Central America.'**

☐ Show slide: 'Mitch case study'.

**Ask them to:**

- read through the case study
- check whether they need any clarification about the material.
- keep the map on the slide on display while they read the study

 Allow up to 5 minutes.

☐ Show slide: 'Context issues'

**Explain that:**

- effective disaster response depends on a clear understanding of the situation
- a range of issues affect the context humanitarians work in, for example
- economic, social, political
- climate and geography
- organisational
- cultural and psychological
- gender issues
- human rights
- and the social norms and local capacities to cope with the disaster

☐ Show slide: 'Information constraints'

**Explain that:**

- to gain a clear understanding of context, you need an effective way to gather and manage data and information
- there are many barriers to effective information management in humanitarian organisations
- for example, individuals usually are given an information gathering role on top of their already busy workload
- many staff do not feel involved with information, or understand how it contributes to their work
- even if they are collecting data, they may not necessarily understand why
- often feedback is neglected, with neither the community affected nor the data gatherer hearing the result of the research
- project information systems tend to be more focused on quantitative data than qualitative
- there is a training challenge, as the individuals may be unqualified for data collection and information management



Allow up to 5 minutes.

**Ask them:**

- to work in teams of five or six
- assign each team somewhere to work (breakout rooms, corners of main room etc)

**Ask each team to:**

- nominate a spokesperson
- list the 'contextual factors' in the study (e.g. political, geographical, social etc.)
- discuss how they might influence the effectiveness of the humanitarian response

**Explain that:**

- they have 15 minutes to prepare their ideas
- when they have finished, their spokesperson will be asked to present their conclusions to the rest of the group
- they need to aim to make a presentation of no more than two minutes, with or without flipcharts



Allow up to 15 minutes.

**Ask each spokesperson in turn to:**

- present their team's conclusions
- only to mention factors that have not already been raised

**You may want to record ideas on a flipchart.**



Allow each team up to 2 minutes to present, up to a total of 15 minutes across the group.

**In the time remaining, review the activity with the group, and explain that:**

- disaster contexts are dynamic, the context changes over time, and needs to be monitored

- contextual factors should influence the design of humanitarian relief programmes
- contextual factors will influence the results of humanitarian programmes

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## Activity 4: The project cycle

### 10 mins

#### Explain that:

- the project cycle is a key way to manage humanitarian projects
- the initial assessment and analysis stages enable us to prepare more effective plans and implement these with greater impact
- it also gives us a more reliable and systematic framework with which to monitor and evaluate projects

#### Ask individuals to:

- draw an example of a project they have worked on following the stages of the project cycle

If they need reminding of what the project cycle is, you may want to show and explain the slide 'The project cycle' at this point.

Ask one or two volunteers to put their examples of project cycles on the flipchart.

Review these, and if appropriate, complete the representations on the flipchart.

#### Explain that:

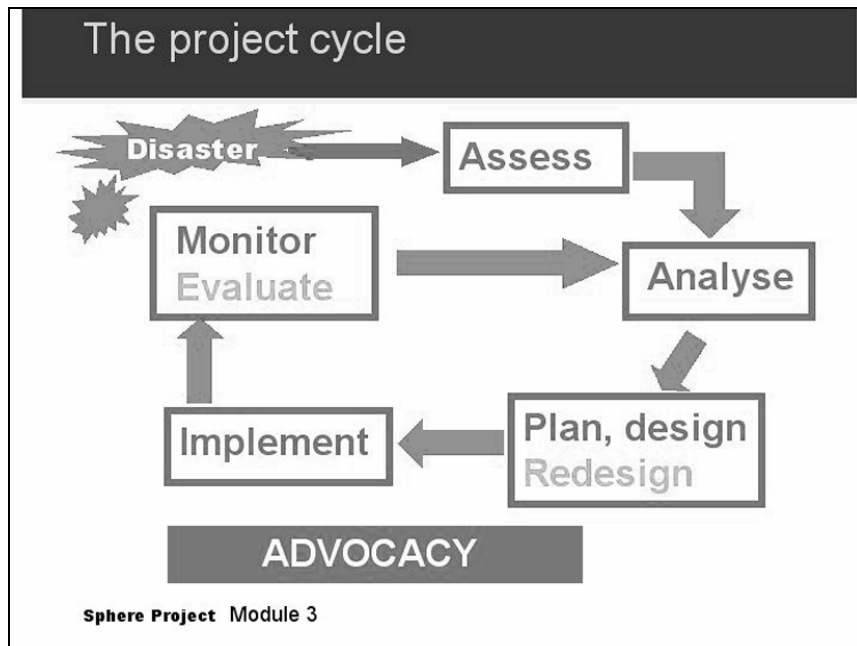
- there are different cultural interpretations of the idea of a 'project cycle'
- however there is consensus that, whatever the cycle looks like, it should be a continuous and iterative process, changing in response to new information
- humanitarian work needs to remain relevant to the changing context

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## Activity 5: Presentation

### 15 mins

☐ Show slide: 'The project cycle'



**This is a build slide. First, explain that:**

- this is one way of thinking about the project cycle, as a 'spiral'
- the project starts in reaction to a disaster happening

**As the slide continues to build around the project cycle, explain that:**

- the first key stage is assessment: collecting data and identifying the needs
- then analysis: transforming assessment data into information and prioritising the problems
- then planning: using analytical information to design projects
- this is then put into action in the implementation stage
- then monitoring for continuous follow-up of the project, and collecting data
- evaluation involves analysing the data gathered during monitoring data, judging how effective and appropriate the project was and making recommendations

**Explain that:**

- advocacy reminds us that a respect for fundamental human rights underpins all of these steps

⌚ Allow up to 5 minutes to talk through the project cycle.


**Ask the group:**

Why is the project cycle on the slide iterative, repeating its loop?

**Explore this question in a discussion or brainstorm.**

**Aim to bring out the following points:**

- because firm information will only emerge over time, so the cycle helps us to compensate later and challenge and replace inadequate information gathered earlier
- because the situation is constantly and rapidly changing in emergencies
- this means that the project team will need to change and reorient the project as circumstances and the information they have available changes
- because organisations learn as they implement projects and improve as they learn

 Allow up to 10 minutes for the brainstorm or discussion.

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## Activity 6: Conclusion

### 10 mins

**Wrap up the session by revisiting the objectives and checking whether the participants feel they have been achieved.**

**Explain that:**

- 'humanitarian space' may be defined as the combination of resources and access to populations in need by humanitarian actors
- you can use the Sphere handbook to advocate for increased humanitarian space, and as a useful reference tool for project cycle work
- however, it must not be used in isolation, but with as full as possible understanding of the context in hand. The following sessions in Module 3 explore how to use the Sphere handbook at each stage of the project cycle

## Session 1: Mitch case study – Central America<sup>1</sup>

### Handout (1 page)

On 28 and 29 October 1998, Hurricane Mitch pummelled the Central America region, taking an estimated 9,000 lives, displacing millions, and causing approximately US\$6.2 billion in damage. Mitch's fury dealt a crippling blow to one of the hemisphere's most vulnerable regions where the cumulative effects of frequent natural disasters are exacerbated by long-standing social, ecological, economic and political vulnerability.

The human and environmental destruction caused by the storm captured the attention of the international community and prompted an immediate and generous outpouring of emergency humanitarian assistance from individuals, aid organisations, foundations, governments and multilateral financial institutions. In many ways, the most significant story of Hurricane Mitch is the heroic efforts of Central Americans and international donors to save lives and contain the crisis by preventing the outbreak of epidemics and widespread starvation.

Beyond immediate humanitarian relief, Central American countries were faced with the daunting task of rebuilding their countries. This was especially the case in Honduras and Nicaragua, which sustained over 80% of the destruction. Almost immediately, two conclusions were reached about the long-term prospects for the region:

The governments of Central America recognised that rebuilding was too great a task to assume alone. As poor, heavily indebted nations, they sought the support of the international donor community. Governments, civil society, and donors all recognised that reconstruction should not be limited to rebuilding what had existed prior to the storm. Rather, it should extend to a broader transformation of the region, leading to long-term sustainable development and reduction of the environmental and social vulnerability that had exacerbated the storm's impact.

The role of the international donor community in the transformation of Central America is a matter of special interest to civil society and policymakers in Central America and developed nations. With traditional bilateral assistance in decline and access to below-market development financing increasingly scarce, donor nations, multilateral institutions and recipients are eager to ensure that humanitarian aid be effective in addressing the problems of social and environmental vulnerability. In the case of post-Mitch Central America, there is particular interest in determining whether international aid is contributing in a significant way to the long-term transformation of the region (...)

#### **Preliminary observations and assertions (extract):**

Disaster preparedness and the role of civil society: In the immediate aftermath of the disaster, Central American governments and international donors depended heavily on the capacity of civil society to respond to the humanitarian crises. Churches, community groups and local non-governmental organisations met many of the needs for emergency food and shelter, short-term medical care, provision of seeds and tools etc. In many hard-hit areas, where local and national government capacities were weak, national and international civil society organisations had the local knowledge and the operational capacity to respond quickly to a community in crisis (...)

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<sup>1</sup> "Responding to Natural Disaster: The role of the Inter-American Development Bank's lending in rebuilding Central America after Hurricane Mitch", WOLA and InterAction Report for Madrid Consultative Group Meeting, March 2001.

*"This report forms part of an initial effort by civil society groups in donor nations to assess the impact of donor efforts to rebuild and transform Central America based on the principles articulated and endorsed at the Stockholm Consultative Group Meeting in May, 1999."*

## Module 3

### Session 2: Using Sphere in assessments

#### Overview

#### Learning objectives

- at the end of this session participants will be able to:
- define the purpose of assessment in the humanitarian response and its place in the project cycle
- describe what bias is, and how it might influence an assessment
- define how 'Common Standard 2: initial assessment' and the assessment checklists for each technical chapter can enhance the assessment processes (2004 edition)
- describe how the key indicators may be used as a tool in assessment
- recognise the project cycle as an iterative process, and assessment as a first stage

#### Main messages

- the Sphere assessment standard states that humanitarians should understand the basic conditions that create risk for people affected by disasters before action is taken
- assessment involves the process of collecting information as the first step in to understanding the basic conditions
- the key indicators and guidance notes in the standard for initial assessment describe a process to facilitate understanding of the conditions involved in a specific disaster
- bias in assessments can be mitigated by the use of standard indicators
- the key indicators are qualitative and quantitative
- the key indicators are global in nature, and are therefore not all appropriate for any given context or moment in time, making appropriate indicator selection critical. However, practitioners will need to justify why they feel a specific indicator does not apply to their project
- using the key indicators and assessment appendices can facilitate joint assessments and coordination

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**Timing** ⌚ **90 minutes.**

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**Method** Presentation/lecture / Team work / Group discussion

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**Resources needed** Laptop / data projector / screen / flipchart and pens / The Sphere handbook

**Visual aid** PowerPoint slides

## Preparation

Prepare a drawing or photocopy of each of the four/five sector symbols from the cover of the Sphere handbook. Put each symbol on a separate sheet, and make them large enough to be seen from across a room.

Photocopy handouts for each participant:

**'Domistan background'.**

**'Recent developments in the Domistan response'.**

**'Terms of Reference'.**

Photocopy enough copies of each **'Organisational profile'** handout for the members of the team focusing on that organisation.

## Session 2: Using Sphere in assessments

Time	Activity
<b>15</b>	1: Introduction
<b>60</b>	2: Case study
<b>15</b>	3: Presentation and Conclusion
<b>90</b>	TOTAL TIME

**You can find copies of all the slides in this Module in the PowerPoint section at the back of Part 1: Trainers' guide.**

### Activity 1: Introduction

15 mins

☐ Show slide: 'Title slide: Module 3: Session 2 Using Sphere in assessments'.

**Keep this slide on screen while people arrive and settle in for the session.**

☐ Show slide: 'Learning objectives'

**Explain the objectives for the session:**

- to define the purpose of assessment in the humanitarian response and its place in the project cycle
- to describe what bias is, and how it might influence an assessment
- to define how standards and checklists can enhance assessment
- for example the initial assessment standard and the assessment checklists
- to describe the role of key indicators in assessment



- to recognise that the project cycle is an iterative process, and that assessment is a first stage

☐ Show slide: 'Project cycle' again, and demonstrate where on the project cycle assessment is.

**Explain that:**

- assessment is the first stage taken by accountable and responsible humanitarian response organisations

☐ Show slide: 'Balancing speed and accuracy in assessments.'

**This is a build slide. First, explain that:**

- initial assessments cannot be perfect
- they represent a balance between speed and accuracy

**Next, explain that:**


- how useful they are depends on both speed and accuracy
- however, they can provide a snapshot in time of what is happening and are the start of a process

☐ Show slide: 'The assessment/monitoring process'

## Common standard 2

### Initial assessment

“Assessments provide an understanding of the emergency situation and a clear analysis of threats to life, dignity, health and livelihoods to determine, in consultation with relevant authorities whether an external intervention is required and, if so, the nature of the response.”



**Sphere Project Module 3**

**Explain that:**

- assessments are the first step in a cycle of managing information – data is collected in assessments
- this is why assessment is so important to get right, as it determines the quality and type of information available to the project team for decision making

**Lead a brief group discussion. Ask the group the following questions:**

- who has experience of assessment?
- what was the purpose of the assessment?
- how was the assessment conducted?
- were any problems encountered?

**Ask the group:**

what are the different ways to collect information in an assessment?

**Write down the ideas contributed, and review them with the group.**

**If not covered by the group, suggest the following examples:**

- observation
- interviews
- study of background documents
- statistical surveillance

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## Activity 2: case study and preparing an assessment

### Terms of Reference

**60 mins**

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#### RECOMMENDED OPTION

Give out the handout 'Domistan background' the night before the workshop.

If possible, form the five teams in advance and also distribute the organisational profiles to each team.

If this is possible, when this session starts, give out the second page of the case study ("Recent developments in the Domistan situation".)

**Give out the handout: 'Domistan background'.**

**Ask them to:**

- read the handout

**Check whether they need any clarification**

☐ Show slide: 'Domistan map.'

**Ask participants to:**

- work alone
- note three questions they have about the situation in Domistan

 Allow 5 minutes to read the handout and note down questions.

**Recognise that second language groups of participants may require more time.**

**Divide the group into five teams in the following way:**

**Taking each chapter image at a time, ask:**


**'What does this represent?'**

- give the drawing to the first person who correctly guesses
- repeat this until you have covered all four or five symbols

**Ask the five people with drawings to stand along the back of the room.**

**Now ask the group members to run to the team in which they wish to work.**

**Try to encourage the teams to ensure that the group is evenly distributed according to size, experience, gender and background.**

 Allow 5 minutes to define the teams.

**Give out:**

- the handout 'Organisational profile' for the sector they are working on to each team member
- the handout 'Terms of reference for initial rapid emergency assessment instructions' to each participant
- flipcharts and pens to each team
- if necessary, clarify the task instructions for writing a Terms of Reference, and remind teams to nominate a spokesperson

**Explain that:**

- they have 30 minutes to draft the Terms of Reference on the handout, discuss and agree these as a team, and prepare a flipchart to present to the rest of the group
- after 30 minutes they should be ready to display their work

**Circulate around the teams, offering help and checking on the progress of the teams.**

Only if they need help, you may want to offer the following guidance:

- Terms of Reference section 1 can be found in the Analysis Standard 1 at the beginning of each chapter (2000 edition) or in Common Standard 2 (2004 edition)
- Terms of Reference section 2 can be found in the case study
- Terms of Reference section 3 can be found in the assessment checklists or key indicators in each technical chapter

**Ensure that they refer to their Sphere handbook during this activity to obtain the information required quickly and accurately.**

 Allow up to 30 minutes for them to complete their flipcharts.

**When they have completed their flipcharts, ask them to:**

- display their flipcharts
- walk around to look at the other flipcharts

 Allow up to 3 minutes for them to review the other flipcharts.

**Bring the group back together.**

In the time remaining, lead a group discussion.

**The following questions may help:**

- were sources of information mentioned in the Terms of Reference?
- was language from Sphere handbook used?
- if so, from what part of the book? Why did they use it?
- if not, why didn't they use it?
- were the Terms of Reference concise, clear and helpful in focusing teams to do an initial rapid assessment?
- what additional guidance might teams require?
- were points made clearly in ways that would provide adequate guidance without limiting the operational flexibility of the team?
- which of the Sphere Minimum Standards and key indicators were used?
- which checklist points go beyond the Sphere handbook?
- was the Sphere handbook useful in this checklist preparation?

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## Activity 3: Presentation and Conclusion

15 mins

**Bring this session to a close by running a short presentation.**

☐ Show slide: 'Common Standard 2'

**Explain that:**

- in order to understand a situation, we need to first collect information
- the Sphere handbook makes clear that conducting assessments is an obligation
- the Sphere handbook can help improve the quality of assessments as a reference to ensure that assessments are consistent while we balance speed and accuracy

 Allow 1 minute.

☐ Show slide: 'Indicators'

**Explain that:**


- indicators are tools that we use to manage information
- they are signals that show whether a standard has been attained
- they provide a way of measuring and communicating both the impact, or result, of programmes as well as the process, or methods, used

**Explain that:**

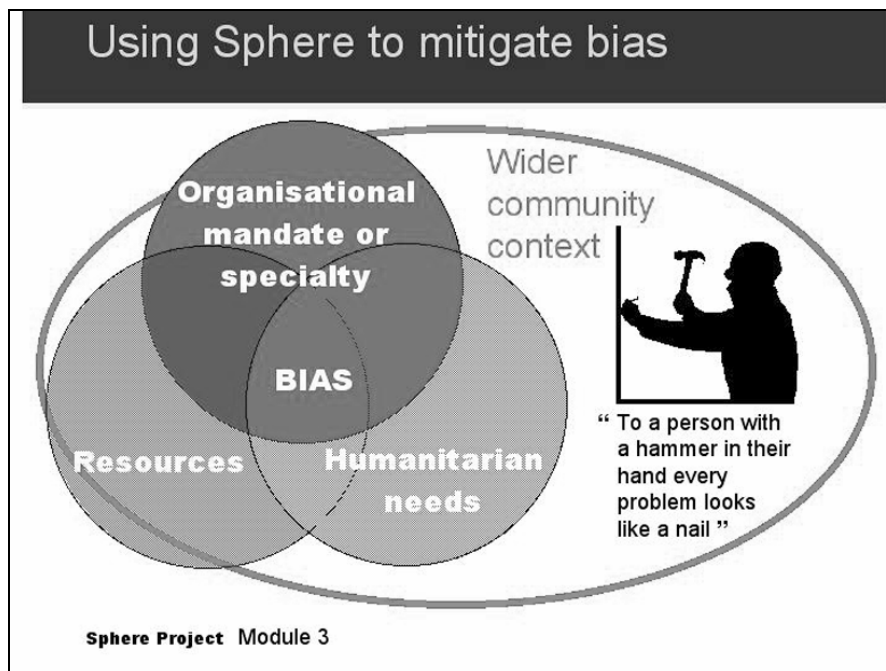
- one of the most significant problems in the quality of assessments is due to bias
- the goal of assessments is to collect accurate information in order to analyse problems and decide what to do
- unfortunately everyone will have a different perception of the context, based on cultural background, family situation, education and experience
- these different perceptions make it difficult to collect accurate information

**Ask the group:**

Can you give examples of what might bias an assessment? (for example gender, geographic, cultural, mandate etc.)

 Allow 3 minutes.

☐ Show slide: 'Using Sphere to mitigate bias.'



**This is a build slide.**

**First, explain that:**

- our organisational mandate or speciality, and the available resources, will influence what we observe while carrying out an assessment
- we will only get part of the picture of humanitarian needs
- in fact, the triangle in the middle of this diagram illustrates that the combination of the mandate and resources may provide an assessment that gives only a very small part of the picture of the humanitarian needs

**Next, explain that:**

- even these needs are themselves only a part of the wider community context and possible root causes of the disaster

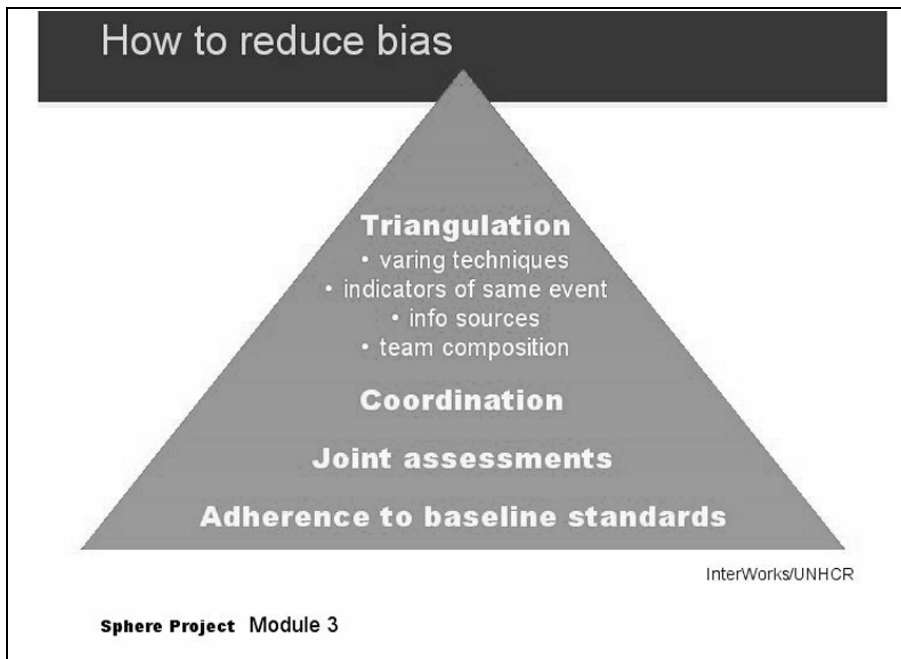
**Finally, explain that:**

- when you specialise in a particular type of solution, you are more focused on finding problems that you are familiar with handling

*in the words of the old saying: 'To a person with a hammer, every problem looks like a nail.'*

⌚ Allow 2 minutes.

☐ Show slide: 'How to reduce bias.'



**This slide builds using the following points. First, explain that:**

- there are four main ways to reduce bias
- first, triangulation

**this involves checking and comparing data against data gathered from other sources, for example**


- using different techniques
- using different indicators to measure the same event
- using different information sources
- drawing on the different views, skills and experiences of people on the team
- next, coordination with other people to pool and compare data
- next, carrying out joint assessments
- finally, adherence to baseline standards

**Explain that:**

**We are going to look at the role of baseline standards in more detail**


- if people follow baseline standards this helps mitigate bias by ensuring that assessment procedures are very visible and not forgotten, and that the assessment questions are based on universally agreed indicators
- by using standard indicators, there is less opportunity for bias between different assessors
- the key indicators in the Sphere handbook are useful assessment tools and may be qualitative or quantitative
- they are global in nature and not all may be appropriate for any given context and time
- so, selecting the right indicators is therefore critical, as is justifying why you feel an indicator does not apply in your situation

- using objective indicators to ask questions while assessing should improve the quality of assessments, and facilitate joint assessments and coordination

 Allow 2 minutes.

☐ Show slide: 'Assessment Standards in Sphere'

**Ask participants to find the assessment standard and sector checklists in their handbook and to review them individually.**

 Allow up to 5 minutes.

