FINAL REPORT

ASSESSMENT OF EXPERIENCES, ATTITUDES, BELIEFS, DEVELOPMENTS AND IDEAS AMONG IMPLEMENTING, DONOR AND SUPPORT AGENCIES WITH RESPECT