**In the time remaining, review the learning from this session against the learning objectives.**

## Session 2:

### Domistan background

#### Handout (2 pages)

Domistan is a small country with a GDP of US\$100 per capita, with no mineral wealth and completely ignored by the major world powers. Bordering on the ocean, with a capital city on a cliff overlooking a harbour, the country is divided into two main geographical regions:

- the lowlands, an agricultural area, which contains rich fertile soil and a major river that terminates in a vast delta
- the plateau, 2000 metres higher. The plateau is bisected by Domistan's border, existing from colonial times, with Neighbour Country. The plateau contains the major cities and economic power

**Two distinct ethnic groups make up the population of Domistan (and Neighbour country):**

- **the Low People** are agriculturists
- **the High People** are plateau cattle herders who have turned to commerce in the past century

30 years ago, a coup d'état in Neighbour Country resulted in a low-intensity civil war between the Low and High peoples which has never ended. The government and army in Neighbour Country are dominated by High People, who are fighting a mobile and elusive Low People resistance army. The coup caused many deaths, and caused 100,000 of the Low ethnic group to flee to Domistan. They spread out through the lowlands of Domistan, becoming labourers and small tenant farmers.

The Low refugees are one of the oldest caseloads of UNHCR and face two key challenges:

- they have never been considered citizens of Domistan
- they are afraid to return to Neighbour country where the government also fears the shift in power if they return

Most of the world has forgotten them, and they survive mostly using their own means, while UNHCR's donors are growing tired of the yearly subsidies.

Domistan has its own internal security problems. When the Low refugees arrived, militia groups accompanied them, bringing into Domistan a significant number of light weapons, some of which they sold to obtain cash. Faced with farm labour as the way to survive, most of the militia groups did not disband and turned instead to crime.

For 30 years the lowlands of Domistan have been wracked by insecurity. The multi-ethnic police force and national army (consisting mainly of High People) seem to be in constant battle with bandits, whom the army claims to be Low People. Domistani Low People resent the refugees for causing violence, but all Low People are united when oppressed by the national army. Inflammatory political statements and discriminatory policies by the political parties and government of the Domistan elite make peace difficult. The result is that terror groups roam the countryside in a running battle with the army, claiming political



motivations for their actions, but sustaining themselves with the profits of theft and extortion. Pockets of the lowlands are cut off for months at a time due to insecurity, and the population bears the brunt of the suffering in food shortages while both the army and rebels seem to be getting richer each year.

As in other developing countries, the gap between the rich and poor continues to grow. Most of the new wealth is on the plateau, where rapid growth created a debt crisis and the consequent devaluation of the currency has led to hyper-inflation.

This year, extraordinarily high levels of rainfall in the mountain source of the river through Domistan caused unprecedented flooding and near complete destruction of the year's crop throughout the Domistani lowlands. Faced with starvation, a large number of people fled the lowlands to find refuge in Southtown on the plateau.

## Session 2: Recent developments in the Domistan response Handout (1 page)

(This information was provided by a news story sent around the world on wire services.)  
Southtown has a population of 100,000. When the displaced Low people arrived, the town's municipal authority – under political pressure from the capital – placed them in and around a disused chemical factory on the edge of town

Representatives of the High and Low parties in town have been making dramatic statements in the local press about the causes of the population displacement, and have each been blaming the other party for responsibility.

The local clinics and hospital are completely overwhelmed. The one doctor in town claims that the population has doubled, and visits to the hospital have increased tenfold. She gave examples of severe physical trauma – bullet and knife wounds, beatings and many cases of rape. In addition a large number of psychosomatic complaints in the displaced group have been recorded: severe headaches, mysterious internal pains, sleeping difficulties and memory loss. She also said that the number of deaths in town had increased by a factor of five.

Leaders of the displaced population claim that everyone is robbed by “bandits” before arrival in Southtown, and that they have literally nothing of value left.

In spite of the apparent danger of returning to Neighbour Country, the border post closest to Southtown has reported 100 people a day crossing the border away from Domistan.

The Reuters reporter, when touring the chemical factory site by car, noted that thousands of people were camping in the open under cardboard and plastic shelters. Human waste was everywhere, and many people were sitting listlessly next to their shelter. Upon seeing a foreigner in the car, several mothers rushed forward, thrust newborn babies at the reporter and asked him to take the children “away”.

Upon publication of the wire story in the foreign press, several international NGOs made announcements that they were starting fundraising campaigns and were sending teams into Domistan to help.

The office of the president in the capital, just about to complete a major new private sector investment deal, is highly sensitive to any negative international press. The president sets up a disaster management committee consisting of a coalition of the major political parties, which as its first act, orders the Ministry of the Interior to get the situation under control. The Ministry in turn calls a meeting in the capital with the major long-standing humanitarian organisations in the country. A decision is made to mount a **rapid assessment mission** consisting of five organisations: UNHCR, Donor X, F.O.O.D., the National Red Cross/Red Crescent Society, and the local Domistani Sisters group.

## Session 2: Terms Of Reference for initial rapid emergency assessment Handout (1 page)

### Section 1: Overview

Describe in five sentences the purpose of the assessment and the approach to be taken in collecting information. Identify sources of information.

### Section 2: Major dynamic issues

List no more than five major issues that are particular to this emergency context, both environmental and organisational, including those that are likely to change. The initial rapid assessment should report on these issues and also identify any other issues not envisioned, but essential to this emergency. The purpose is to provide baseline information on context.

(Refer to the Domistan case study background and recent developments.)

### Section 3: Checklist of information to collect

Propose a checklist of questions for the initial rapid assessment team to ask to guide their information collection. The purpose of this checklist is to ensure that the team does not forget particular technical or methodological issues when undertaking the assessment in a sector. It also ensures that the assessment is undertaken with reference to an unbiased benchmark, and forms the baseline for future impact monitoring. The checklist should be of reasonable length (about 10 items) and be in order from highest to lowest priority.

## Session 2: Organisational profile 1: International NGO – F.O.O.D. Handout (1 page)

### **Food Security and Food Aid**

The F.O.O.D. mission statement for its Domistan programmes includes promoting food and economic security for all people in the country regardless of ethnicity.

F.O.O.D. is a large and established, confederated, multisectoral international NGO. For many years it has been working in the food security area in Domistan and prides itself in forming partnerships at the international and at the local level.

In Domistan it is the main implementing partner of WFP and the two organisations have a long-standing Memorandum of Understanding (MOU). WFP has a small presence in Domistan, concerned with representation and logistics. The MOU between the two organisations states that responsibility for the food commodities transfers from WFP to the NGO at the exit door of the main WFP warehouse in the capital city port.

The NGO has often implemented food-for-work activities over the years to promote food security through such things as household cereal banks and crop diversification, although the commodity has been low-nutrient polished rice.

Organisational issues include an increasing pressure from headquarters to recover administrative costs locally. Conflict is brewing within the international confederation between the different sections of F.O.O.D. International, with each wanting increased operational profile for their domestic fundraising purposes.

Tension exists locally with WFP because WFP has calculated internal transport, storage and handling (ITSH) rates that are insufficient for the extortionate prices that local transporters are demanding to work in the insecure areas. WFP also is making noises about wanting more visibility for its contributions to Domistan. High staff turnover in F.O.O.D. has resulted in poor accounting and there is confusion about commodity losses and payments to transport and warehousing suppliers.

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### **Task:**

- complete the 'Terms of Reference for initial rapid emergency assessment' in Southtown for your sector
- identify potential sources of information for your assessment team

## Session 2: Organisational profile 2: UNHCR Handout (1 page)

### **Shelter, Settlement and Non-Food Items**

The mandate for UNHCR with respect to the newly displaced population is to continue to protect those amongst the displaced population who are refugees, and to provide adequate shelter, clothing and other facilities which enable the entire displaced population to live with dignity.

UNHCR in Domistan has been struggling with the protection issue for years. The Low refugees from Neighbouring Country had automatic refugee status upon arrival thanks to the good negotiation skills of the representative at the time. All have temporary identity cards. The security issue and the often heavy-handed response by the army has meant that each rotating protection officer in UNHCR continually runs training and education on refugee rights.

Frustrated with the low interest of its donors in Domistan, UNHCR's activities largely centre around economic generation projects to help the Low refugees attain a level of self-sufficiency so that they can be independent of foreign assistance. It will retain a presence in Domistan until the refugees return home, and has stocks of shelter and repatriation kits in the capital city awaiting a repatriation programme.

UNHCR, in the implementation of its economic assistance activities, works principally with an international NGO concerned with long-term development and high quality technical assistance. This NGO has seconded technical shelter experts to UNHCR.

### **Organisational issues include:**

- continual conflict with the government over the treatment of refugees in the lowlands
- demands from the international NGO partner for cost recovery of their technical assistance
- A new representative has just arrived

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### **Task:**

- complete the 'Terms of Reference for initial rapid emergency assessment' in Southtown for your sector
- identify potential sources of information for your assessment team

## Session 2:

### Organisational profile 3: The National Red Cross/Red Crescent Societies and ICRC

Handout (1 page)

#### Health Services

Their mandate for the emergency in Southtown is to provide sufficient curative health facilities to enable the population to live with dignity.

The National RC/RC society has been working largely in the health sector for many years throughout the country, providing clinics and other public health services for the refugees and their hosts. It has a wide network of volunteers from both the plateau and the lowlands, which it says proves that the majority of the population in Domistan are peaceful moderates, willing to help fellow citizens irrespective of ethnic identity.

Because of the civil war, ICRC has a major presence in Neighbour Country and good support infrastructure in Domistan. They have supported the National RC/RC society for many years. ICRC is also operational in Domistan, and works to protect the civilians who are caught in the fighting between the rebels and army and who are often isolated from markets for months at a time.

One organisational issue is that while the National Red Cross/Red Crescent Society works very closely with the national government's Ministry of Health, the Society does not receive any funding from the national government. It has a large number of volunteers listed on its official records, but some members – mainly doctors and trained medical personnel – complain that the lists are very old and that most of the names on them no longer represent people interested in serving in any capacity. Recent membership drives in the larger cities have been promising however, and the Society has been seen as growing in the last two years.

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#### Task:

- complete the 'Terms of Reference for initial rapid emergency assessment' in Southtown for your sector
- identify potential sources of information for your assessment team

## Session 2:

### Organisational profile 4: The Domistani Sisters

#### Handout (1 page)

#### **Water Supply and Sanitation**

Their mandate for the emergency in Southtown is to provide adequate water and sanitation facilities to enable the population to live with dignity.

Originally started as the charitable wing of a religious order, the Domistani Sisters is a local NGO that provides relief to victims of conflict and calamity in the country. Working in any sectoral area that is needed, the group has a strong emphasis on charity, and courageously operates in the volatile and insecure areas of the Domistan lowlands. It often runs soup kitchens, and has through circumstance developed a good technical capacity in the rehabilitation of water systems. Recently it joined an international alliance of NGOs and has formed a special partnership with one in particular. This international NGO has seconded several water experts to the Domistani Sisters to build capacity in the water sector.

Recently the charismatic and energetic founder has retired, leaving a vacuum in an organisation used to being completely controlled and directed by one person. A new director has been appointed, who despite having good ideas about partnerships has not yet been able to install a solid management system. The international water experts are providing much-needed technical expertise but are expressing dissatisfaction at the poor management culture of the organisation.

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#### **Task:**

- complete the 'Terms of Reference for initial rapid emergency assessment' in Southtown for your sector
- identify potential sources of information for your assessment team

## Session 2:

### Organisational profile 5: Donor X

#### Handout (1 page)

#### Food Security and Nutrition

The mandate for the Southtown emergency is to undertake joint work with the food and nutrition unit of the Ministry of Health to:

- determine the nutritional status of the population
- intervene where necessary to enable the population to live with dignity.

Known as a “middle power” in international circles, Donor X is under increasing public and political pressure at home. A shift to the right of the political spectrum has meant that the public and a cynical media have been asking for clearer results from the country's modest foreign aid budget (and simultaneously calling for its reduction!). As Domistan is a major recipient of Donor X funds, they are experimenting with an increasingly operational style, with the dual agenda of contributing and demonstrating in media-friendly images the results of their work. In Domistan they have just created a nutritional monitoring unit.

Donor X has formed a joint food security and nutrition project with the Ministry of Health. The local aid representative of Donor X is attempting to use the operational nutrition unit to act primarily in a capacity-building role to the Ministry of Health.

One organisational issue is that members of the powerful Friends of Domistan lobby group in Donor X are pushing for more spending for relief of the suffering in Domistan. The current administration is willing to pursue more direct activities in the country, but insists on a high level of monitoring and control of all funds used as it wishes to avoid charges of misuse of taxpayers' money. While the senior programme officials in Donor X approve all programme expenditures, the field staff of the newly designed nutritional team are all young technical experts without any previous experience in governmental or foreign service.

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#### Task:

- complete the ‘Terms of Reference for initial rapid emergency assessment’ in Southtown for your sector
- identify potential sources of information for your assessment team



## Module 3

### Session 3: Sphere and analysis

#### Overview

#### Learning objectives

**At the end of this session participants will be able to:**


- define the purpose of analysis and its place in the iterative project cycle
- demonstrate how to use the Sphere handbook in problem analysis
- define how the Sphere handbook can enhance the quality of analysis
- identify practical techniques and tools that can be used in conjunction with Sphere Minimum Standards and key indicators for analysis


#### Main messages

- the Sphere Minimum Standards and key indicators (both qualitative and quantitative) can be used as analytical tools
- for the quantitative indicators, measurable information is compared against a benchmark (observation). This must be combined with qualitative analysis to determine the underlying reasons for the observed situation
- poor assessment information will lead to poor analysis, regardless of the indicators you are using

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#### Timing

 Approximately **180** minutes. This allows for detailed discussion within teams as well as detailed feedback on some of the technical indicators in the handbook.

 Alternative: **90** minutes if the group is experienced. To run the shorter session, reduce the time for team work, and feedback discussion.

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**Method** Presentation/lecture / Team work / Group discussion

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**Resources needed** Laptop / data projector / screen / flipchart and pens / The Sphere handbook

**Visual aid** PowerPoint slides

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#### Preparation

Photocopy the handouts to give to all participants.

Prepare for the visual aids as described in 'Part 1: Trainers' Guide'.

Handout: '**Results of initial rapid assessment by the multi-sectoral team as reported to the Domistani Ministry of the Interior**' for each participant

Handout: '**Analysis Matrix Answer Sheet**' for each participant.

## Session 3: Sphere and analysis

Time	Activity
<b>15</b>	1: Introduction
<b>75</b>	2: Case study
<b>60</b>	3: Case study feedback and discussion
<b>20</b>	4: Conclusion
<b>10</b>	5: Review
<b>90</b>	TOTAL TIME

**You can find copies of all the slides in this Module in the PowerPoint section at the back of Part 1: Trainers' Guide.**

### Activity 1: Introduction

15 mins

☐ Show slide: 'Module 3 Session 3. Using Sphere in analysis.'


**Keep this slide on screen while people arrive and settle in for the session.**

☐ Show slide: 'Learning objectives'

**Explain the objectives for the session:**

- to define the purpose of analysis and where it happens in the project cycle
- to demonstrate how to use the Sphere handbook in problem analysis
- to define how the Sphere handbook can enhance the quality of analysis
- to identify practical analysis techniques and tools to use with the Sphere handbook

☐ Show slide: 'Project cycle' again, and demonstrate where on the project cycle programme analysis is.

 Allow 2 minutes.

**Explain that:**

- the key indicators can be used as an analytical tool

**Draw a thermometer on a flipchart.**

**Ask the group:**

- 'what is fever?'

**If not raised by the group, explain that:**

- fever is an indicator of illness

**Draw a red line on the thermometer to indicate body temperature.**

**Explain that:**

- thermometers have built-in analytical tools to say where body temperature is

**Ask:**

- what is analysis?
- gather some ideas from the group. You may want to write these on the flipchart

**If not raised by the group, explain that:**

- analysis includes the action of comparing an observed state to a known or agreed benchmark

**Ask:**


- once you know that fever exists, you know that the person is sick, have you enough information for a doctor to prescribe a cure?

**If not raised by the group, explain that:**

- no, because you need to understand the context of the fever - was it infection, malaria etc

**Explain that:**

- the Sphere handbook serves as an analytical tool
- however this must be combined with qualitative analysis to determine the underlying reasons for the observed situation

 Allow 5 minutes.


☐ Show slide: 'Some analytical lenses'

**Explain these are some issues we have to take into account in our analysis:**

- analysis of gaps in available resources - where is aid most needed?
- social, political and economic analysis
- analysis of use and control of resources
- identifying demographic compositions – what is the population mix like?
- technical and sectoral analysis
- capacities and vulnerabilities – how vulnerable is the community to disaster and what capabilities can it draw on to cope?

**Explain that:**

- analytical 'lenses' like these help us to organise assessment information so that we can understand the context
- they help us to get a more complete picture

 Allow 2 minutes.

☐ Show slide: 'Capacities and Vulnerabilities Analysis'

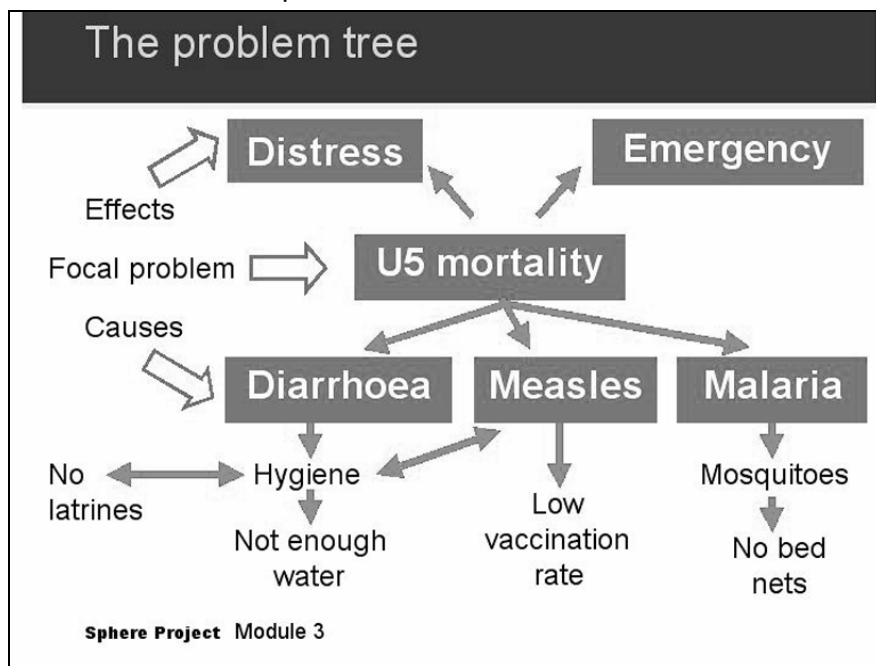
**Explain that:**

- analytical tools **help organise assessment information** so that we can understand the context by looking through different lenses
- here is an example of a tool which helps us take into account two aspects of a community

- as we have seen, you can analyse a situation in terms of the community's capacities and its vulnerabilities
- this tool, Capacities and Vulnerabilities Analysis helps you to think about these factors in important categories
- for example, it focuses not only on the physical well being of the individual, but also their attitude and motivation, and issues relating to their wider society

⌚ Allow 2 minutes.

☐ Show slide: 'The problem tree'



### Explain that:

- this is an example of a simple analytical tool, the problem tree
- it helps us to analyse the cause and effect relationship of a number of factors in a complex situation

**If necessary, describe how to draw a problem tree.**


**To do this, practice using the builds in the slide.**

**This slide builds step by step from:**

- the focal problem, under 5 mortality
- causes
- effects

**Explain that:**

- there are various qualitative indicators in the Sphere handbook that help humanitarians analyse different areas such as social, demographic, political, economic, technical as well as the use and control of resources

 Allow 4 minutes.

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## Activity 2: Case study

### 60-90 mins

☐ Show slide: 'Domistan map'

**Ask them to work in the same groups as they did for the Terms of Reference exercise in Session 2.**

**Explain that:**

- we are going to continue with the Domistan case study
- the initial assessment mission has returned and has collected information which has been summarised in this matrix of results

**Give out the handout: 'Results of initial rapid assessment by the multi-sectoral team as reported to the Domistani Ministry of the Interior' to each participant.**

**Ask them to:**

- read through the document
- check they understand the team assignment at the top of the matrix

**Review the three steps of the exercise:**

- 1 – agree five or more priority rows for your sector
- 2 – conduct a diagnosis of those rows (i.e. is it above or below the benchmark defined in the Sphere handbook?)
- 3 – choose a focal problem and draw a problem tree showing as much of the context as you can

**Check if any clarification is needed.**

Use a flipchart to demonstrate an example of how to determine the population figure from the two rows provided in the matrix as an analytical tool.

**Explain that:**

- determining population is key
- population figures in emergencies are often unreliable, contentious and disputed
- for example, aid agencies may sometimes be accused of making the figures higher in order to strengthen their case for more resources

- for example, governments may sometimes be accused of keeping the population figures low for political reasons, such as playing down the emergency
- given the fast changing nature of the emergency it is difficult to gather reliable data on population movement
- therefore, it may often make sense to take an average from the best population figures available, and assume that greater accuracy will be possible in future

**Use a flipchart to demonstrate how to determine the CMR for Southtown.**

**Ask what CMR is.**

**Explain that:**

- excess mortality exists when the crude mortality rate (CMR) exceeds the prevailing mortality rate of the surrounding population in an emergency setting
- the rule of thumb for excess mortality and therefore an emergency is 1 death per 10,000 persons per day

**Calculate on a flipchart, using advice from the group.**

The note below may help.

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#### **Calculating Crude Mortality Rates**

**Draw data from the handout: 'Results of initial rapid assessment'.**

Total the deaths for a given number of days

Already calculated as 75 per day

**Divide the total by the number of days over which data were gathered - this gives the average number of deaths per day.**

There are 75 deaths per day

**Divide this number by the size of the affected population.**

Estimated size of affected population is 150,000

This is based on the town's population before the influx: 100,000 plus 50,000 new arrivals.

The average of the two estimates for new arrivals

(20,000+80,000) divided by two.

75 divided by 150,000 = 0.0005

Multiply by 10,000 for a daily Crude Mortality Rate.

CMR = 5 deaths per 10,000 per day

**Therefore this is an emergency (more than 1 death per 10,000 per day).**

**Give the time for groups to complete the diagnostic/problem tree task:**

**60-90 minutes depending on the group's experience.**

**Ask teams to:**

Select a facilitator, editor, and presenter to share the team's findings with the group.

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## Activity 2: Case study feedback and discussion

60 mins

**Ask each team to make a small presentation of their case study diagnostic, including:**

- their priority rows
- a diagnosis of those rows
- a problem tree

**Remind them to keep their presentations to a maximum of five minutes each.**


**Encourage other teams to ask questions or make comments following each presentation.**

**Lead short discussions, where appropriate, on specific technical indicators in the Sphere handbook.**


**This should be an opportunity for participants to obtain an appreciation of the level of sophistication of technical information available in the handbook.**

**Use the handout 'Analysis Matrix Answer Sheet' to facilitate the discussion, but do not give it out until after the presentations.**

 Allow 5 minutes for each team presentation, followed by 5 minutes of discussion.

 Allow a total of 50 minutes for all the case study presentations.

**When the last group has finished, give out handout 'Analysis Matrix Answer Sheet' to all participants.**

 Allow a few minutes for individuals to read through the answer guide, and refer to the handbook for references. This is a very rich opportunity for workshop participants to understand analysis and identify what is available in the handbook.

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## Activity 4: Conclusion

20 mins

**Call the group back together.**

**Lead a group discussion on the usefulness of the Sphere handbook in problem analysis.**

**The following questions may help:**

- what primary information is needed to verify that standards are being met? (population and demographics)
- of the five rows, how many were selected by one other team?
- were any rows selected by all the teams as a priority? Which ones?
- which sectors give more precise, quantitative indicators?
- which give more qualitative indicators, and why?
- is it likely in an emergency that different stakeholders have different assessment data? Could this be due to bias? How?
- what analysis techniques can be used to clarify information when different assessments yield differing data?
- what analysis about specific sectoral information can be deduced from information in other sectoral areas?
- was the handbook useful in analysing the assessment data?

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## Activity 5: Review

10 mins

**In the time remaining, explain the following points in conclusion:**

- the selection of focal problems, for example when using problem tree analysis, is typically a function of organisational mandates or interests
- this is an explicit bias, which is a natural and realistic use of scarce analysis resources. Coordination enables humanitarian agencies to ensure that there are no gaps in delivery to address the problem
- the Sphere Minimum Standards and key indicators assist in analysing the severity of problems
- poor assessment information will lead to poor analysis, regardless of the benchmarks and indicators used

**Briefly review the session against its learning objectives, and discuss main messages.**



## Session 3:

### Results of initial rapid assessment by the multi-sectoral team as reported to the Ministry of the Interior

#### Handout (4 pages)

#### Group task

- read the assessment results and chose 5 or more priority rows from the matrix for your sector. Justify your group's consensus on this choice
- conduct an analysis of those 5 rows
- write a problem tree for the focal problem for your group's sector

Type of Information	Qualitative aspects	Quantitative aspects	Source
Population	Adults and children appear healthy, new arrivals all have refugee status.	New arrivals approximately 20,000 Population of the town was 100,000 before the influx, average town family size 4, displaced family size 7.	Municipality of Southtown
Population	A mixture of status refugees and displaced Low people have arrived.	Total number of new arrivals is estimated at 80,000.	IDP leadership
Movement	New arrivals are exhausted, malnourished, some are wounded, many incidences of rape among women, and all without assets.	New displaced people are continually arriving, rate of 1000 per week. Those leaving from the border are about 10 per day.	Reuters
Deaths	Some deaths of children reported due to measles/diarrhoea/malaria. Some deaths due to traumatic injury	Before any displaced people arrived, Southtown the mortuary used to process 450 people per month. Now there are 75 deaths per day	Municipal mortuary
Illness	Measles outbreak reported last month. LRTI (lower respiratory tract infections), malaria is prominent	50% of all medical complaints relate to diarrhoea	Red Crescent/ Red Cross
Water	Current water source is combined from small local river and shallow wells. River source is not controlled, and river itself flows from a heavily populated valley in Neighbour country. Shallow wells good and protected with	Estimated 30,000 litres of water available from hand pumps per day.  River source provides potential 500 cu. metres of water per hour, actual consumption from this source not measured.	Domistani Sisters organisation

	a concrete apron and hand-pump. There are always long lines at hand pumps, which are 1 km from the site.		
<b>Sanitation</b>	Most of the IDPs are living in a new shanty-town self-built from plastic, pasteboard and building material scraps. Numerous public latrines stink badly, there are no separate toilets available for women and men.	650 public pit latrines have been constructed. There is a schedule for voluntary cleaning of the latrines.	IDP sanitation team leader
<b>Sanitation</b>	Rubbish in various places around the site. Markets in camp have few bars of soap, and a price equivalent to one week's ration cards.	One disposal pit is at the edge of the site, rubbish is burned daily. No bed nets are evident in shelters or the factory. No evident vector control programme.	Visual inspection
<b>Site area</b>	Site looks very crowded. Small alleys snake between small makeshift shelters. Large areas of standing water are in and around the camp, especially near water taps and washing areas.	The Government has provided a failed industrial Development Park property measuring 2km long by 1.5 km wide. A large abandoned fertiliser factory building sits in the middle, and is being used for mass shelter as well as the self-built shelters surrounding it. Roughly one-half of the open area is unusable due to the low lying swampy area.	Ministry of Interior and aerial photography
<b>Mass shelter</b>	The abandoned fertiliser factory is an un-insulated metal structure with galvanised steel wall panels and roof. Some barrels of unidentified chemical remain on site.	There are approximately 8,000 people taking shelter in this building that has a gross floor area of 6,200 sq. metres.	Architect's plans housed at the Ministry of Public Works
<b>Self-built shelters</b>	Most shelters are self-built with plastic sheeting used for additional protection on the roof.	Analysis of aerial photography reveals approximately 5000 shelters each approx. 16 square metres.	Air photo verified through on-site correlation of sample areas
<b>Nutrition</b>	People on streets in search of food. Parents report their children are malnourished.	Demographic data suggested a before-influx prevalence of malnutrition (<-2 WHZ score): 12.6%. Simple screening exercises (using MUAC) suggest that children <5 yrs. global malnutrition prevalence of 20%.	Ministry of Health

<b>Nutrition</b>	The displaced population claims that for months at a time, they are cut off by the insecurity and are unable to purchase food from the markets.	Pellagra is evident throughout the camp population.	Ministry of Health
<b>Food</b>	IDPs have managed to get some food supplies into Southtown, mainly wheat and bean seeds in very small quantities, expected to be completely consumed within one week. The Domistani Sisters are providing bread and potato soup.	A door to door survey of 100 families asked about food reserves and access to food provided by others. 45% of families had less than 4 days reserve of food, 55% reported no food reserve. All families had access to at least one meal per person per day from soup distributions.	IFRC vulnerability survey
<b>Food distribution</b>	The traditional staple of the Low people is millet.	Some food was distributed, originally intended for food-for-work programmes. Approximately 20,000 one month rations (amounts to 1800 Kcal p.p./day) were given to IDP leadership and food basket is polished rice, some sugar and oil.	Ministry of Public Works
<b>Food security</b>	"The food distributed will slowly poison the Low people", claims the IDP leadership and while IDPs can supplement the ration with purchases in town, most of their assets were stolen by bandits en route to Southtown. Millet, fish and large quantities of vegetables are available in the lowlands.	What assets they do have, including the ration cards and dry goods buy half what they would have been able to last year because prices have risen so much.	IDP leadership
<b>Food pipeline</b>	Deliveries from the port have stopped because high staff turnover in F.O.O.D. have contributed to a loss in food accounts. Auditors have frozen all payments, and transporters are refusing to move more until they are paid.	WFP reports that a 30,000 tonne ship will arrive in 6 weeks containing a full load of millet, beans, oil, salt and sugar. The representative has some money available for local purchases. No blended food is part of the stock in-country.	WFP and F.O.O.D. International
<b>Cooking</b>	Traditionally Low people cook with clay-lined iron stoves but in the camp open fires are used.	Firewood is collected by hand in the mountains out of town, a 4 hour one-way journey by foot for each family	IFRC vulnerability survey
<b>Clothes</b>	People on the street look adequately dressed.	Door to door survey found 80% of children below age 8 with one full set of clothing, but without adequate winter clothes or shoes.	IFRC vulnerability survey

<b>Medical care</b>	An international medical NGO has begun a measles vaccination campaign. They are vaccinating all children under 10 years of age that report to their clinic, with a parent who requests the vaccination.	The NGO estimates that they have reached a coverage rate of 75% of children under age 10.	NGO report on reliefweb and to donors
<b>Medical care</b>	High numbers of traumatic injuries are overwhelming the town clinics and medical staff.	There is one clinic at the edge of the site allocated to the displaced persons, with a team of 5 rotating nurses. One hospital in town. Most medical stocks are being depleted at five times their normal rate, unfamiliar substitute antibiotics have been provided by an international medical NGO.	Ministry of Health
<b>Capacity</b>	Displaced minority farmers are together with their immediate families, their skills are in farming and hand work, light construction and day labour. Some minority IDPs have professional (university educated) skills.	Many of the minority IDPs have been hired on a food for work basis to run local service programmes. Dig latrines, and distribute bread and soup.	Domistani sisters, IDP interviews
<b>Coordination</b>	The Ministry of the Interior (MOI) coordinates all official humanitarian programmes in Domistan	There are three different coordination structures in effect, one for the UN agencies, one for the NGOs (60% participation by the NGO community) and one by the Government headed by MOI	Interviews with NGOs, UN agency officials and MOI
<b>Security</b>	High incidents of violence against women have been recorded in the displaced camp.	Most are occurring when firewood is being collected, but some also at the washing facilities.	Red Cross / Red Crescent
<b>Security</b>	Rape is used as a tactic by the army to demoralise the "resistance" army. There is no resistance army but a group of bandits who extort and rob at will throughout the lowlands.	The lowlands are an increasingly useful drug smuggling route. The Ministry of Interior prevents IDPs from living anywhere else than in the site allocated next to the factory.	IDP leadership
<b>Geopolitical issues</b>	General donor fatigue in the past five years for this non strategic low-level emergency.	Appeals for Domistan are usually met by 50%.	UN

## Session 3:

# Analysis matrix answer guide

### Handout (5 pages)

## Southtown assessment

Type of information	Indicator level from analysis of information given/learned	Guideline Emergency Indicator	Commentary
<b>Population</b>	Two figures are given: 20,000 from municipality, 80,000 IDP estimate	No guideline on total population figures for likelihood of an emergency. Various methods for determining population size: aerial survey, water consumption, under five vaccination rates, counting houses and average population per house. An average of the two can be taken as a quick reference, for verification by more objective methods later.	Emergencies may occur in any size population, large or small. Interest (agenda) of the source is key to this issue. Gov't wants to lower severity of emergency (yet by doing this inflates mortality rate), IDPs want to inflate figures because of resource implications.  AVERAGE 50,000 new IDPS. No differentiation made between status refugees and IDPs of Domistan.
<b>Movement</b>	1000 new arrivals per week, less about 70 per week who leave Domistan	No guideline as above.	An understanding of the political context will give an idea of future population movements, and help in planning
<b>Deaths</b>	Pre-emergency mortality rate for Southtown is 1.5/10,000/day If total pop. is 150,000 rate is 5/10,000/day	2/10,000/day = emergency 1/10,000/day = serious sit. 0.5/10,000/day = normal page 249/ <b>259</b> page 222/ <b>260</b>	Note the effect that the population number has on this primary indicator, i.e. if population # is artificially inflated, while the death count is accurate, the death rate indicator will appear better than actual situation (and vice versa)
<b>Illness</b>	Measles outbreak reported last month.	Any outbreak of measles in a vulnerable population is an emergency indicator and requires immediate on-site investigation. page 238/ <b>281</b>	Extent of danger depends on coverage rate of measles vaccination of the population (particularly children) Note: Vaccination at 15 months in Europe & NA. Nine months in Africa and all under 12 in disaster situation.

<b>Water</b>	If only water from pumps is used for drinking/cooking then : 0.6 l/p/d is available assuming no system losses or waste (using 50,000 figure)	Standard guidelines for water requirements are: See page 30/63  Doesn't account for any agricultural or livestock needs. The IDPs are farmers, do they have livestock?	Note that emergency Minimum Standards are different for longer-term maintenance standards. If water quality of river water is acceptable, there should be no problem with water quantity. Note that the low yield of water from pumps will force use of the river as a potable source, therefore investigation should be made as to the protection and quality of that source.
<b>Sanitation</b>	650 latrines / 50,000 = 77 people/latrine	20 people/latrine is planning guideline, or 1 per family unit preferred. page 36/71	Especially since these are communal latrines, many of these may be unused due to smell and lack of maintenance, meaning the situation might be worse than it appears by the numbers alone. Voluntary cleaning of public infrastructure may not be effective.
<b>Sanitation</b>	Open rubbish, no vector control, no bed nets	All populations have the right to have the means to protect themselves from vectors. page 40/77	Vector control and open rubbish has public health implications and may be contributing to high mortality rate.
<b>Site area</b>	2kmx1.5km, but half is unusable, total area 1,500,000 sq.m. giving total area of 30 sq.m./person	45 sq. m. per person minimum. page 204/215	Highly variable indicator, depends on many other factors, such as shelter type etc. Use as a rough indicator only. NB – Does not include area for agricultural use.
<b>Mass shelter</b>	0.77 sq.m. per person in factory	Min shelter guideline is 3.5-4.5 sq.m. per person under roof. page 189/221	Factory also may be contaminated by waste.
<b>Self-build shelter</b>	50,000 less 8,000 = 42,000 people  5,000 shelters at 16sq.m. each = 80,000 sq.m of temporary shelter = 1.9 sq.m. / person	Min shelter guideline is 3.5-4.5 sq. m. /person under roof. page 189/221	This guideline assumes one level of occupancy under the roof, i.e. no bunk beds or sleeping spaces above other sleeping or sitting areas. Note that the assumption of average family size is critical in establishing this indicator in this case, such an assumption needs correlation from field sample verification. Note also public health implications of extreme overcrowding, in addition to compromised dignity and security issues.

<b>Nutrition</b>	People in search of food, global malnutrition <5 20%	Note that before this level of malnutrition is considered serious, the pre-emergency level of malnutrition needs to be determined. page 105/146	Morbidity implications of malnutrition. May cause higher susceptibility to disease, which in turn may cause higher levels of morbidity.
<b>Nutrition</b>	Incidents of pellagra	There are no incidents of pellagra. page 90/137	May be caused by poor nutrient level food basket, or by periods when population is cut off from market access before displacement.
<b>Food</b>	Survey showed more than 50% of families with no food reserve.  Families have access to one pre-cooked meal per day.	Participation standard in food programme may not be being met. page 144/28  What kind of soup is it? Is the bread fortified? Is there sufficient protein provided? page 147/138  Is there any targeting for vulnerable groups? page 150/140	What is the source and methodology of the survey?  What is the food nutritive value of the bread and soup being distributed?
<b>Food distribution</b>	Coupons distributed Food distributed for 20,000 people at 1,800 Kcal Food commodities are polished rice, sugar, oil	Food distributions inadequate even if population figure was 20,000 as key indicator is 2100 Kcal. page 148/138  Food commodities do not provide protein source. Food must be locally acceptable, and familiar. page 147/158	Coupon system need careful evaluation
<b>Food distribution</b>	Bread shops and soup kitchens distribute to coupon holders. Coupons are distributed to heads of family based on family size.	Is soup and bread an adequate ration? Who decides who is the "head of family"? Is this distribution equitable? page 159/168	What plans are there for evolving this emergency response of cooked food distribution to a system that allows more control by the IDPs themselves?

<b>Food economy</b>	Food is obviously culturally inappropriate by IDP opinion. Families have little assets to supplement their rations, no economic security.	page 147/ <b>158</b>	Local purchases available which would reduce cost, and increase nutrition value, but inaccessible due to security.
<b>Food pipeline</b>	Deliveries have stopped because of poor stewardship. No blended food arriving in six weeks.	Food aid commodities are managed, tracked and accounted for using a transparent and auditable system. page 152/ <b>165</b> Need adequate micronutrient intake. page 90/ <b>137</b> page 108/ <b>152</b>	Micronutrient deficiencies already evident from pellagra. Need blended / fortified food or local foods.
<b>Cooking</b>	No safe or reasonable access to cooking facilities or fuel.	page 147/ <b>158</b> page 195/ <b>234</b>	Fuel wood presents security issue, and has social and public health implications. Mothers away from children will affect health of children. Fuel stoves.
<b>Clothes</b>	80% of children below age 8 with only one change of clothing, i.e. no winter clothing, and no shoes.	Lack of shoes is a problem in this climate. Winter appropriate clothing will also soon be an issue. page 193/ <b>230</b>	Again, what is the source of the survey? Were 100 families enough?
<b>Medical Care</b>	All children under 10 years of age are vaccinated against measles if a parent brings them in to the clinic. NGO estimates 75% coverage of children under 10.	Why are children under 10 targeted? Standard requires all children aged 6 months to 15 years have immunity against measles. page 237/ <b>275</b>	Relying on parents to bring children into the clinics for vaccination is probably not satisfactory. Also 75% coverage is insufficient in an outbreak. Also it is important to distribute vitamin A in this situation.



<b>Medical care</b>	Population using town medical facilities has increased by 50% yet no apparent increase in quantity of services. Also high levels of mortality due to inadequate curative facilities, possible inappropriate drugs	Population has a right to a appropriate medical care that reduces excess mortality and morbidity. page 249/ <b>259</b>	
<b>Capacity</b>	IDPs have mixed skills from manual labor and farming to highly skilled professionals.	Are IDPs involved in the distribution programmes? page 144/ <b>28</b>	Affected population should be involved to the extent possible in programming.
<b>Coordination</b>	Three separate coordination structures are in place, headed and implemented for the UN, NGOs, and National government services.	Local authorities are coordinating, as well as the UN and the NGOs. Is this appropriate? page n/a/ <b>33</b> page n/a/ <b>263</b>	Multiple coordination structures may be appropriate as long as these coordinating bodies are themselves coordinated with one another.  Also note that the NGO coordinating body has 60% of NGOs represented. Is this enough participation to be effective in such a body?



## Module 3

### Session 4: Sphere and programme planning

#### Overview

#### Learning objectives

At the end of this session participants will be able to:

- list the key principles of programme planning and identify where it occurs in the project cycle
- demonstrate how to use the Sphere handbook in project planning
- demonstrate how to use the Sphere handbook with a logical framework
- demonstrate how a Gap identification chart can assist in coordinating project planning

#### Main messages

- programme planning uses the analysis of the humanitarian context, including the current situation and root causes, and incorporates the culture, mandates, resources and capacities of actors to provide solutions
- ideally programme planning should be a coordinated effort to produce a strategy resulting in desired impacts – a life with dignity for all programme participants
- the logical framework is a useful planning tool, that works well with the Minimum Standards and key indicators
- gap identification sheets can be used to coordinate projects within an overall plan
- the Sphere handbook can assist with planning from the sub-project and technical level to coordinated programmes and policies

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**Timing** ⌚ **90 minutes.**

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**Method** Presentation/lecture / Team work / Group discussion

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**Resources needed** Laptop / data projector / screen / flipchart and pens / The Sphere handbook

**Visual aid** PowerPoint slides

#### Preparation

- photocopy handout: 'Project planning activity – Sector teams and coordinating task force' to give to each participant in the relevant sectoral group
- prepare for the visual aids as described in 'Part 1: Trainers' Guide'  
handout: '**Project planning activity – Sector teams**'  
handout: '**Project planning activity – Coordination task force**'
- if you are using the 'Donor' option in the feedback session, you may need to photocopy replica money, one note for each person

## Session 4: Sphere and programme planning

Time	Activity
<b>5</b>	1: Introduction
<b>10</b>	2: Review of planning tools
<b>60</b>	3: Case study
<b>15</b>	4: Conclusion
<b>90</b>	TOTAL TIME

**You can find copies of all the slides in this Module in the PowerPoint section at the back of Part 1: Trainers' guide.**

### Activity 1: Introduction

**5 mins**

☐ Show slide: 'Title slide: Module 3, Session 4'.

**Keep this slide on screen while people arrive and settle in for the session.**

☐ Show slide: 'Learning objectives'

**Explain the objectives for the session:**

- to list the key principles of project planning and identify where it happens in the project cycle
- to demonstrate how to use the Sphere handbook in project planning and with a logical framework
- to demonstrate how to use a gap identification chart in coordinating project planning

☐ Show slide: 'Project cycle' again, and demonstrate where on the project cycle programme planning is.

**Explain that:**

Programme planning is the third step in the project cycle, and review the previous two steps:

- assessment involves collecting data
- analysis involves processing data

**Explain that:**

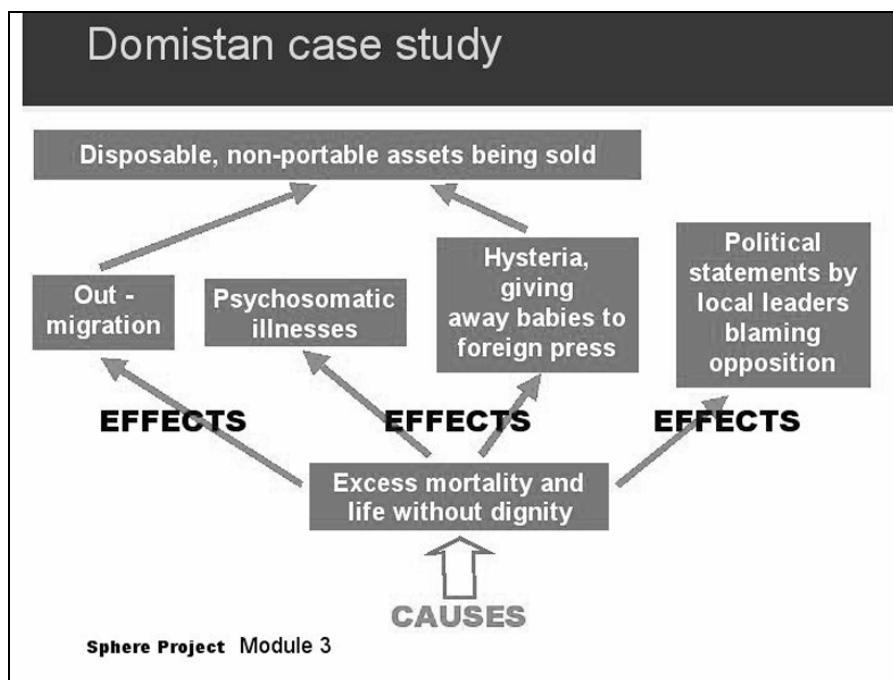
- project planning starts with an analysis of the specific and the wider problems in the disaster context
- projects are effective only in terms of impact on the local communities and practical, measured objectives

- project planning can be defined as a process that combines an unbiased problem analysis with available resources, organisational mandate, interests and capacity

**Explain that:**

- in this session we will build on the Domistan case study
- we are about to look at a key tool applied to this case study, problem trees

☐ Show slide: 'Domistan case study'

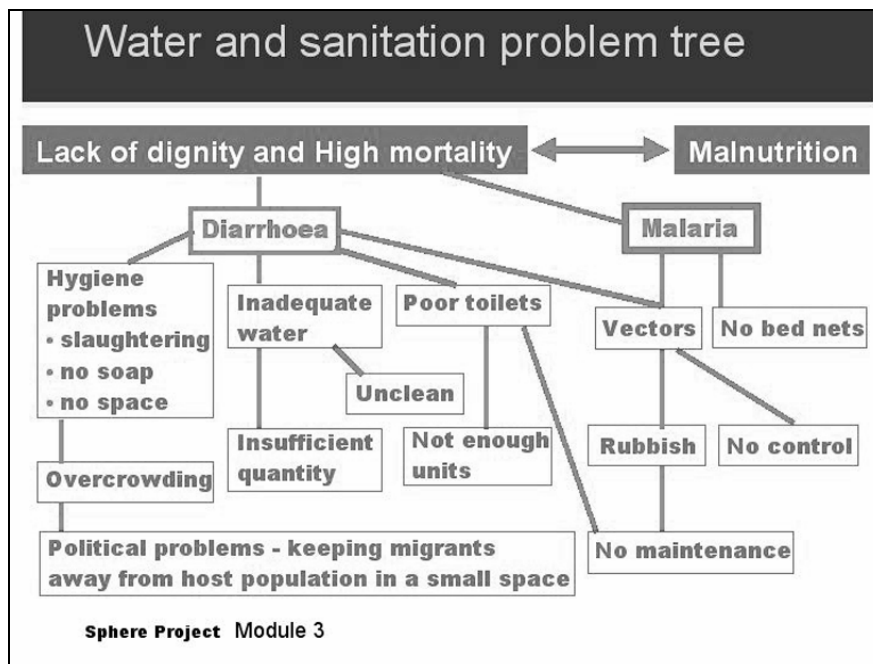
**Explain that:**

- here, the focal problem is 'excess mortality and life without dignity'
- this problem leads to clear effects seen in the disaster, for example the population leaving, hysteria, and assets being sold

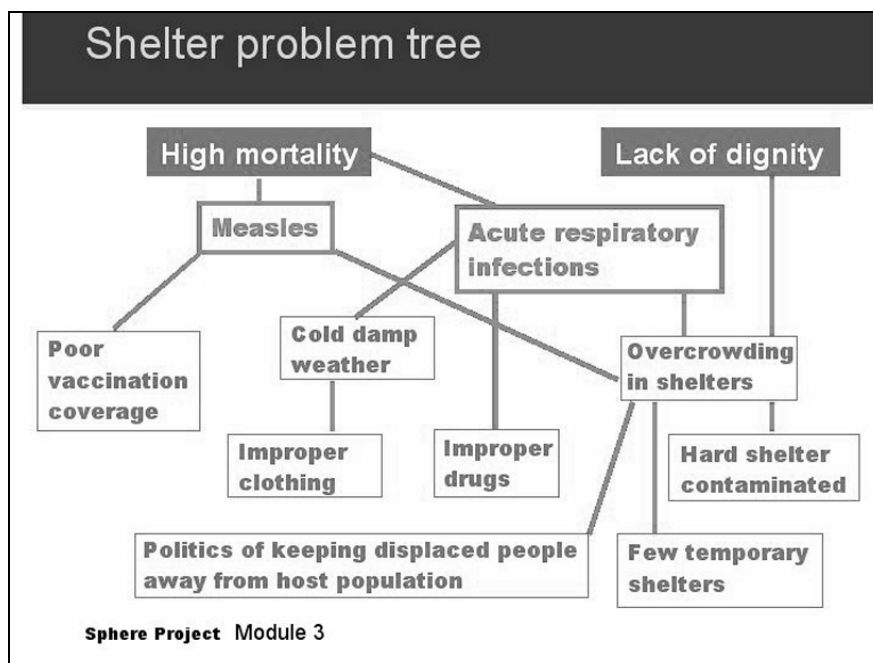
**Choose to:**

- review each of the following sector problem trees for the Domistan case study
- if you want to do this, allow at least 5 minutes more
- focus on the problem tree for one sector only

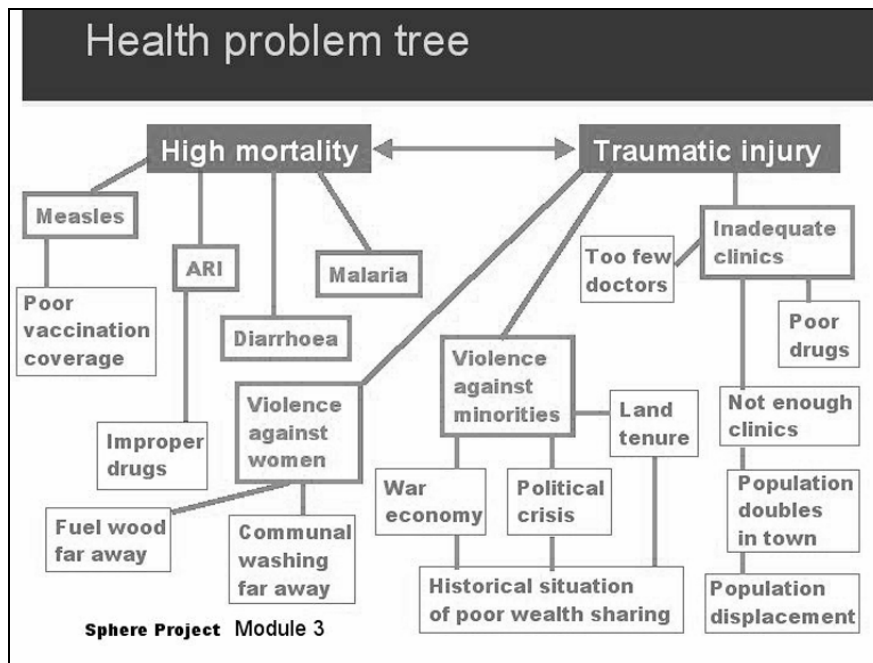
☐ Show slide: 'Water and Sanitation Problem Tree'



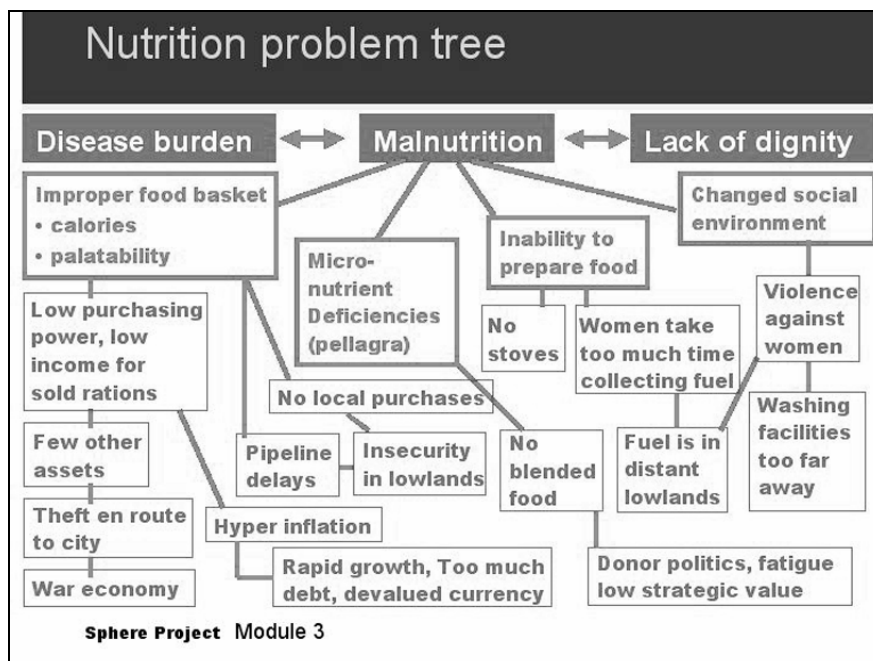
☐ Show slide: 'Shelter Problem Tree'



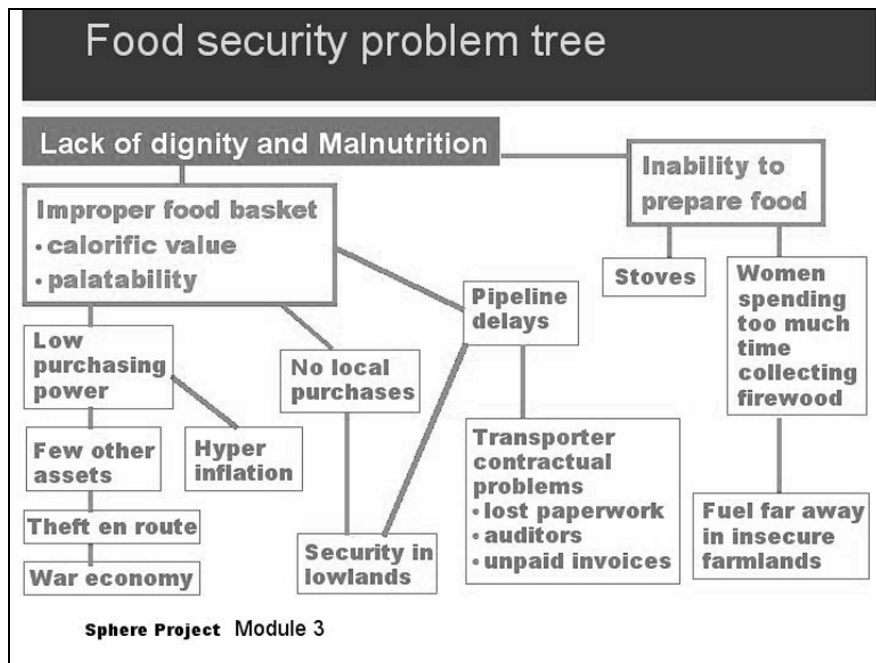
☐ Show slide: 'Health Problem Tree'



☐ Show slide: 'Nutrition Problem Tree'



☐ Show slide: 'Food Security Problem Tree'



## Activity 2: A review of planning tools

### 10 mins

☐ Show slide: 'Programme planning'

#### Explain that:

Programme planning should be a coordinated effort to fulfil a strategy resulting in desired impacts – a life with dignity for all programme participants.

☐ Show slide: 'A coordination tool'

#### Explain that:

- the Gap identification chart is a simple tool that can be used to assist agencies in coordinating their projects by identifying gaps and duplication in delivery
- coordination will maximise the support given to those affected by disasters
- coordination is achieved through a process of facilitation and negotiation
- negotiations are more objective if a common analysis of the problems and needs is agreed upon, or shared

#### Ask:

Who has used a logical framework?

☐ Show slide: 'Logical framework' if many of the group have not used one before.



**Explain that:**

- logical frameworks are useful project planning tools because they force the user to think through the causal hypothesis, identify indicators and clarify what assumptions are involved
- because disaster contexts are dynamic, logical frameworks can quickly become outdated
- it is important to keep reviewing them when new information becomes available

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## Activity 3: Case study

### 60 mins

**Ask groups to join the teams they worked in for the previous Domistan case study exercises.**

**Give out the handout: 'Project planning activity – Sector teams' to each participant.**

**Explain that:**

- in 45 minutes you will take part in a presentation of plans to the Ministry of the Interior

**Ask each team to:**


- take their problem tree analysis they completed in Session 3
- choose a focal problem for which they will propose a solution at the output level

**Explain that:**

- the solution should be consistent with their organisational mandate and capacity

**Ask each team to:**

- write a concise project objective statement for which it will be accountable
- state assumptions about what the effect and impact of their outputs should be
- propose two activities, with indicators (from the Sphere handbook) to achieve the objective
- justify the number and type of indicators (qualitative or quantitative)

 Allow up to 15 minutes.

**Ask each team to:**

- display your project plan in a simple logical framework

**Explain that in the next 30 minutes they need to:**

- complete their simple logical framework
- prepare to present their plan to the Ministry of the Interior in a verbal presentation of less than two minutes
- coordinate with other sector teams
- provide information to the coordination task force, if there is one

## Option – Using the coordination task force

**Use this option if:**

- you want the group to experience the challenges of coordinating the work of sector teams
- participants are advanced enough to handle this case study and its tools confidently
- you have time available

**Run this activity alongside the work of the sector teams.**

Set up the coordination task force 15 minutes after the sector teams have started work on the case study.

**Ask teams to:**

- nominate one member to join a government-led emergency coordination task force

**Prepare a separate table or work space for this group outside the main meeting room or area.**

There should now be six teams in total (the five sector teams and one overall coordination task force).


Give the handout: 'Project planning activity – Coordination task force' to the members of the new task force.

**Explain that:**

- in 30 minutes they will make a presentation to the Ministry of the Interior.

**Ask the coordination task force to:**


- prepare a strategy for finding an agreed list of priority actions using an inclusive process with all teams, and to which all teams can concur
- to write a concise mission statement for the overall operation
- gain agreement for the mission from all working teams using language from the Sphere handbook

 Allow up to 15 minutes.

**Ask the coordination task force to:**

- create and fill in a large Gap identification sheet made of several flipchart pages
- demonstrate that no gaps or duplications in services exist

They may choose whatever style of negotiation, problem solving, or management they wish in order to complete this list before the time limit.

 Allow up to 15 minutes.

## Group feedback options

45 minutes into the case study, bring the group back together for feedback.

You have two options available to you, depending on whether or not you chose to create a coordination task force.

### Option 1– Using the coordination task force

**Use this option if you have set up a coordination task force.**


- Play the role of the Chairman of the National Disaster Committee, from the Ministry of the Interior.
- Ask the coordination task force to arrange themselves in the middle of the room, with the other participants seated around them in an amphitheatre style (or fishbowl).

**Ask the coordination task force:**

- 'How are you going to respond to the Southtown disaster?'

**Wait for them to present their plan.**

**Then ask them:**

- How will that help?
  - What might the effect of your actions be?
  - How will the displaced people participate in your operations?
-  Allow up to 15 minutes.

**You may want to consider the following ways to run this:**

- ask each of the sector teams to present after the coordination task force's presentation
- open up a group discussion, giving the sector teams the opportunity to build on or comment on the task force presentation.

**Be aware that this activity demonstrates how challenging it is to coordinate between sector teams, particularly at speed.**

## **Option 2 – Using `Donors`**

**Use this option if you have not set up a coordination task force.**

Give each participant a photocopy of money.

**Explain that:**


- they are all donors
- they will be given money, and can donate it to the proposal they feel is strongest

**Ask:**

- one representative from each team to make a short verbal presentation to group

**Set a time limit to their presentations,  
for example up to 2 minutes.**

- When the last person has presented, ask the group to give their money to the team with the best solution

 Allow up to 15 minutes.

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## Activity 4: Conclusion

### 15 Mins

#### Ask sector teams to:

- display their logical framework on the wall beside their problem tree analysis

#### Lead a discussion on the quality of the project plans. The following questions may help:

- are statements clear, concise and based on initial assessment data?
- do problem statements reflect any organisational bias on the part of the planners?
- is there mention of local participation?
- do all the group activities represent a well-rounded plan of action?
- is there any real difference in the use or application of the indicators for the purposes of assessment, monitoring or of evaluation?
- was the Sphere handbook useful in project planning?

☐ Show slide: 'Summary'

#### Explain that:

- an effective system for monitoring and evaluation can help us to do the following
  - determine which activities are the most important, or have the most impact
  - choose which indicators to use, and justify their use
  - determine levels of response required
  - clarify what programmes can achieve
- using a common language and measurements enables more effective coordination
- Sphere helps at many levels of project planning, from the sub-project and technical level to coordination of overall programmes and policies

## Module 3 Session 4

### Project planning activity - Sector teams

Handout (1 page)

#### Guidelines

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Based on your team problem tree analysis, choose a focal problem.

Propose a solution to the problem in terms of outputs.

Make sure that the solution is consistent with your organisational mandate and capacity.

Write a concise project objective statement for which you will be accountable.

State assumptions about what the intended effect and impact of your project's outputs will be.



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For the objective, propose:  
two activities  
indicators for each activity.

Select the indicators from the Sphere handbook.

Justify the number and type of indicators (qualitative or quantitative).

State assumptions where necessary.

Display your project plan in a simple logical framework.



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Coordinate your proposal with the other sectoral teams.

Provide information as required by the coordination task force, if there is one.



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Be prepared to present your strategy to the Ministry of Interior in 45 minutes.

## Module 3 Session 4

### Project planning activity - Coordination task force

Handout (1 page)

#### Guidelines

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Prepare a strategy for an agreed list of priority actions using an inclusive process with all the teams, and to which all groups can concur.



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Write a concise mission statement for the overall operation, using language from the Sphere handbook.

Gain agreement on it from all working groups.



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Prepare a large gap identification chart, made of several flipchart pages, and fill in the sheet using the projects proposed by the teams.

Be prepared to demonstrate that no gaps or duplications in services exist.

Choose whatever style of negotiation, problem solving, or management you wish in order to complete this list before the time limit.

When finished, the tasks should be listed along the vertical axis of the matrix, and the names of organisations' projects along the horizontal.



Be prepared to present your strategy to the Ministry of Interior in 30 minutes (to complement the sector teams' work).





## Module 3

### Session 5: Monitoring and evaluation

#### Overview

#### Learning objectives

**At the end of this session participants will be able to:**

- discuss and contrast the key elements of monitoring and evaluation
- select priority key indicators from the Sphere handbook and apply them in a specific project context
- describe how to set up a monitoring system for a humanitarian project
- select, adapt and operationalise indicators for a specific project
- describe how emergency situations put significant constraints on monitoring and evaluation activities

#### Main messages

- monitoring and evaluation are challenging because they have a dual purpose of both learning and accountability, and balancing these two agendas is problematic
- monitoring uses indicators to measure whether the project is proceeding as originally intended
- the validity of indicators needs to be continually questioned as most emergencies are dynamic and continuously changing
- the Sphere handbook helps in monitoring and evaluation in two ways: first by providing Minimum Standards and key indicators for the processes; and second by providing a list of agreed indicators for monitoring purposes
- the Sphere key indicators are global in nature, and need to be applied with consideration to the local context
- monitoring and evaluating activities should be as participatory as possible and involve beneficiaries as well as project implementers, where appropriate
- an effective monitoring and evaluation system provides a baseline for wider project or joint evaluations, and coordination and learning processes, especially in difficult emergency situations where staff turnover is high and it is difficult to capture and pass on experience and lessons learned from each situation

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**Timing** ⌚ 90

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**Method** Presentation/lecture / Team work / Group discussion

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**Resources needed** Laptop / data projector / screen / flipchart and pens / The Sphere handbook

**Visual aid** PowerPoint slides

## Preparation

Handout: **'Monitoring exercise'**

Handout: Optional handout **'Tools to implement Sphere'**

- photocopy handout: 'Monitoring exercise' for distribution to all participants.
- ensure that the table arrangement in the room allows all participants to work in small groups and also participate in group discussions without moving. It is important to have continuity from the previous Domistan case study activities, so aim to have participants sit in the same teams from the earlier Domistan case study work in assessment, analysis and planning
- pre-select Minimum Standards for the Domistan monitoring exercise or use examples provided.
- prepare for the visual aids as described in 'Part 1: Trainers' Guide'
- consider the optional exercise 3 on 'Implementing the Sphere indicators' as individual study after this session

## Session 5: Monitoring and evaluation

Time	Activity
<b>20</b>	1: Introduction
<b>15</b>	2: Prioritising indicators
<b>15</b>	3: Applying indicators in a local context
<b>30</b>	4: making indicators operational
<b>10</b>	5: Conclusion
<b>90</b>	TOTAL TIME

**You can find copies of all the slides in this Module in the PowerPoint section at the back of Part 1: Trainers' Guide.**

## Activity 1: Introduction

20 mins

☐ Show slide: 'Title slide: Module 3: Session 5'.

**Keep this slide on screen while people arrive and settle in for the session.**


**Explain that:**

- it is important to have continuity from the previous Domistan case study activities, so please sit in the same teams as you did for the earlier Domistan case study work in assessment, analysis and planning

☐ Show slide: 'Learning objectives'

**Explain the objectives for the session:**

- discuss and contrast the key elements of monitoring and evaluation
- select priority key indicators from the Sphere handbook and apply them in a specific project context
- describe how to set up a monitoring system for a humanitarian project
- select, adapt and operationalise indicators for a specific project
- describe how emergency situations put significant constraints on monitoring and evaluation activities

 Allow 1 minute.

☐ Show slide: 'Project cycle' again, and demonstrate where on the project cycle monitoring and evaluation lie.


**Ask:**

- 'has anyone monitored a project?'
- 'what did you do? How did you monitor the project?'

**Write a few key words on a flipchart.**

**Ask:**

- 'is monitoring humanitarian assistance projects different to monitoring development projects?'
- 'are there special considerations or constraints for monitoring in complex emergencies?'

 Allow 4 minutes.

☐ Show slide: 'Monitoring'.

**Explain that:**

- this is the OECD definition of monitoring
- it is a "continuous and systematic process of recording, collecting, measuring, analysing and communicating information to support line management responsibilities"

**Explain that:**


- monitoring involves more than the technical activity of data collection
- monitoring depends on many of the same skills as assessment and analysis, yet is used to support line management while a project is being implemented

- because humanitarian projects are often implemented in rapidly changing contexts, monitoring humanitarian assistance involves analysis and judgement

**Ask:**

‘What information is collected when monitoring?’

**Write key ideas on a flipchart.**

 Allow 2 minutes.

☐ Show slide: ‘What information?’

**Explain that:**

- monitoring in emergencies requires the following information:
- progress of project implementation
- developments in the project environment (context)
- the interaction between the project and its environment (for example, the effect of the project on the rights of the people being assisted)


**Ask:**

- ‘What is the purpose of monitoring?’

**Lead a discussion, if necessary.**

**Explain that:**

- monitoring has three functions
- providing management information
- supporting management in improving performance and learning from experience
- as an accountability tool to all stakeholders of a project
- these contrasting purposes lead to difficulties in implementing monitoring systems and activities

 Allow 3 minutes.

☐ Show slide: ‘Guiding principles for monitoring’.

**Explain that:**

- these guiding principles help to ensure that monitoring is effective
- first, focus on minimal information required for each level of responsibility
- this helps to avoid the organisation being overloaded with inappropriate or irrelevant information
- instead specific information is targeted to those who need it
- next, include all forms of communication: verbal, written, formal, informal, to help ensure that the right information goes to those who need it, when they need it
- next, use participatory methods, so that people feel involved
- finally, effective monitoring creates an obligation to act on operational and strategic implications of information received

- this last guiding principle stems from the Humanitarian Charter and the 'right to life with dignity'
- humanitarians have an obligation to act when monitoring has operational or strategic implications for what they must do

**Ask:**

- 'What is the difference between monitoring and evaluation of humanitarian assistance?'



Allow 3 minutes.



Show slide: 'Evaluation'.

**Explain that:**

- this is the ALNAP (Active Learning Network for Accountability and Performance in Humanitarian Action) definition of evaluation
- it is a "systematic and impartial examination of humanitarian action intended to draw lessons to improve policy and practice and enhance accountability"

**Explain that:**

- evaluation involves the same skills as assessment and analysis
- evaluation should be done impartially and periodically and often by external staff
- evaluation can also occur after implementation of the project
- the main source of information for evaluations is monitoring data
- monitoring and evaluation have dual purposes of learning and accountability



Allow 2 minutes.



Show slide: 'The difference between monitoring and evaluation'

**Explain that:**

- as this slide shows, while there may be no universal agreement on what monitoring and evaluation involve, the important thing is that you agree a definition with whoever you are working with

**Explain that:**

- monitoring and evaluation are interpreted differently depending on the organisation
- these terms are not easily translated into other languages
- in French for example, the word evaluation can be used for assessment as well as for a combination of monitoring and evaluation

**Ask:**

- Which tool is common to both monitoring and evaluation? (there may be several, but highlight indicators)



Allow 3 minutes.



Show slide: 'Indicators'

**Explain that:**

- this is the UNDRO definition of indicators
- “...a small set of data...usually easy or cost-effective to collect, highly correlated with other data, and from which much useful and trustworthy conclusions can be derived quickly”


**Ask them to:**

- recall definitions of indicators.

**Remind participants of the first guiding principle for monitoring:  
to focus on minimal information.**

**Explain that:**

- the Sphere handbook contains many indicators, but only a few can be realistically used at any one time
- in the next activity we will practice selecting the most appropriate indicators

 Allow 3 minutes.

---

## **Activity 2: Prioritising indicators**

15 Mins

**Explain that:**

- the Domistan case study continues with an update
- the Ministry of Interior has ordered each of the agencies involved to achieve a number of the Minimum Standards

**Give out Handout: ‘Monitoring exercise’.**

**Ask them to:**


- look at Step 1

**See the Minimum Standards assigned to each sector group:**

- water and sanitation and hygiene promotion standard (page 53/**60**)
- general nutritional support standard (page 90/**137**)
- food aid standard (page 147/**157**)
- shelter and settlement standard (page 189/**219**)
- health systems and infrastructure standard (page 249/**259**)

**Ask teams to:**

- choose two new key indicators for the Minimum Standards assigned by the Ministry of Interior agree in their team the two priority indicators

 Allow 10 minutes to complete this exercise.

**In the time remaining, lead a short discussion in group on how to select the indicators.**

**The following questions may help:**

- was it easy to select two priority indicators for the Minimum Standard? Why?
- are two indicators enough to decide if the Minimum Standard is being achieved?
- is it realistic to incorporate more?

---

## **Activity 3: Applying indicators in a local context**

**15 Mins**

**Ask:**

- 'how can you ensure that your indicators will deliver objective, and useful information?'


**Write key words on a flipchart.**

**Aim to cover the following points in the discussion.**

**Specific** - Indicators should reflect the things the project intends to change, avoiding activities that are largely subject to external influences.

**Measurable** - Indicators must be precisely defined so that their measurement and interpretation is unambiguous. Indicators should enable objective data to be collected which is independent from the collector of the data. Indicators should be comparable across groups and projects, thus allowing changes to be compared and aggregated.

**Timebound** - Indicators should describe when change is expected

 Allow up to 5 minutes.

**Ask teams to:**

- review the two indicators they chose in the previous activity and discuss how meaningful they are

**Explain that:**

- the teams can make assumptions for this exercise about the resources available and capacity of their agency

 Allow 10 minutes.

---

## **Activity 4: Making indicators operational**

**30 Mins**

☐ Show slide: 'Operationalising indicators'.

**Explain that:**

- the following are key questions when thinking about how to implement indicators in your organisation, or 'operationalise them'
- where will the data be collected from?
- who will collect it?
- when will it be collected and how frequently?
- how will the data be collected and stored?
- who will analyse the data?
- how will it be reported?
- how will management decisions be made based on the monitoring report?



Allow 2 minutes.

**Ask teams to:**

- make their two indicators operational
- devise a monitoring plan

**Ask:**

- 'was it difficult to reach a consensus on operationalising indicators?'
- 'why?'

**Explain that:**

- again, it is important to avoid information overload
- in complex emergencies, a heavy monitoring system may slow the organisation down, or stop the right information getting to the right people

**In the time remaining, lead a discussion on indicators and monitoring.  
The following questions may help.**

**Indicators:**

- do indicators remain fixed? (no they need to be adjusted as the project iterates)
- do you find operationalising indicators easy? (requires resources, few indicators can be applied in a project)
- how many indicators is realistic for a project?

**Monitoring:**

- what if you realise more money or resources are needed to make the programme effective?
- what justification would you give to a donor, partner agency or community to lobby for changes?
- how are humanitarian projects different from development projects? (more assumptions in humanitarian projects, along with greater need for continual monitoring of context and impact)

**Knowledge management:**

- what might the most reliable format be for collecting, storing and analysing data?



- what decisions in (or about) the project are dependent on analysing the data collected?


---

## Activity 5: Conclusion

10 Mins

**To summarise, explain that:**

- monitoring and evaluation activities should be participatory and involve beneficiaries as well as project implementers where appropriate
- monitoring and evaluation activities can be sensitive, and sometimes dangerous, in certain situations
- the involvement of partners, selection and training of monitoring teams should be done carefully
- monitoring provides the information to link all stages of the project cycle
- an effective monitoring and evaluation system provides a baseline for wider project or joint evaluations, coordination and learning processes
- this can be useful in emergency situations where staff turnover is high and creation of institutional memory is difficult
- an effective monitoring and evaluation system is a fundamental tool for accountability

 Allow up to 2 minutes.

☐ Show slide: 'What Sphere says about monitoring and evaluating'


Monitoring

Evaluation

See Sphere Handbook page 25/37

**Ask participants to:**

- find the monitoring Minimum Standards in their sector chapter and read it

 Allow 5 minutes.

**Briefly review the exercise against the learning objectives.**

## Module 3 Session 5

### Monitoring exercise

Handout (3 pages)

The Domistan emergency continues. Following the presentation of proposed assistance projects, the Ministry of Interior rejected all proposals. It has conducted its own assessment of the disaster site, and has decided that the agencies involved should attempt to achieve the following Minimum Standards.

---

### Step 1: Select priority indicators

15 mins

#### Assigned Minimum Standards

Water group: Hygiene promotion, water and sanitation standard (page 53/**60**)

Nutrition group: General nutritional support standard (page 90/**137**)

Food group: Food aid standard (page 147/**157**)

Shelter group: Shelter and settlement standard (page 189/**219**)

Health group: Health systems and infrastructure standard (page 249/**259**)

#### Task for each team

- review, if necessary, the Domistan case study context, your organisational mandate and capacity
- debate and agree two key indicators to monitor whether the Minimum Standard assigned to your team by the Ministry of Interior is being achieved
- you have 15 minutes to complete this exercise

---

### Step 2: Apply the indicators to the Domistan context

10 Mins

**Now ensure that the indicators are specific, measurable and timebound so they will be useful for monitoring purposes.**

**You have 10 minutes to complete this exercise.**

#### Task for each team

Review your two indicators and discuss whether they are:

- specific? (and reflecting things that the project intends to change)
- measurable and unambiguous? (independent of who is collecting the data)
- time-bound? (when a change is expected by)

Review the indicators.

- Are they realistic for the Domistan case study context, your organisational mandate and capacity?
- how meaningful and useful are the indicators?
- make assumptions where necessary about resources, capacity and other factors.
- your team must agree the wording of your two indicators

---

### **Step 3: Make the indicators operational**

15 Mins

- finally, plan your monitoring system

## Task for each team

Please answer the following questions, for each of your two indicators, concisely and specifically. Display the answers in a matrix form, as below.

	Your first indicator	Your second indicator
1: From where will data be collected?		
2. Who will collect the data?		
3. When will data be collected and how frequently?		
4. How will the data be collected (methods) and how will it be stored?		
5: Who will analyse it?		
6: How will the information be communicated or disseminated?		
7: How will the information affect project management decisions? (if monitoring reveals a problem)		

## Module 3

### Session 6: Beyond the project cycle

#### Overview

#### Learning objectives

At the end of this session participants will be able to:

- list ten critical issues facing the humanitarian system
- identify which of those issues could be addressed through application of the Sphere handbook

#### Main messages

- the use of the Sphere handbook can address some of the chronic performance issues facing the humanitarian system
- an understanding of the project cycle as a process that should lead to **learning processes** and ultimately improved future performance

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#### Timing ⌚ 90

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**Method** Individual study / Team memorisation game / Group task / Discussion

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**Resources needed** Laptop / data projector / screen / flipchart and pens / The Sphere handbook

**Visual aid** PowerPoint slides

---

#### Preparation

Handout: **'Critical issues for humanitarian performance'**

- assess the culture, spirit, and mood of the group before conducting this exercise
- select the most appropriate method for the group, given what they are like
- choose from one of three core one-hour activities
- if you are using Activity 2, Option 1, write the instructions on a flipchart
- cut up the ten performance issues on separate pieces of paper, fold them into small squares and put them in a hat or box, or bag
- prepare for the visual aids as described in 'Part 1: Trainers' Guide'
- photocopy handout 'Critical Issues for Humanitarian Performance' for distribution to all participants'

## Session 6: Beyond the project cycle

Time	Activity
<b>5</b>	1: Introduction
<b>60</b>	2: Option 1 Individual study and team work
<b>60</b>	2: Option 2 Group discussion
<b>60</b>	2: Option 3 Speakers' corner followed by group discussion
<b>10</b>	3: Group discussion
<b>15</b>	4: Conclusion
<b>90</b>	TOTAL TIME

**You can find copies of all the slides in this Module in the PowerPoint section at the back of Part 1: Trainers' guide.**

### Activity 1: Introduction

#### 5 Mins

☐ Show slide: 'Title slide: Module 3: Session 6'.

**Keep this slide on screen while people arrive and settle in for the session.**

☐ Show slide: 'Learning objectives'

#### **Explain the objectives for the session:**

- to list ten critical issues facing the humanitarian system
- to identify which of those issues could be addressed through application of the Sphere handbook

#### **Introduce the session. Explain that:**

- the project cycle is only one way of perceiving the many aspects of humanitarian work
- applying the Sphere handbook depends on the project cycle skills and approach
- a project cycle approach will help ensure that humanitarian projects are better managed, and provide learning opportunities for individuals and organisations
- however, not many organisations use the project cycle consistently, particularly the assessment, analysis and monitoring stages
- the humanitarian system has several challenges that slow the process of learning from experience, and improving quality

- this session is about communicating and sharing lessons learned, and thinking about ways to address the challenges

☐ Show slide: 'Performance issues'

**Explain that:**

these are 10 key performance issues identified by ALNAP

- Human Resources
- preparedness
- targeting
- coordination
- participation and capacity building
- indigenous coping strategies
- gender equality
- the links between relief and development
- protection
- results based planning

---

## **Activity 2: Option 1 - Individual study and group work**

60 Mins

**Give out Handout: '10 Critical Issues for Humanitarian Performance'.**

**Write the following instructions on a flipchart.**

**Task instructions**

- Read the handout.
- consider if the top 10 issues in the handout are relevant to you
- take 15 minutes and then join your team, and together prepare to demonstrate that everyone in the group has learned the list of the top 10 issues
- come up with a strategy so that at least someone in the group can explain in detail each of the issues and possible solutions
- your group has 45 minutes to prepare

**Ask them to work in 5 teams. You can continue to use the same teams that have worked together in the previous stages of the project cycle module.**

**Ask the group to think strategically and work together.**

- each team must also be ready as a team, not as individuals to explain what each of those words implies
- not everyone has to understand each of the 10 issues, but each of the 10 must be known by someone in the team
- group presentation after 15 minutes


---

## Activity 2: Option 2 - Group discussion

### 60 Mins

**Give out the handout.**

**Ask participants to read it alone.**

 Allow up to 10 minutes.

**Ask:**

- 'which sessions do you believe to be a priority in your work?
- 'why?'

**Write down their priority issues on a flipchart.**

Allow up to 10 minutes.

- in the time remaining, lead a group discussion on the issues identified.

**For each issue the following questions may help:**

- do you agree that this issue is significant where you work? Why?
- is there action that you could take individually to address this issue?
- can the widespread use of Sphere help address this issue? How?

---

## Activity 2: Option 3 – Speakers' corner followed by group discussion

### 60 Mins

**Pre-select a few charismatic individuals. Brief each one of them to represent one of the 10 performance issues.**

- position them around the edges of the room, and have them simultaneously debate and try and encourage the rest of the participants to join them in believing their issue has top priority

**After a few minutes, review in group the numbers of people who have collected near each of the speakers.**

**Prioritise the issues for discussion depending on numbers interested.**

**facilitate a group discussion on the priority issues identified by the group. The following questions may help:**

- do you agree that this issue is significant where you work? Why?
- is there action that you could take individually to address this issue?
- can the widespread use of Sphere help address this issue? How?



---

## Activity 3: Group discussion

### 60 Mins

☐ Show slide: 'Barriers to coordination'

**Explain that:**

**everyone realises that coordination is a problem. The reasons are complex, and include:**

- competition for resources by agencies
- threats to autonomy and independence
- physically difficult to co-ordinate when there are so many actors
- agencies have different goals

**Explain that:**

- the use of common programming standards should help define common measures of success in the field, and address one of the factors that is inhibiting coordination

☐ Show slide: 'What is accountability?'

**Explain that:**

- another quality group called HAP, Humanitarian Accountability Partnership is exploring this issue in greater detail
- this is the definition of accountability in the 2000 Sphere handbook's glossary

**Lead a discussion on what accountability means.**

**Ask:**

- 'why is accountability important?' (One answer: because humanitarian agencies are in positions of tremendous power)

**Ask:**

- 'what are the important aspects of accountability?'  
(You might include participation as a fundamental aspect)

---

## Activity 5: Conclusions

### 15 Mins

**Ask teams to sit together.**

In teams, ask a volunteer to pull one of the 10 performance issues out of a hat, and read it out loud.

**Choose the teams in turn, and ask each team to:**

- nominate one person to explain about that issue in 30 seconds or less

- you can make this a game, or a competition, or make a rule that each answer must be a funny one, or make the group laugh
- if there are five groups, then two issues can be given to each group

**Briefly review the activity against the learning objectives.**

## Module 3

### Session 6 Critical issues for humanitarian performance

#### Handout (2 pages)

**This handout has been summarised from the 2002 annual review of ALNAP (Active Learning Network for Accountability and Performance in Humanitarian Action).**

**Each year ALNAP:**

**studies a large number of humanitarian evaluations (in 2002 it was over 50), produces a synthesis and summarises the issues facing the sector in priority.**

**This list has therefore a basis in evidence.**

#### **Introduction**

The annual review introduces its summary of the performance of the sector by reporting that, in most cases, short term objectives were met and that humanitarians have done their job well.

About 75 percent of programmes evaluated by the annual review were implemented by NGOs, and the evidence is that NGOs generally perform well in providing assistance on the ground. Much of this achievement appears to have been due to the quality and commitment of the staff employed by humanitarian agencies. "The sense one gains from the reports ...is that it is the quality and commitment of the staff that compensates for the inefficiencies and failing of the Sector in its operations, and enables the "job well done" verdict."

#### **How the technical sectors tend to perform**

In analysing the performance of the technical sectors, (in terms of meeting short-term objectives) it has been found that health and water / sanitation perform the best. Food (and emergency agriculture) perform less well, and the least well performing sector was shelter and housing. The reasons tend to be of a technical nature, rather than due to the people or organisations involved. For example, factors specific to the shelter/housing sector were identified as:

- there is political pressure to allocate resources visibly and quickly, and although purchasing of materials can happen quickly, delivery is slower and highly problematic
- the substantial cost of providing a house to a household compared with other forms of assistance and that it represents a contribution to a household's asset base rather than a consumable, as is the case with most other forms of relief assistance
- the involvement of land titling and ownership issues in the provision of housing, especially in areas where land titles are unclear and land ownership is a frequent source of community and gender conflict, substantially complicating housing provision
- shelter and housing, perhaps more acutely than any other sector, squarely straddles the relief/rehabilitation divide, exacerbating the generic

relief/rehabilitation problem, with substantial confusion over whether supporting “emergency” housing is relief or rehabilitation

- based on this analysis, ALNAP concludes that direct support to housing may best be left to rehabilitation / development organisations

### ALNAP

<b>1 Human Resources</b>	The Sector's record in its treatment of staff is often poor, with low investment in skills development and inadequate training provision. These factors contribute to the high attrition and turnover rates in the sector. “For the performance of a sector to be dependent on a continuous supply of willing and able staff prepared to give it their all for a few years and then drop out to work in sectors that offer a more stable and secure lifestyle cannot be sustainable. It is certainly not conducive to increased professionalism and the development of a strong learning culture.”
<b>2 Preparedness</b>	There is a continuing general disregard by governments and agencies of the importance of preparedness as a means of reducing vulnerability and loss of life, when disasters and population displacements occur.
<b>3 Coordination</b>	Poor coordination continues to be the reality, especially at the international level.
<b>4 Participation and capacity building</b>	Facilitating community participation in planning and decision-making continues to be problematic. No examples of systematic good performance were found in this year's reports.
<b>5 Supporting indigenous coping strategies</b>	Despite recognition of the key role played by indigenous coping strategies during and following crises, the sector has yet to develop means for supporting and building on them.
<b>6 Gender equality</b>	Gender equality continues to be poorly covered by evaluation reports, with gender perspectives systematically ignored by many programmes.
<b>7 Targeting agencies</b>	Targeting agencies need to be more responsive to different cultural practices.
<b>8 Linking relief, rehabilitation and development (connectedness)</b>	Linkages between the different modes remain weak, and the transition through them continues to be a persistent problem in most operations.
<b>9 Protection</b>	There was a general lack of attention to protection and many humanitarian agencies continue to operate in traditional “assistance-delivery mode”.
<b>10 Results-based planning</b>	The setting of objectives and monitoring is particularly poor in the Sector, hampering the evaluation process and limiting the Sector's ability to assess its performance. Mandatory beneficiary satisfaction surveys are proposed as a means of improving monitoring systems and making programmes more responsive to the needs of affected populations.

## Optional exercise 1

### Rwanda multi-donor evaluation case study

90 minutes

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**This optional exercise is an alternative to Session 1: Context and the project cycle. This exercise contains the same introductory material on the project cycle but in the case study focuses on the multi-donor evaluation of Rwanda.**

#### Learning objectives

**at the end of this session participants will be able to:**

- describe the steps in the project cycle
- describe the factors that influence an analysis of a humanitarian context
- demonstrate how the Sphere handbook can be used to analyse the humanitarian context

#### Main messages

- contextual and other dynamic factors influence humanitarian relief programmes. They should be recognised and factored into project design and implementation
- the project cycle is a useful framework for visualising humanitarian work, and for monitoring changes in the context
- the Sphere handbook provides a tool to objectively analyse a humanitarian context, but should not be used in isolation

---

#### Timing

 **90 minutes.**

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**Method** Presentation/lecture / Team work Context case study / Group discussion

---

**Resources needed** Laptop / data projector / screen / flipchart and pens / The Sphere handbook

**Visual aid** PowerPoint slides

---

#### Preparation

Handout: **'Rwanda multi-donor evaluation case study'.**

- check whether this case study is the most appropriate for your group. An alternative case study on Hurricane Mitch is available in Session 1
- photocopy handout 'Rwanda multi-donor evaluation case study' for each participant
- prepare for visual aids as described in Part 1: Trainers Guide

## Optional exercise 1

Time	Activity
<b>5</b>	1: Introduction
<b>10</b>	2: Discussion on context and influencing factors
<b>40</b>	3: Team work: Case study
<b>10</b>	4: Activity: The project cycle
<b>15</b>	5: Presentation: The project cycle
<b>10</b>	6: Conclusion
<b>90</b>	TOTAL TIME

### Activity 1: Introduction

5 mins

☐ Show slide: 'Title slide: Module 3'

**Keep this slide on screen while people arrive and settle in for the session.**

☐ When you are about to start, you may want to show the session title slide: 'Module 3 Session 1: Context and the project cycle'.

**Welcome the group.**

**Explain that:**

- module 3 focuses on the project cycle
- the other sessions in Module 3 focus on key stages in the project cycle, from assessment through to monitoring and evaluation
- in this session we're going to look at an overview of the project cycle and focus on applying it to a case study

☐ Show slide: 'Learning objectives'

**Explain the objectives for the session:**

- to describe the steps in the project cycle
- to describe the factors that influence the analysis of humanitarian contexts
- to demonstrate how to use the Sphere handbook to analyse the humanitarian context

---

## Activity 2: Context and influencing factors

**10 mins**

**Lead a discussion on the specific context in which the training event is occurring.**

**Ask them:**

- have you any examples from this country (or another country in which you have worked) of contextual factors or biases that have influenced the analysis of the humanitarian situation?
- for example, cultural bias and assumptions about needs leading to inappropriate aid being provided, or political/economic agendas
- how did these examples influence the humanitarian situation?
- how were these managed? Please give examples
- how these were mitigated? Please give examples

---

## Activity 3: Case study

**40 mins**

**Give each participant a copy of the handout: 'Rwanda multi-donor evaluation case study'**

☐ Show slide: 'Rwanda case study'.

**Ask them to:**

- read through the case study
- check whether they need any clarification about the material

**Keep the map on the slide on display while they read the study.**

☐ Show slide: 'Context issues'

**Explain that:**

effective disaster response depends on a clear understanding of the situation

a range of issues affect the context humanitarians work in, for example:

- economic, social, political
- climate and geography
- organisational
- cultural and psychological
- gender issues
- human rights
- and the social norms and local capacities to cope with the disaster

**Ask them:**

- to work in teams of five or six


**Assign each team somewhere to work (breakout rooms, corners of main room etc).**

**Ask each team to:**

- nominate a spokesperson
- list the 'contextual factors' in the study (e.g. political, geographical, social etc.)
- discuss how they might influence the effectiveness of the humanitarian response

**Explain that:**


- they have 15 minutes to prepare their ideas
- when they have finished, their spokesperson will be asked to present their conclusions to the rest of the group
- they need to aim to make a presentation of no more than two minutes, with or without flipcharts

 Allow up to 15 minutes.

**Ask each spokesperson in turn to:**

- present their team's conclusions
- only to mention factors that have not already been raised

**You may want to record ideas on a flipchart.**

 Allow each team up to 2 minutes to present, up to a total of 15 minutes across the group.

In the time remaining, review the activity with the group, and explain that:

- disaster contexts are dynamic, the context changes over time, and needs to be monitored
- contextual factors should influence the design of humanitarian relief programmes
- contextual factors will influence the results of humanitarian programmes

---

## Activity 4: The project cycle

**10 mins**

**Explain that:**

- the project cycle is a key way to manage humanitarian projects
- the initial assessment and analysis stages enable us to prepare more effective plans and implement these with greater impact
- it also gives us a more reliable and systematic framework with which to monitor and evaluate projects



**Ask individuals to:**

- draw an example of a project they have worked on following the stages of the project cycle

If they need reminding of what the project cycle is, you may want to show and explain the slide 'The project cycle' at this point

**Ask one or two volunteers to put their examples of project cycles on the flipchart.**

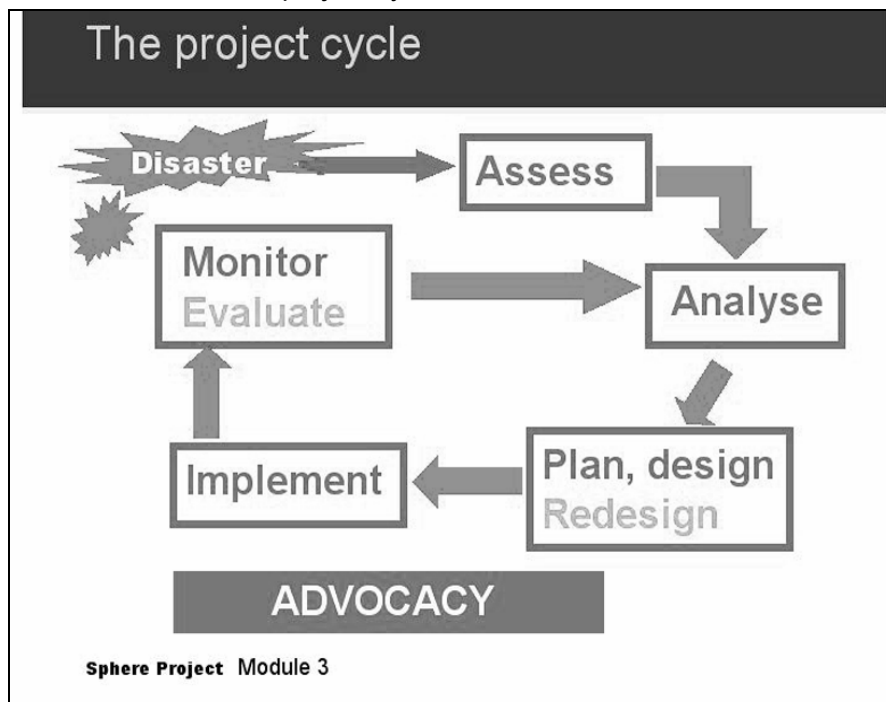
Review these, and if appropriate, complete the representations on the flipchart.

**Explain that:**

- there are different cultural interpretations of the idea of a 'project cycle'
- however there is consensus that, whatever the cycle looks like, it should be a continuous and iterative process, changing in response to new information
- humanitarian work needs to remain relevant to the changing context

**Activity 5: Presentation****15 mins**

☐ Show slide: 'The project cycle'

**This is a build slide. First, explain that:**


- this is one way of thinking about the project cycle, as a 'spiral'
- the project starts in reaction to a disaster happening

**As the slide continues to build around the project cycle, explain that:**

- the first key stage is assessment: collecting data and identifying the needs
- then analysis: transforming assessment data into information and prioritising the problems
- then planning: using analytical information to design projects
- this is then put into action in the implementation stage
- then monitoring for continuous follow-up of the project, and collecting data
- evaluation involves analysing the data gathered during monitoring data, judging how effective and appropriate the project was and making recommendations

**Explain that:**

- advocacy reminds us that a respect for fundamental human rights underpins all of these steps


 Allow up to 5 minutes to talk through the project cycle.

**Ask the group:**

Why is the project cycle on the slide iterative, repeating its loop?

**Explore this question in a discussion or brainstorm. Aim to bring out the following points:**

- because firm information will only emerge over time, so the cycle helps us to compensate later and challenge and replace inadequate information gathered earlier
- because the situation is constantly and rapidly changing in emergencies
- this means that the project team will need to change and reorient the project as circumstances and the information they have available changes
- because organisations learn as they implement projects and improve as they learn

 Allow up to 10 minutes for the brainstorm or discussion.

---

## **Activity 6: Conclusion**

10 mins

**Wrap up the session by revisiting the objectives and checking whether the participants feel they have been achieved.**

**Explain that:**

- 'humanitarian space' may be defined as the combination of resources and access to populations in need by humanitarian actors
- you can use the Sphere handbook to advocate for increased humanitarian space, and as a useful reference tool for project cycle work

- however, it must not be used in isolation, but with as full as possible understanding of the context in hand. The following sessions in Module 3 explore how to use the Sphere handbook at each stage of the project cycle.

## Optional exercise 1

### Rwanda multi-donor evaluation case study

#### Handout (3 pages)

#### Joint evaluation of emergency assistance to Rwanda in 1994: Introduction

- The protection and humanitarian crisis of 1994 did not begin with the shooting down of the presidential plane on 6 April, but was preceded by at least three and a half years of developing tensions inside Rwanda and in neighbouring countries within the Great Lakes region

#### The events that followed 6 April 1994 were an extraordinary human tragedy consisting of genocide and civil war that caused the:

- violent death of between 500,000 and 800,000 people
- movement of over two million Rwandese into neighbouring countries
- temporary displacement of well over one million people inside Rwanda

This study estimates that approximately 80,000 people died in the refugee camps in Zaire, Tanzania and the IDP camps inside Rwanda during 1994, mainly from cholera and dysentery.

#### Goma

The influx into Goma was of unprecedented scale and rapidity. In the space of just five days between 14 and 18 July, approximately 850,000 refugees crossed from Rwanda into Zaire at Goma town and at points further north along the border. The capacity of the agencies present in Goma was quickly overwhelmed despite an unprecedented and rapid response.

#### "I was there"

My agency (an international NGO) was like most, I suspect. We knew much killing was happening in Rwanda. In May, when the displacement into Tanzania occurred, we poured in resources and people in order to help stabilise the situation and to build a large camp. Then the Goma influx occurred, and three days later the Bukavu influx. Combined with operations in Burundi, the strain on my organisation to respond and manage its operations effectively was great.

Working in Zaire was difficult, as the infrastructure was poor and government officials had not been paid. Within the refugee camps we struggled to set up shelter, food distribution systems, water points and community services. There was intense competition between agencies for high-profile operational jobs, and a confusing number of players within the humanitarian system.

The food basket monitoring at the exit of the distribution centres indicated a good calorific level for each refugee at the beginning. Yet the multi-donor evaluation stated that monitoring was skewed because the Interhamawe militia was taxing refugee families. Did we know the extent of the economy built around the taxation by the same powers that perpetrated the genocide? No.

## Overview of the effectiveness of the response from the evaluation

At least 200 NGOs were involved in the humanitarian response which included highly commendable efforts. Widespread starvation did not occur. The number who died as a result of causes that could be considered avoidable (had the humanitarian response been more effective), was many times lower than those who died as a result of the genocide and conflict. The critical failings in the international community's overall response, therefore, lay within the political, diplomatic and military domains rather than the humanitarian domain.

## Findings of the evaluation on key issues

<b>1: Lack of policy coherence</b>	A core finding of the evaluation was the lack of coherence in policy and strategy formulation, called a "policy vacuum". This was the result of often interacting factors: conflicting interests between members of the UN Security Council, lack of decision making, a lack of understanding of the complex situation, and a misreading of signals prior to the crisis.
<b>2: Donor funding and preparedness measures</b>	Despite impressive humanitarian agency achievements and massive resources collected, the study noted an imbalance between preparedness and response provisions in the face of a pressing humanitarian need. This was particularly true when the media led the response.
<b>3: Coordination – filling the "hollow core"</b>	With regard to refugee operations, UNHCR came close to fulfilling the role of coordination by virtue of its clear mandate, support from host governments, highly competent technical coordination personnel, and control over a significant proportion of the funds available. However, coordination in relation to other areas and levels of the system was less satisfactory.
<b>4: The role of military forces in humanitarian operations</b>	Military contingents from OECD countries had a significant involvement in operations in the provision of relief assistance and by supporting relief agencies. Unfortunately, the evaluation did not obtain comparable data on costs and performance to allow definitive conclusions.
<b>5: Improving accountability</b>	The availability and quality of performance data and reporting were highly variable. There was a lack of standardised survey methods and inadequate technical coordination. The information available did not allow for an assessment of impact or performance, and was therefore unable to highlight where activities should be adjusted.
<b>6: Improving camp security</b>	The continued dominance of the former leadership, some of whom were key perpetrators of the genocide, and the presence of armed elements in refugee camps, particularly those in eastern Zaire, inflicted more trauma, insecurity and diversion of resources.

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**7: Food issues**

That widespread starvation did not occur during 1994 reflects in part the satisfactory and often impressive performance of the systems for the supply of food aid. However, substantial difficulties stemmed from initial reliance on the former leadership as an expedient mechanism for food distribution.

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**8: The role of the media**

The advent of on-the-spot satellite broadcasting, and the powerful images of the influx into Goma, contributed to the massive response. It may also have contributed to the lack of policy coherence resulting from the media's focus upon the humanitarian story, rather than the more complicated and difficult-to-comprehend story of the genocide and the conflict.

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**9: Mitigating the impact on host communities**

While certain groups and enterprises gained from hosting large refugee or displaced populations, others experienced substantial losses. There were also clear environmental costs in hosting countries.

## Optional exercise 2: Minimum Standards and the project cycle

90 minutes


### Description

- teams brainstorm standards and indicators for project cycle management and compare their results to the Sphere handbook

### You can use this exercise to:

- reinforce understanding of the project cycle
- build awareness of how the Sphere handbook can help at stages of the project cycle
- challenge highly experienced groups to compare their knowledge and experience with the information in the handbook
- spontaneously, without preparation whenever groups need more time to understand the project cycle
- at any time during module 3 to illustrate the project cycle or examine Minimum Standards and key indicators in more detail

### Timing


 Flexible, depending on context, with an average time of 90 minutes.

### Preparation

- Mark in your Sphere handbook the pages for the standards common to all sectors
- Prepare to record any key feedback on the handbook for the Sphere Project
- Requires flipcharts and pens

### Exercise

If necessary, briefly brainstorm in group the stages of the project cycle.

 Allow up to 5 minutes.

**Agree with the group that the stages of the project cycle will match the stages as given in the standards common to all sectors:**

- assessment
- response
- targeting (response and planning come under the “planning stage” used in this module) monitoring
- evaluation

**Explain that there are three more things they need to take into account during this activity:**

- participation
- aid worker competencies and responsibilities
- supervision, management and support for personnel

**Ask the group to work in small teams of five or six. You are aiming to have at least five teams, so that across the group you are covering the whole project cycle.**

**Assign each group a different stage of the project cycle.**

**Ask them:**

- not to use the Sphere handbook during the first part of this exercise

**Ask them to:**


- discuss wording for the Minimum Standard for their stage of the project cycle
- brainstorm a list of key indicators, and a list of guidance notes, and if necessary, annexes
- record key points on a flipchart to present to the group in a presentation that should last no longer than 5 minutes

**Explain that:**

- they have about 45 minutes to prepare

**After about 45 minutes, bring the group back together.**

**Ask each team to make a short presentation of their work.**

 Allow up to 7 minutes per team, about 4 minutes of presentation, followed by about 3 minutes reviewing what they have said.

 Allow about 30-35 minutes for all the presentations.

**After each presentation is completed, lead a discussion on how the group work compares to the information in the Sphere handbook.**

**When all the presentations are complete, in the time remaining, lead a discussion on how useful the information in the Sphere handbook is.**

**The following questions may help to prompt and focus the discussion:**

- what information in the Sphere handbook surprised you?
- what approaches or processes are missing in the handbook from the work your agency does?
- Are there differences in the standards for project cycle management between the sectors in the Sphere handbook?
- What are the challenges to adopting a full project cycle approach in humanitarian work?



## Optional exercise 3: Implementing the Sphere indicators 120 mins

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### Description

- A work-based, open learning exercise where participants can practise applying the Sphere key indicators in their own working context

#### You can use this exercise to:

- enable participants to use the Sphere handbook on their own project
- prompt participants to start using the Sphere handbook when back at work
- encourage participants to work on this exercise with their colleagues involved in Monitoring and Evaluation activities, for example, project managers, field officers, and logistics

#### You can use this exercise as:

- an assignment to give to participants as follow up to reinforce the learning that has occurred
- an assignment to be completed in between two short seminars, where the second seminar opens with a review of the answers to this assignment

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### Timing

 Depends on the individual, but could be 1 or 2 hours.

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### Preparation

- write up clear instructions, and provide a guide format for problem trees, solution trees, logical framework that matches the organisational systems and procedures that are already in place
- see the example formats in the handout that you can use for this exercise

#### Decide how to give participants feedback on their results. For example:

- with the trainer at another workshop
- with colleagues
- at a second training seminar
- or by email over a distance

## Optional exercise 3: Implementing the Sphere indicators Handout (2 pages)

### Guidelines

**Use this exercise to explore how to use the Sphere handbook in your work.**

**At the back of this handout, you will find example formats for:**

- a problem tree
- a solution tree
- a logical framework
- a monitoring and evaluation plan

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#### Step 1: Preparation

Find a quiet place away from distractions such as the telephone, email or busy colleagues.

Take some blank pages, a pencil, and any assessment, analysis or planning documents that exists for the projects you work on.

If possible, conduct this exercise individually, but ideally find a partner to do the exercises at the same time with you. That way, you can compare and discuss answers with someone.

Draw a project cycle diagram using the terms that your organisation uses, or a format with which you are most comfortable.

Indicate on the diagram the stage the project or programme that you work on currently has reached.



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#### Step 2: Problem tree

Now draw a problem tree representing the issues facing the people your project is assisting. Make the problem tree simple – use one impact, two effects, one focal problem, two main causes, and for each main cause, two specific causes. Start from the top and work your way down the tree, asking the question 'Why?' each time. See the example in this handout, and try to make yours look the same.

When completed, compare this problem tree with the problem tree that your partner has drawn. If there are any differences, note them and agree a compromise.



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#### Step 3: Solution tree

For the problem tree draw the mirror image solution tree. In other words, for each of the 10 entries you made in your problem tree, think of a solution.

You may already have a good idea of what the solution tree might look like from

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your project data.

If possible, try and use the Minimum Standards and key indicators from the Sphere handbook when you are drawing your solution tree.

When completed, compare this solution tree with that of your partner, and again discuss and agree a compromise if necessary.



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#### **Step 4: The logical framework**

Now manipulate the information from your solution tree into a logical framework format. If your organisation doesn't have a standard format, use the one provided.

Use the indicators from the Sphere handbook to fill in the 'indicators' column. Note that the Sphere indicators need to be made specific and as measurable as possible, before they fulfil the criteria of 'objectively verifiable'. In particular, knowing the situation of the people served by your project should make it clear how to adjust the indicator to incorporate a suitable timeframe and adapted to context, specific situation, problems and needs.



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#### **Step 5: The monitoring and evaluation plan**

Now take the relevant information from your logical framework and put it into the M and E plan format provided. Think carefully through how you are going to make the indicators operational. This step seems to be time consuming but it is fundamental to formalise the link between a theoretical planning and an operational system.



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#### **Step 6: Implementation (optional)**

Use the logical framework with the Monitoring and Evaluation plan to write an implementation schedule.

From the implementation schedule write up the resource needs, including human resources and management structure.

From the resource needs, draw up the budget.



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#### **Step 7: Reflection**

Discuss with your partner or other colleagues your thoughts on the process of applying Sphere indicators in your project context.

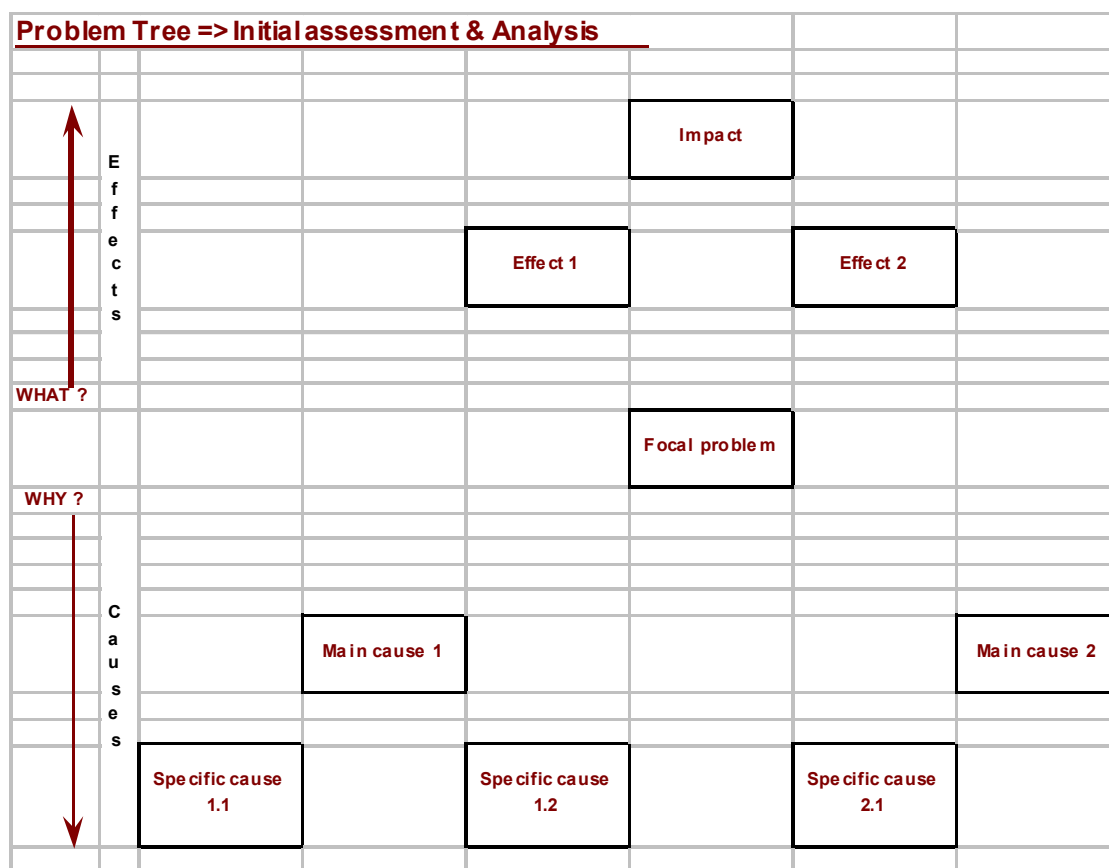
Answer the following questions:

- How many indicators can be realistically used in your project?
- Do you see the possibility of applying Sphere indicators in your project?
- Has the experience of thinking about your project throughout the project cycle made you think about changing or adapting your project?

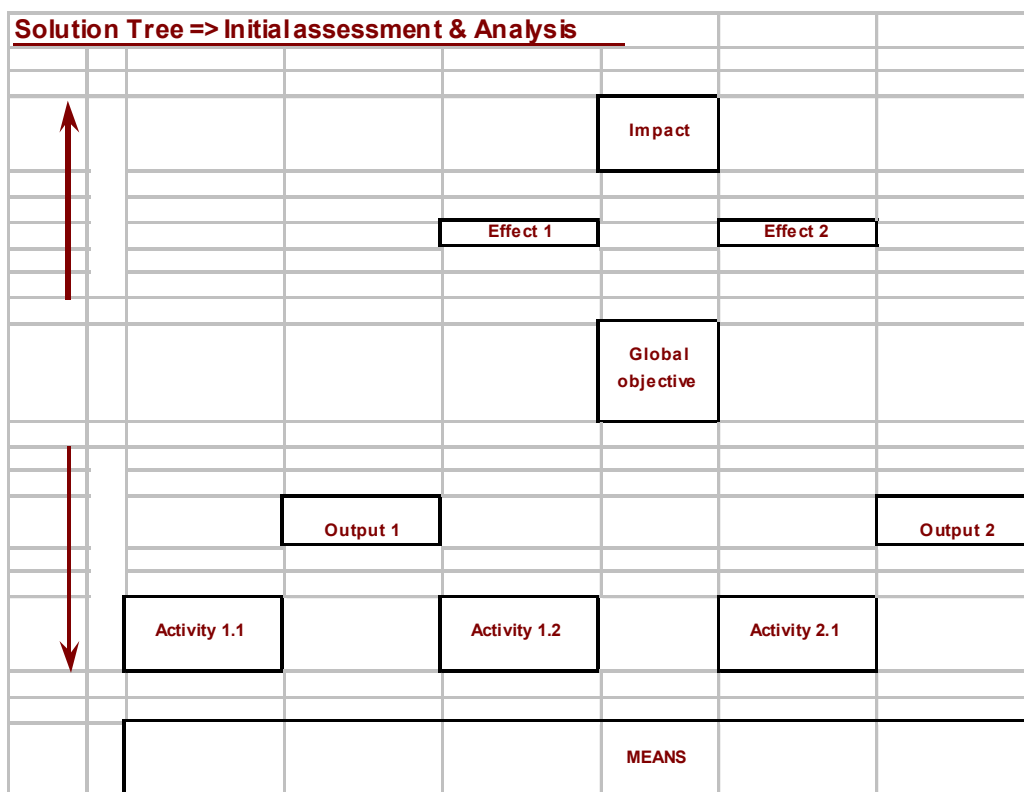
**Congratulations, you have successfully applied Sphere indicators in your project setting.**

## Optional exercise 3: Implementing the Sphere indicators

Problem tree format  
Handout (1 page)



## Optional exercise 3: Implementing the Sphere indicators Solution tree format



Optional exercise 3:  
**Implementing the Sphere indicators**  
 Logical framework format  
 Handout (1 page)

<b>Logical Framework =&gt; Project planning / M&amp;E</b>				
	Logic of intervention	Objectively verifiable indicators	Sources	Risks & Hypothesis
Impact				
Effects / outcomes				
Outputs				
Activities				
		Means	Costs	Initial conditions

## Optional exercise 3:

### Implementing the Sphere indicators

Monitoring and evaluation plan format  
Handout (1 page)

<b>M&amp;E plan : Project planning / Monitoring and Evaluation</b>						
LOGFRAME	Indicators	Means of verification		Use of information		
		Source	Frequency of data collect	Person in charge	Reporting system	Decision making process
Impact						
Assumptions						
Effects / Outcomes						
Assumptions						
Outputs						
Assumptions						
Activities						
Assumptions						
Means						
Assumptions						
Costs						
Assumptions						
Initial conditions						
Assumptions						

## Optional exercise 4: Local monitoring and evaluation practice

90 mins

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### Description


Small team work with group discussion on local indicators and how they compare with the key indicators in the Sphere handbook. Discussion on some of the constraints and issues to emerge, and who monitoring and evaluation are for.

### You can use this exercise:

- to help reinforce understanding of why monitoring and evaluation is important
- to practice identifying the key stakeholders in a project, and what they want from monitoring and evaluation
- in a field-based workshop, in either a single-agency setting or in an interagency setting
  - locally used indicators are more easily obtained for a single-agency training, using monitoring data for projects
  - in an interagency training, a recently completed joint evaluation would be needed to obtain broadly applicable local indicators, or information shared in a coordination meeting
  - other sources of information would be the local government administration or the UN agency that supports coordination

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### Timing

 90 minutes.

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### Preparation

- requires local monitoring data on the effect of humanitarian assistance programmes

### At least a dozen indicators are needed, for example:

- number of litres per day of water that affected populations have access to
- the caloric value of the food basket
- the amount of participation by affected populations in the design and management of relief programmes



## Exercise

### Brainstorm the question:


- what are the purposes of monitoring and evaluation?

### Write the answers on flipchart.

### Separate answers on to two flipcharts if different purposes for each emerge.

#### If not covered by the group, ensure that the following ideas emerge:

- project management
- accountability
- learning and improvement


 Allow up to 10 minutes.

### Ask:

- what goes wrong with monitoring and evaluation?
- why?

### Explain that:

- one of the main difficulties with monitoring is the wide variety of purposes it is used for

 Allow up to 5 minutes,

### Ask them to:

- work in teams of five or six people


**Give each team about three different indicators that have been prepared in advance, for example from joint evaluations, coordination meetings.**

### Ask each team to:

- compare their indicators to those in the Sphere handbook

**If there is a discrepancy between the locally used indicator and the Sphere indicator, ask groups to:**

- discuss why there is
- write down recommended actions

 Allow up to 25 minutes.

### Ask the teams:

- 'who is monitoring and evaluation done for?'

**Ask each group to:**

- draw a stakeholder map for evaluations

**If the group is unfamiliar with stakeholder maps, you may want to quickly sketch one on a flipchart, explaining that:**

- each circle represents one of the stakeholders involved in your project
- the closer to the centre your stakeholder is, the more important they are
- the larger the circle, the more time is taken up by that stakeholder

**Ask them to:**

- identify the agency in the middle of the map, the most important stakeholder in the project
- write down what the most important stakeholders want from monitoring and evaluation

⌚ Allow up to 25 minutes.

**Bring the main group back together.****Ask teams to:**

- summarise their discussions on indicators and stakeholders

**Ask them to:**

- display their stakeholder maps on the wall
- review the range of stakeholder maps during the next break

**Explain that:**

- monitoring and evaluation are challenging, but they are extremely important to obtain a credible and factual basis for encouraging duty holders to fulfil their obligations
- humanitarian organisations will be more effective advocates for resources for particular disasters if they are able to provide credible monitoring and evaluation information

⌚ Allow up to 20 minutes.

**Ask participants to:**

- read the Minimum Standards and key indicators for monitoring and evaluation from the technical chapter of their choice (2000 edition) or the Common Standards chapter (2004 edition)

⌚ Allow up to 5 minutes.

## Optional exercise 5: Evaluation exercises – Quiz A and Quiz B

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### Description

A quiz and a team reference exercise focusing on what the purpose of evaluation is, and how the indicators in the Sphere handbook can be used in evaluations.

#### You can use this exercise to:


- experience the importance of not making assumptions or jumping to conclusions when evaluating
- reinforce understanding of when and how to use the Sphere handbook in evaluation

#### You can use this exercise to:

- follow up after the project cycle case study given in module 3
- follow up to Session 5 on monitoring and evaluation

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### Timing

 The quiz takes 10 minutes, and the group work about 30 minutes.

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### Preparation

make photocopies of the following handouts for each participant:

- evaluator quiz
- evaluation criteria

## Quiz A: Fun evaluation quiz

### 10 mins

**Give each participant the handout: 'Evaluator quiz' (see page 302)**

**Ask:**

- participants to fill in the sheet individually

**Explain that:**

- you have 10 minutes to complete the quiz

**When most people seem to have finished, use the answer guide below to review the answers.**

- The point of the quiz is to highlight the judgmental nature of evaluation rather than go into detail on the answers

### Answer guide: Evaluator quiz

<b>1</b> <b>False</b>	The programme was in Yemen, and Yemeni building contractors had been deported home from Saudi Arabia a few years ago. They brought with them skills they had learned in Saudi Arabia and were responsible for the better built houses. Actually the evaluation team could find no one who remembered the training programme.
<b>2</b> <b>False</b>	For two reasons: Firstly, you cannot prove that the public health programmes are working. Secondly, the under fives are the most vulnerable, and they may all have died.
<b>3</b> <b>False</b>	The refugees may need other commodities that are not being distributed and are selling part of their ration as a commodity to manage their needs.
<b>4</b> <b>False</b>	Containers used to collect and store the water could be contaminated.
<b>5</b> <b>False</b>	There were two impacts: deforestation and longer term structures promoting a permanent settlement. The money did not contribute to a sustainable solution.
<b>6</b> <b>False</b>	Much of the population had fled and the population was much less than the census indicated. Damaged houses were the wrong indicator to assess the programme objectives.
<b>7</b> <b>False</b>	The government has given additional land for agricultural purposes to the refugees who are able to supplement the rations.
<b>8</b> <b>True</b>	The programme met its objective to prevent measles in the IDP population.

## Quiz B: Evaluation criteria and the Sphere Key Indicators

### 30 mins

**Ask the group to split into four teams, based on the technical chapters in the handbook.**


**Assign each team one evaluation criteria:**

- efficiency
- effectiveness
- impact
- connectedness
- relevance
- coverage
- coherence
- protection

**Give each team the handout: 'Evaluation criteria.'**

**Ask the teams to:**

- find one or two indicators from their chapter useful in an evaluation using the criteria assigned to the team


 Allow up to 10 minutes.

**Bring the group back together.**

**Lead feedback in the group, without formal presentations.**

**Ask each team to:**

- report on whether they were able to find indicators from the handbook to suit their criteria

 Allow up to 10 minutes.

**In the time remaining, ask the group:**

- how can Sphere help in planning or implementing an evaluation?

**The following questions may help you lead the discussion:**

- Do you think the information in the Sphere handbook could be used as evaluation criteria?
- Are there different ways to use the Minimum Standards, key indicators, the Humanitarian Charter, or Code of Conduct in evaluation?

## Optional exercise 5 : Evaluator quiz (Quiz A) Handout (1 page)

Tick the box **True or False** beside each question.

1. Ten years after an earthquake a team was sent to evaluate the effectiveness of a reconstruction programme that trained people to build quake-proof houses. It found that ten years later, people were building much stronger houses.	True	False
The training programme was effective.		
2. A programme tracks mortality rates on a weekly basis, and after five weeks of steadily increasing mortality rates, the under 5 mortality rate drops sharply.		
The public health programmes are finally working.		
3. Refugees are selling food in the market.		
Food distribution is set at too high a level.		
4. Diarrhoea cases are increasing sharply even though there is an increased supply of water.		
The water must be contaminated at the source.		
5. Enough plastic sheeting was distributed for temporary settlements and the IDPs in the settlement used trees from a nearby forest to make larger and more permanent structures.		
The shelter money was well spent.		
6. In a town that suffered aerial bombardment, the shelter programme calculated the number of new roofs based on numbers of houses damaged, the Sphere indicators for floor space and the national census. The average shelter area resulting from the programme amounted to less than 2 square metres per person.		
The programme failed to meet accepted Minimum Standards.		
7. In a certain long term refugee population, simple distribution of rice and oil provides 1500 Kcal per person per day.		
This programme is not good.		
8. In one IDP population, a health programme immunised all the under 14's for measles. There were no reported cases of measles even though other nearby communities had a few cases.		
This was an effective programme.		

Score	
8 Correct	You could be a good evaluator
6 and above	You have some good common sense
Below 6	You need to read the Sphere handbook!

## Optional exercise 5: Evaluation criteria (Quiz B) Handout (1 page)

### Instructions

#### In your team:

- choose a couple of key indicators from the Sphere handbook chapter that would facilitate an evaluation against the criteria you have been given

### Evaluation criteria

**Efficiency:**

Does the programme use the least costly resources to achieve its objectives in the given context ?

**Effectiveness:**

How far is the project or programme achieving objectives?

**Impact:**

What are the wider project effects on the target population or the country in general:

- intended or unintended
- positive and negative
- short and long term?

**Connectedness:**

Does the project ensure that activities for the short-term emergency are carried out in a way which takes longer-term problems into account.

**Relevance:**

What is the value of the response in relation to other priority needs, issues and efforts?

**Coverage:**

Is the project achieving the original objectives, or have they changed?

**Coherence:**

Will the exercise and its impact be likely to continue when external support is withdrawn, and will it be replicated or adapted?

**Protection:**

Is the project facilitating the protection of people's human rights ?

## Module 3

### Background Note

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**Please read this before coming to Module 3 as it:**

- will help you to get more from the training
- explores how the Sphere handbook can be applied at every stage of the project cycle.

**Use Section A 'Context' to review:**

- basic information on how to use the Sphere handbook in the project cycle.

**Use Section B 'Project cycle stages' to review:**

- the parts of the project cycle
- how the Sphere handbook is relevant
- how to use the technical chapters with each part of the project cycle.

**Use Section C 'Beyond the project cycle' to consider:**

- how humanitarians can address the top issues they face.



## Contents

### Module 3: The Project Cycle

#### Section A - Context

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**Use this to:**

- review basic information on how to use the Sphere handbook in the project cycle

**The humanitarian context****The project and its environment**

- humanitarian emergencies are complex events with many factors beyond the control of a humanitarian agency. The project cycle is a simple and pragmatic way of visualising the work that agencies do within that challenging and wider context

**Humanitarian space**

- humanitarian space is the combination of access to populations and resources available to help them.<sup>1</sup> Levels of access and availability of resources can change regularly during an aid operation. Agencies can themselves influence the humanitarian space available to them, for example, by refusing to supply relief where an unacceptably high proportion of the inputs are “diverted” by combatants to fuel a conflict. Humanitarian space may thus be restricted in the short-term, in the hope that this constraint will lead to more freedom to operate effectively over the long-term

**Issues affecting the context of humanitarian work**

- economic, social; political
- climatological, Geographical
- organisational
- cultural, psychological
- gender issues
- human rights issues
- societal norms and local coping capacities

**Biases affect our understanding of context**

The project cycle is about getting the facts, getting them right and working to ensure that planned humanitarian action is as appropriate, effective and accountable as possible. One problem that confronts humanitarian action is that we are all biased as to what ‘right’ is. Our perception about the world is based on our own history and experiences which will, inevitably, be different from other people’s experiences. Bias is natural, and not necessarily bad. The problem occurs when biased information is presented as objective, and a project is designed solely around this.

**Some examples of biases are:**

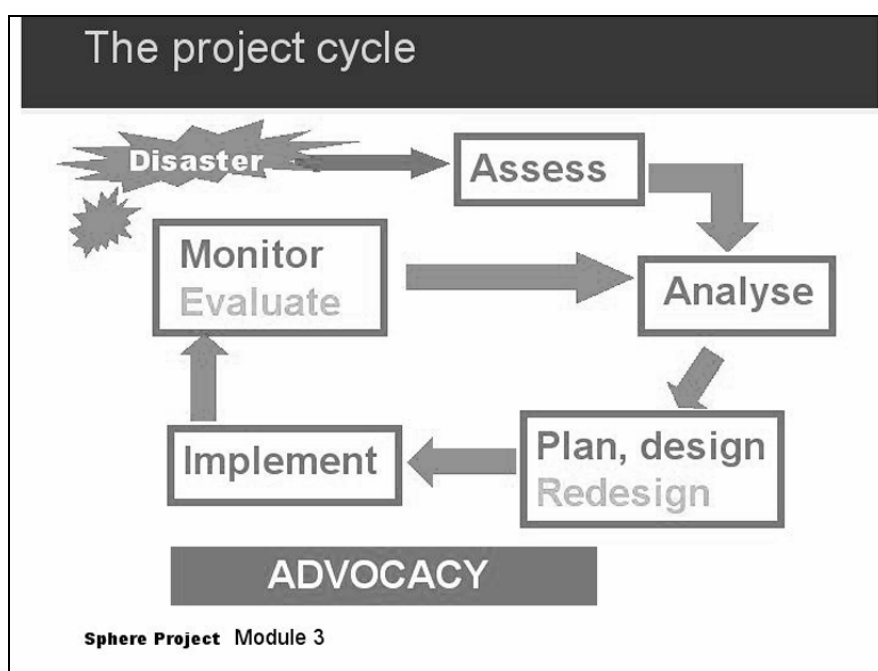
- cultural bias
- gender bias
- organisational mandate bias
- speciality or competence bias

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<sup>1</sup> Evaluating Humanitarian Assistance Programmes in Complex Emergencies, Good Practice Review, Alistair Hallam, September 1998

## The project cycle and some definitions

The Sphere handbook clearly differentiates between standards and indicators. It is important to understand that the Sphere standards are an interpretation of international legal instruments, and are qualitative. For each standard there are key indicators that assist when measuring whether a standard has been met or not. Determining which indicators to use when measuring whether a project is achieving its objectives, or meeting the Sphere standards, is a subtle exercise that requires technical expertise and experience in humanitarian operations. The guidance notes are designed to help in applying the indicators.



## The project cycle

**This is a simplified diagram of the project cycle. The project cycle:**

- is a way of conceptualising the management of projects
- a system that enables information to be managed efficiently

The first stage in the project cycle is to assess the humanitarian situation, and collect information. No disaster or emergency is static, and, in fact, the initial assessment only provides a snapshot of what is happening at a particular moment in time. As soon as the information is collected, it quickly becomes outdated. This is why the humanitarian project is presented as a cycle, with the steps continually repeated to keep the project relevant in a changing context.

## Operational constraints affect the use of the project cycle<sup>2</sup>:

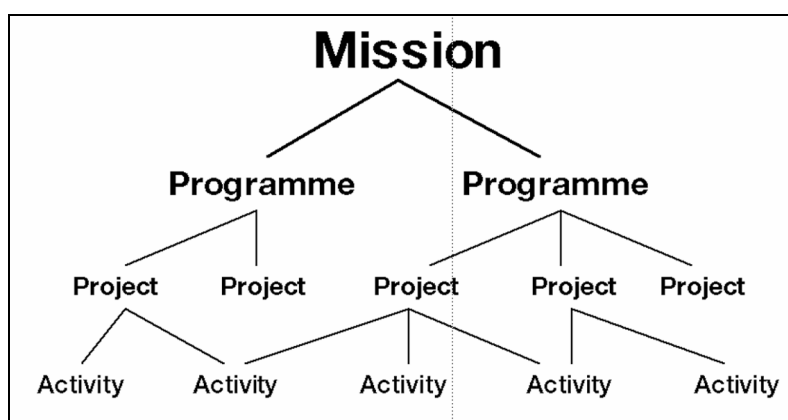
- shortage of time and rapidly changing situations

<sup>2</sup> A Practical Guide to Assessment, Monitoring, Review and Evaluation, Toolkits, Save The Children, 1995

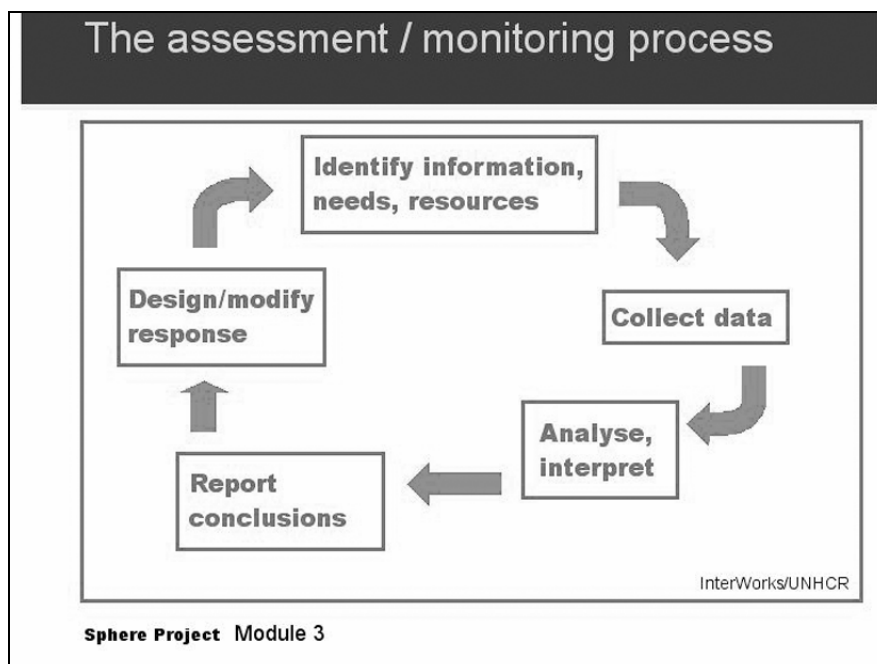
- initial shortage of staff and resources
- the need for short and long-term objectives
- coordinating work with different organisations
- managing large resources
- problems of communication and access
- cross-border operations such as when working in areas of disputed sovereignty
- serious consequences of poor decisions, resulting directly or indirectly in unnecessary deaths

### Terminology

The following scheme shows one way to define a humanitarian mission and its different components. Others may be used, but this terminology has been adopted here in order to have a common reference.



### Information management



If applied correctly, the project cycle can help manage information efficiently. Just as the project cycle is a continuous loop, the information management process can also be seen as a continuous loop, as long as response and assistance are in place. The cycle typically proceeds as shown above. The collection and storage of data and information in assessments and monitoring can be described as the 'engine room' of project cycle management. If it does not function properly, the entire system grinds to a halt<sup>3</sup>.

It is useful to distinguish between the terms 'data' and 'information'. **Data** is a collection of words, numbers, and other characters with a structure. Information is 'useful data'. Data becomes **information** when it has been analysed for a specific purpose.<sup>4</sup> **Knowledge** is systematically organised information which, by the processes of analysis, comparison, testing and generalising can be used to answer complex questions. **Wisdom** is the combination of the facts and insights of knowledge with practical experience in a way that can usefully guide action<sup>5</sup>.

### Constraints in managing data and information

The following factors act against efficient information gathering and management.

<b>Low priority for information systems</b>	Persons who collect data are frequently required to have this role as an additional task, to be worked in and around the more 'important' service-oriented tasks of the project actions.
<b>Involvement limited to collection</b>	Many staff do not understand the link between collection of information, and how the information contributes to their work. This problem is most common when staff members do not participate in either the planning of information gathering or the analysis of the data collected. They may not know why they are collecting the data, or why accuracy is important.
<b>Poor feedback to the data collector and/or the community</b>	Failure of field staff to get feedback about information they have collected contributes to low morale and a perception that the activity is not as important as other duties which are more regularly supervised and/or assessed for job performance. Failure to give feedback to the community: <ul style="list-style-type: none"> <li>• means they cannot recognise the value of the exercise</li> <li>• and breeds reluctance or resentment towards any future requests.</li> </ul>
<b>Quantitative bias</b>	A frequent complaint by project staff and other information users is the quantitative bias of project information systems.
<b>Human resource development needs</b>	The available staff may be unqualified for data collection and information management. This may be because there is relatively little opportunity for practical learning in this field. Coupled with this issue is staff apprehension about the 'difficulty' of monitoring and evaluation and analysis and interpretation of findings. This is not helped by the lack of common agreement about standards and methods among professionals <sup>6</sup> .

<sup>3</sup> The Monitoring and Evaluation of Empowerment, Resource document, INTRAC, November 1999

<sup>4</sup> Field Operations Guide, USAID, 1998

<sup>5</sup> Learning for Change: Principles and practices of learning organisations, Bruce Britton, Swedish Mission Council 2002

<sup>6</sup> Guidelines to Monitoring and Evaluation, CARE Uganda, Tom Barton, January 1997

## Module 3

### Section B: Project Cycle

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**Use this to review:**

- the parts of the project cycle
  - how the Sphere handbook is relevant
  - how to use the technical chapters with each part of the project cycle
- 

## STAGE: Assessment

Assessment means:

- collecting data on a disaster situation
- identifying capacities, needs and issues

It may take place soon after a disaster, as an initial assessment, or at any time. Assessments produce a 'snapshot' of a particular disaster situation at a specific moment in time.

**The Humanitarian Charter:**

- calls for acceptance and support of the 'humanitarian imperative' - the obligation to take action
- clarifies roles and responsibilities
- states that local coping mechanisms should be the pre-eminent disaster response.

However, an enhanced disaster response might include the national or international humanitarian community. When this is needed, the humanitarian community should respond in a supportive role that seeks to fill the gaps in assistance at a local level and offer support to reach the standards set out in the Sphere handbook.

**Assessment is the first step**

For every national or international organised response some degree of assessment is required. A good assessment will go a long way towards ensuring that external responders understand the situation fully. An assessment will help:

- prioritise actions
- facilitate an efficient response that avoids gaps and duplication of services
- provide baseline data for future monitoring

For international responders, assessments are key for planning humanitarian responses in ways that support local capacities, both in the immediate and longer term.

Since disaster conditions are dynamic, the initial assessment can identify:

- the most dynamic factors in an emergency
- key problems.

Ideally, this information is fed into a monitoring system.

### Example methods to collect data in assessments

- review of existing information – documents, reports, internet.
- observation process – visual inspection is one of the most common methods when there is little time, but it requires assessors who are experienced and can identify trends and indicators quickly.
- discussions, interviews.

Sample surveying using statistical methods. Well-conducted statistical surveys have a number of advantages, not least of which is the relative confidence. There are several different types, each fairly time intensive:

- mapping, ranking, charts.
- questionnaires, reports.
- audio and visual records

In each of these methods, indicators can serve as key questions to be asked. When used as a framework for assessment, indicators can also be useful in:

- establishing preparedness plans
- contingency planning
- resource allocation
- project implementation

This is useful considering the challenge of managing the large amount of information generated by an emergency response.

### Achieving speed and accuracy

In an emergency situation, speed and accuracy is crucial when assessing. In pragmatic terms the assessor must strive to be 'pretty accurate pretty fast'.

### Dealing with bias

Bias is one of the main challenges in assessment quality. However, there are various ways to reduce bias. For example:

- triangulation can be carried out within one assessment team and involves asking the same question in different ways or from different sources
- coordination involves sharing completed assessments between teams in different organisations
- joint assessments bring different organisations to the same assessment team so that the respective biases may balance each other or be revealed
- following baseline standards mitigates bias by ensuring that assessment procedures are not forgotten, and that the assessment questions are based on agreed indicators

### Dealing with inconsistency

In addition to bias creating problems of objectivity, assessments are often inconsistent or incomplete, and provide a weak foundation on which to analyse humanitarian problems. Most humanitarian practitioners are aware of the need for assessments, but often do not

provide enough information to support proper decision-making. Inconsistency in assessments can be caused by:

- inexperienced staff
- incomplete data
- too much detail, too little context – it is important to focus on what is measurable, but also consider the wider issues
- lack of community participation in the assessment and poor local knowledge of the assessors

**It is possible to address issues of varying consistency in assessments for example by:**

- staff training
- setting standard operating procedures for assessments within your organisations
- grouping assessment questions into themes which can encourage wider thinking
- using baseline standards

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## STAGE: Analysis

Assessment alone, without analysis, is meaningless. Analysis:

- consists of recognising patterns and making judgements
- enables the transformation of data into information
- provides humanitarian responders with decision-support tools to better respond to humanitarian crises
- is part of a logical chain of activities that begins with assessment and leads to action.

In the Sphere handbook, as in reality, assessment and analysis are intertwined. It is rare to find assessment information that has not already been analysed to some degree during its initial collection. In fact, most of the Sphere handbook incorporates a level of analysis in the standards and indicators.

### What needs to be analysed

The comparison of observed status, for example, the nutritional value of a daily food basket in relation to a pre-determined standard such as the amount required for the normal functioning of the human body, is a type of analysis. The analysis in this case results in a value judgement of whether or not the situation observed meets a minimum standard of acceptability. Further analysis typically goes beyond comparison against a standard, and seeks to understand the context in which the situation exists. While this may seem overly complicated in the face of an emergency humanitarian response, contextual analysis can be critical.

For example, in the case of a single patient, high fever is an indicator of sickness. It is assessed directly by taking the person's temperature. A number is obtained, and analysed by comparison to a standard. In most cases the assessment tool, or thermometer, has an analytical tool built in – a heavy red line at the 'standard' body temperature. Using this tool the assessor learns quickly, and in one step, that the person has a body temperature higher than the standard.

However, this is not enough. The assessor now wants to do something for the patient to restore health. The context of the fever becomes critical to determining the appropriate action. Is the fever due to an infection, flu, or malaria? In other words, the fever (body temperature above a known standard) is a valid indicator, but is not enough to support remedial action. The background to the fever, as well as other contextual factors, is as important as the indicator itself in determining response.

## Various 'lenses' through which to 'view' or analyse the context

<b>Analysis of gaps in available resources</b>	<p>The aim of analysis is primarily to:</p> <ul style="list-style-type: none"> <li>• ensure that the activities recommended for a humanitarian response are appropriate and not available locally</li> <li>• make recommendations to cover the gaps in local provision.</li> </ul> <p>The underlying consideration should be to determine where the gaps are in meeting the basic rights of the affected population. The analysis of local capacity (and actual activity) for response to a crisis is important in shaping the response as well as understanding the local context.</p>
<b>Social analysis</b>	<p>Includes understanding:</p> <ul style="list-style-type: none"> <li>• people's role in the local community and society</li> <li>• local power systems</li> <li>• how resources are controlled</li> </ul> <p>Understanding of these issues will ultimately shape the way a response is implemented.</p>
<b>Analysis of use and control of resources</b>	<p>When humanitarian assistance standards are used, care is needed in distinguishing between:</p> <ul style="list-style-type: none"> <li>• provision or existence of resources</li> <li>• access and control of those resources within the affected community.</li> </ul> <p>There needs to be an analysis of who controls the resources after they have been distributed. For example:</p> <ul style="list-style-type: none"> <li>• Is there equitable access to community resources?</li> <li>• Is there equitable access to humanitarian resources?</li> <li>• Who controls this access?</li> <li>• How might the proposed project affect resource control?</li> </ul>
<b>Political analysis</b>	<p>The study of social power structures within factions, movements, groups and subgroups within the affected community, as well as international agendas.</p>
<b>Economic analysis</b>	<p>Includes questions of self-sufficiency, poverty, and control of economic access within the affected community. Market studies such as the tracking of prices of staples in local markets, is one indicator typically followed.</p>
<b>Technical and sectoral analysis</b>	<p>This may be purely technical, for example in the analysis of statistical sampling data from nutritional surveys, or structural analysis of buildings to be used for mass shelter, or the chemical analysis of drinking water.</p>

All these issues are interdependent and also interact with the wider socio-economic and political context. There is some danger that technical analyses, conducted by technical



specialists, may not adequately relate findings to the wider context and influences on the affected population. The strength of any problem analysis depends on the accuracy, comprehensiveness and objectivity of the assessment data on which it is based. Good assessment data will contribute to a good analysis.

### Some analytical tools for problem analysis

The humanitarian community uses many analytical tools, for example:

- brainstorm, conflict analysis
- logical framework analysis or goal oriented planning
- capacities and Vulnerabilities Analysis
- benefits - Harms Analysis
- livelihood security, Participatory Rural Appraisal
- SWOT (Strengths, Weaknesses, Opportunities, Threats)
- problem trees, stakeholder analysis
- cost-effectiveness analysis

### Example of an analytical tool: the problem tree (see Session 3, Training notes)

This is a simple way of looking at the underlying causes of a particular problem, and how they interrelate. It is performed essentially through the following steps:

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Determine a focal problem on which to base your analysis.

This can be difficult and you may have to redo a particular problem tree after discovering that the initial focal problem is not the main one.



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Write down all the causes of the focal problem. The causes are determined by simply asking the question 'why?' For each cause, the question 'why?' is asked again. Eventually the root causes are determined for the focal problem.

For example:

Malaria is highest in the towns in the northern region.

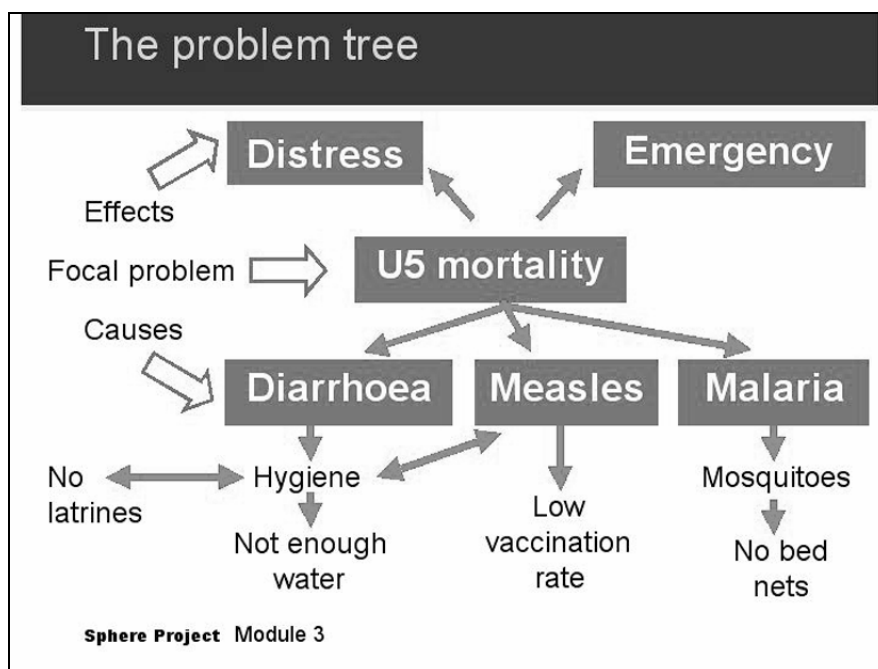
*Why?*

Because they are bitten by mosquitos.

*Why?*

Because the land is swampy,  
there is no vaccination and  
bed nets are not distributed

*Why?  
and so on*



The problem tree originated in development work where the effects of the problem are also noted. In a disaster situation, the effects are the most obvious indicators that a disaster has occurred.

This tool can also be used for programme planning. A mirror image is created of the problem tree, called a solution tree. For each problem, a solution is identified. The response to the focal problem is determined through organisational competence, resources and mission. In disasters, the problems closest to the focal problem are usually addressed because the effects are so immediate and severe. However, some organisations would address several problems simultaneously, with the option of addressing root causes through programmatic strategies such as advocacy or explicit links with developmental goals.

Please see the malnutrition conceptual model in the Sphere handbook 76/136

## Example of analytical tools:

### Capacities and Vulnerabilities analysis<sup>7</sup>

	<b>Vulnerabilities</b>	<b>Capacities</b>
<b>Physical / material</b>	Food aid not reaching rural communities, risk of starvation.	Roads currently quite passable.
<b>Social / organisational</b>	Economic problems blamed on ethnic minority.	New government appears to be more stable and active.
<b>Motivational / attitudinal</b>	Tendency to view humanitarian aid with cynicism.	18-30 age groups more open to the changes and actions needed.

This is a matrix type analytical tool, and is applicable to the community, group, subgroup, or even individual level. Typically we assess immediate need, rather than longer-term vulnerability, and we express this need as a lack of some physical resource rather than a symptom of poverty. In particular, this tool is effective when looking at social, cultural, motivational and attitudinal issues.

The idea of applying this tool in the analysis of assessment information is to consider not only vulnerabilities but also capacities of the people affected by a disaster. Capacities are often overlooked in conflict situations. The underlying premise is that the majority in most conflict-affected communities would prefer peace. Humanitarian assistance can then be used to reinforce connections between communities in conflict.

If responders could find ways to deal with underlying vulnerabilities instead of only immediate needs, then capacities may be harnessed and built and the community strengthened against future crises (due to reduced vulnerability). In this sense, this tool may enhance a participatory approach in disaster preparedness. There is debate within the humanitarian system on whether humanitarian aid should be used for building peace, as this is a political process that might compromise the impartiality of humanitarian agencies. In fact some would argue that protection of those affected by disasters first implies protection from “malpractice” by humanitarian aid providers.

### Benefits - Harms

Another set of tools is influenced by the capacities-vulnerabilities thinking and the rights-based approach. Benefits-Harms was devised by Paul O'Brien and published by CARE. It is a set of nine matrix tools to help humanitarian aid workers analyse the context and impact of their work, and support decision-making. This analysis is spread across the spectrum of human rights as defined in the Universal Declaration of Human Rights (1948) and is divided into categories:

- security
- economic
- social and cultural

<sup>7</sup> Mary B. Anderson – Do No Harm 1990

- political.

This is both an analysis and a project planning tool, and can be a model of applying the Humanitarian Charter around the project cycle.

## STAGE: Project planning

Assessment data is used to create an objective analysis of the problems faced by people in disasters. Once the problems are defined, prioritised, and the response capacity determined, programmes and projects can be planned. Planning combines analysis of the problems with the mission and capacity of the organisation.

From this combination, the key question is: “Which problems can my organisation address?” Once this decision has been made, projects can be defined and planned. Within programmes there will be specific disaster response projects, and within those projects, sets of activities that effectively and clearly address the needs and rights of the disaster-affected population.

### Project planning tool: The Logical Framework (or logframe)

The project logical framework is a tool for project planning. The logframe can be used for both individual project design, as well as larger programme design. It is particularly useful in the initial stages of planning as it forces the user to think clearly about logical relationships so that activities create outputs which meet the objectives which, in turn, meet the programme goals.

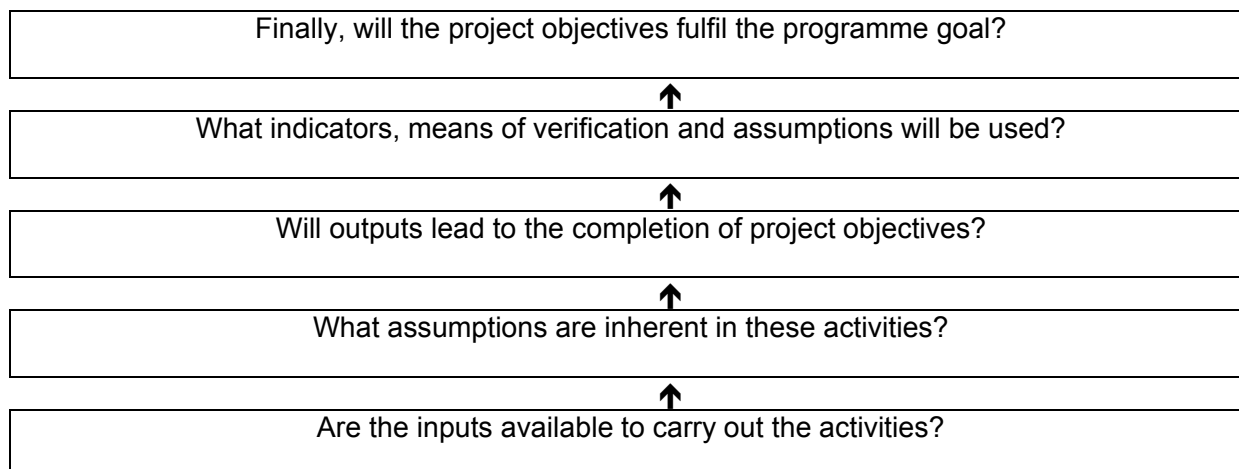
	<b>Narrative description</b>	<b>Objectively verifiable indicators</b>	<b>Sources of information</b>	<b>Risks, hypothesis, assumption</b>
<b>Impact</b>	<i>Humanitarian Charter and Minimum standards</i>			
<b>Effect, or outcome, or objective</b>	<i>Minimum standards</i>	<i>Key indicators</i>		
<b>Expected output</b>	<i>Key indicators</i>	<i>Key indicators</i>		
<b>Activities</b>	<i>Key indicators and guidance notes</i>	<i>Key indicators</i>		<i>Guidance notes</i>
<b>Inputs</b>				

### The logical framework is a matrix tool:

- You fill in information, row by row, from top to bottom, from impact to inputs
- Then you verify the logic moving row by row from bottom to top, from inputs to the impact you want to have.

<b>First row Impact</b>	Deals with the programme goal or desired impact of the programme, listing: <ul style="list-style-type: none"> <li>• the goal in a sentence</li> <li>• one or two indicators that will measure whether this goal has been achieved</li> <li>• means of verification on how the indicator will be measured</li> <li>• important assumptions about how the project effects support the programme goal.</li> </ul>
<b>Second row Effect Outcome Objective</b>	Deals with the project and its effects using the same system: narrative description, indicators, how the indicators will be measured and, finally, the important assumptions that link the project outputs to the effect.
<b>Third row Expected output</b>	Deals with outputs of project activities. Outputs are the results of disaster response operations. For each project effect, there will usually be several outputs. Assumptions are made, if necessary, about the activities that will lead to the outputs, and about the effect of several outputs.
<b>Fourth row Activities</b>	Lists the activities undertaken by the project that will produce the desired outputs. For each output there may be more than one activity.
<b>Fifth row Inputs</b>	Lists the resources or inputs required to undertake the activities.

Once the framework is initially completed, it is checked in reverse order, from bottom to top.



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## STAGE: Implementation

The Sphere handbook contains information that is available as reference material for those implementing projects.

Implementation is done at the discretion of the agency, and relies on agency defined procedures.

How a project will be implemented depends entirely on the context, and every context is different.

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## STAGE: Monitoring

Monitoring is a continuous process for the duration of the project. It is a technical activity based on data collection. The knowledge and skills required for monitoring are the same as for assessment and analysis. In fact monitoring can be viewed as a combination of assessment and analysis that occurs after a project has started.

Monitoring is essential in a rapidly changing situation. The purpose of monitoring is to find out whether the relief programme is effective, and how strategies should be modified to make sure that it is. To do this, it is necessary to monitor the following:

- the programme and projects
- the process (how it is carried out)
- the impact and changes in the situation, including population movements, political changes, and changes in factors affecting health, nutrition, and socio-economic activities.<sup>8</sup>

Evaluation on the other hand is an activity in itself, usually done by people external to the project. It can occur during implementation, at the end, or even a few years after the project is completed, and draws conclusions about whether the right job is/was done well. Evaluation looks at the impact of the project and the appropriateness of the action. Monitoring and evaluation collect information to improve projects after they have started. These activities can often merge and are part of the continuous process of re-evaluating the needs and the appropriateness of responses to the humanitarian situation. This is particularly true in long-term, complex emergencies.

### Different tasks in monitoring

preparing and planning the monitoring system:

- cost, human and material resources, means of communication and reporting
- setting up an indicators checklist: selecting, operationalising
- defining methods for data collection
- collecting data
- storing data
- analysing information

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<sup>8</sup> A Practical Guide to Assessment, Monitoring, Review and Evaluation, Toolkits, Save The Children, 1995

- reporting.
- reflecting, reorienting, redesigning

### What is monitored?

Monitoring in emergencies requires information on:

- the progress of project implementation
- developments in the project environment (context)
- the interaction between the project and its environment (effect of the project on the rights of the people being assisted)

### Guiding principles for monitoring<sup>9</sup>

- focuses on minimal but key information from critical areas in order to avoid overwhelming the system with reports and unnecessary data
- includes all forms of communications: (verbal, written, formal, informal) to create the potential for cross-checking information
- enhances the quality of our actions through learning and accountability.
- receiving information creates an obligation to act on the operational and strategic implications. From one perspective, the “humanitarian imperative” in the Humanitarian Charter applies to monitoring. As humanitarian responses are implemented, monitoring will provide information on whether results are being achieved and whether the context is influencing the results of the action. Information produced by monitoring will clearly indicate whether a project should be changed, and there is an imperative to act on that information.

The selection of what information to collect, or which indicators to use, should be made from the initial needs assessment, and modified according to the analysis during the follow-up. In emergencies, monitoring often blends with evaluation. In unstable situations monitoring and evaluation might take place regularly by various means:

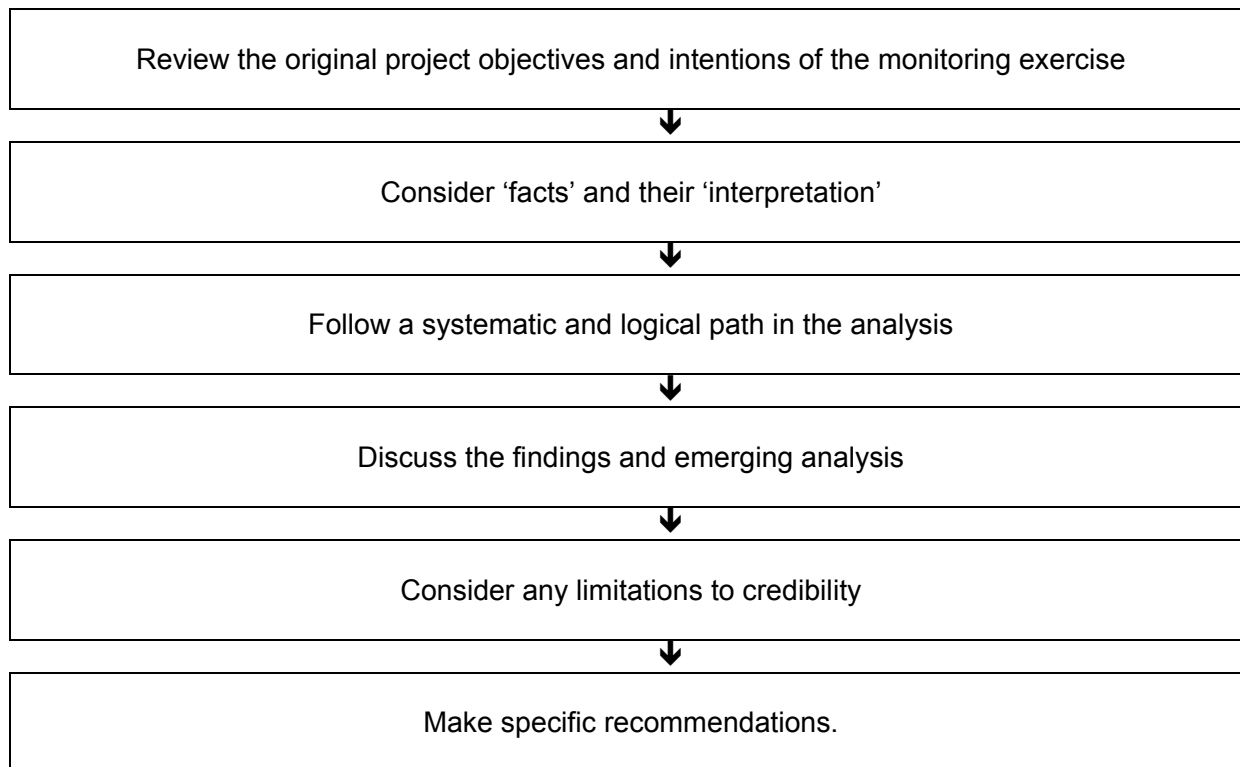
- discussing and exchanging information with partners
- writing reports
- using computers for analysis (spreadsheets, databases, statistics, graphics, or combined programmes)
- using diagrams, matrices, mapping etc
- using video, photos

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<sup>9</sup> Monitoring in MSF, Introduction and Tools, MSF Amsterdam, April 1999

### The process of data analysis

The process of analysing data in monitoring is similar to that presented in the analysis section of this module. Consideration of the bias in information sources and the consequent limitations on the credibility of the findings are crucial. The steps involved are:





## Operationalising the indicators

Projects may have difficulties moving beyond the stage of indicator identification and selection. The key issue with qualitative indicators is how to operationalise them, that is how to implement them in project work.<sup>10</sup>

## A tool to create a monitoring plan

The following is an example tool to help 'operationalise' indicators when monitoring. This matrix tool organises the monitoring plan. It is similar to a logframe.

	Indicators	Means of verification		Use of information		
		Source	Frequency of data collection	Person in charge	Reporting system	Decision making process
<b>Impact</b>						
Assumptions						
<b>Effect</b>						
Assumptions						
<b>Output</b>						
Assumptions						
<b>Activities</b>						
Assumptions						
<b>Inputs</b>						
Assumptions						
<b>Initial conditions</b>						
Assumptions						

## Monitoring tools in the Sphere handbook

- Monitoring tools are quoted and detailed in the annexes of the Sphere handbook. In particular, see annexes to the Health chapter.

<sup>10</sup> The Monitoring and Evaluation of Empowerment, Resource document, INTRAC, November 1999

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## STAGE: Evaluation

Evaluation should serve the purpose of stepping back to assess whether the project is doing the right thing, and learn lessons for future work. Evaluation answers questions like:

- “was the project design sound?”
- how can it be improved?
- what were the unintended consequences of the project?
- did the project cause the observed change?”

### Evaluations are important because:

- humanitarian operations are becoming more complex and more frequent. The scale of humanitarian assistance has increased dramatically over the past decade
- the effectiveness of relief operations is crucial for beneficiaries<sup>11</sup>.
- humanitarian operations are characterised by turbulence, uncertainty, insecurity, political sensitivity and many different beneficiary groups, implementing actors and funding agencies. At the operating level, the focus on immediate needs and tasks detracts attention from broader and long-term perspectives
- humanitarian agencies have short institutional memories. Personnel turnover is extremely rapid and the majority of field workers are young with relatively little field experience
- although monitoring and evaluation are different processes, there are times when they merge, specifically in emergencies

### Evaluation can increase accountability and contribute to learning<sup>12</sup>

- to donors: to meet their demands that resources are being used effectively, efficiently and for agreed objectives
- of donors to the organisations they fund and work with
- to the people affected by disaster in whose name these organisations are working.
- to the organisation and its staff, partners and beneficiaries by determining what works effectively for immediate use, and for use in other disaster contexts

### Evaluation criteria

The evaluation should be based on predefined criteria in order to obtain a precise analysis.

Frequently used categories include:

- **Efficiency:** Does the programme use the most economical resources to achieve its objectives in the context?
- **Effectiveness:** How far is the project or programme achieving objectives?
- **Impact:** What effect has the project had on the target population or the country in general? Were these effects intended or unintended? Were these effects positive or negative, both in the short and long term? Impact in relation to emergency response is generally seen as

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<sup>11</sup> Disasters, Volume 20, N°4, Evaluating the International Humanitarian System, Niels Dabelstein, 1996

<sup>12</sup> A Basic Guide to Evaluation for Development Workers, OXFAM, Frances Rubin, 1998

being both about saving lives in the immediate term, that is, significant change, and also about achieving long-term developmental change.<sup>13</sup>

- **Connectedness:** Do the activities designed for the short-term emergency take longer-term problems into account?
- **Relevance:** What is the value of the action in relation to other priority needs, issues and efforts?
- **Coverage / Progress:** Is the project achieving the original objectives, or have these changed?
- **Coherence / Sustainability:** Will the activity and its impact be likely to continue when external support is withdrawn, and can it be replicated or adapted?

### Modification of disaster response

Evaluation results should be used. This means:

- a decision process
- a consideration of the monitoring and evaluation results by the operational team and stakeholders
- a financial capacity analysis and communication with donors

### Writing Terms of Reference (TOR) for an evaluation

The TOR of an evaluation should cover: the context, purpose and objectives of the activity, work, project or programme to be evaluated:

<b>The objectives</b>	Major issues to be addressed, the focus for the evaluation, the questions to be answered.
<b>The methods</b>	Visits, review of documentary material, data-collection, interviews, workshops.
<b>The timetable</b>	Schedule for the major activities of the evaluation and its completion date.
<b>The products</b>	The products required from the evaluation exercise (report, workshop), who is responsible for producing them, who will present them, who the reports are for.
<b>The evaluation team</b>	The person specifications of each team member, their number and the ideal combination of skills and experience at team level.
<b>The budget and logistics</b>	Details of the main expenses and logistical support being offered.
<b>The use of information</b>	Extent of confidentiality, ownership of the report.

<sup>13</sup> Assessing the Impact of Interventions in Emergency Situations, Elsa L. Dawson, February 1998

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## **How the Sphere handbook is relevant to evaluations**

- there are standards evaluation that outline some components of evaluation.
- evaluations of humanitarian programmes can compare what a programme achieved against what is given in the Sphere handbook through its Minimum Standards and Key Indicators (although the indicators should be prioritised and only a realistic number used)
- evaluations can also look at the decision-making processes of an organization in response to a crisis by comparing performance to the Humanitarian Charter and the Code of Conduct

## Section C – Beyond the project cycle

### Use this to consider:

- how humanitarians can address the top issues they face.

### Using evaluation to drive improvement

The last stage of the project cycle, evaluation, can help the humanitarian community to identify priority areas for improvement. For example, the 2002 annual review by ALNAP (Active Learning Network for Accountability and Performance in Humanitarian Action) identified key issues for practitioners

Each year ALNAP:

- studies a large number of humanitarian evaluations (in 2002 it was over 50)
- produces a synthesis and summarises the issues facing the sector in priority

### Introduction: ALNAP findings

The annual review reported that, in most cases, short term objectives were met and that humanitarians had done their job well.

About 75 percent of programmes evaluated by the annual review were implemented by NGOs, and the evidence is that NGOs generally perform well in providing assistance on the ground. Much of this achievement appears to have been due to the quality and commitment of the staff employed by humanitarian agencies. “The sense one gains from the reports ...is that it is the quality and commitment of the staff that compensates for the inefficiencies and failing of the Sector in its operations, and enables the “job well done” verdict.

### How the technical sectors tend to perform

In analysing the performance of the technical sectors, (in terms of meeting short-term objectives), it has been found that health and water / sanitation perform the best. Food (and emergency agriculture) perform less well, and the least well performing sector was shelter and housing. The reasons tend to be of a technical nature, rather than due to the people or organisations involved. For example, factors specific to the shelter/housing sector were identified as:

- there is political pressure to allocate resources visibly and quickly, and although purchasing of materials can happen quickly, delivery is slower and highly problematic
- the substantial cost of providing a house to a household compared with other forms of assistance and that it represents a contribution to a household’s asset base rather than a consumable, as is the case with most other forms of relief assistance
- the involvement of land titling and ownership issues in the provision of housing, especially in areas where land titles are unclear and land ownership is a frequent source of community and gender conflict, substantially complicating housing provision
- shelter and housing, perhaps more acutely than any other sector, squarely straddles the relief/rehabilitation divide, exacerbating the generic relief/rehabilitation problem, with substantial confusion over whether supporting “emergency” housing is relief or rehabilitation

Based on this analysis, ALNAP concludes that direct support to housing may best be left to rehabilitation / development organisations.

### The 2002 ALNAP review also identified 10 top performance issues for humanitarians

<b>1 Human Resources</b>	The Sector's record in its treatment of staff is often poor, with low investment in skills development and inadequate training provision. These factors contribute to the high attrition and turnover rates in the sector. "For the performance of a sector to be dependent on a continuous supply of willing and able staff prepared to give it their all for a few years and then drop out to work in sectors that offer a more stable and secure lifestyle cannot be sustainable. It is certainly not conducive to increased professionalism and the development of a strong learning culture."
<b>2 Preparedness</b>	There is a continuing general disregard by governments and agencies of the importance of preparedness as a means of reducing vulnerability and loss of life, when disasters and population displacements occur.
<b>3 Coordination</b>	Poor coordination continues to be the reality, especially at the international level.
<b>4 Participation and capacity building</b>	Facilitating community participation in planning and decision-making continues to be problematic. No examples of systematic good performance were found in this year's reports.
<b>5 Supporting indigenous coping strategies</b>	Despite recognition of the key role played by indigenous coping strategies during and following crises, the sector has yet to develop means for supporting and building on them.
<b>6 Gender equality</b>	Gender equality continues to be poorly covered by evaluation reports, with gender perspectives systematically ignored by many programmes.
<b>7 Targeting agencies</b>	Targeting agencies need to be more responsive to different cultural practices.
<b>8 Linking relief, rehabilitation and development (connectedness)</b>	Linkages between the different modes remain weak, and the transition through them continues to be a persistent problem in most operations.
<b>9 Protection</b>	There was a general lack of attention to protection and many humanitarian agencies continue to operate in traditional "assistance-delivery mode".
<b>10 Results-based planning</b>	The setting of objectives and monitoring is particularly poor in the Sector, hampering the evaluation process and limiting the Sector's ability to assess its performance. Mandatory beneficiary satisfaction surveys are proposed as a means of improving monitoring systems and making programmes more responsive to the needs of affected populations.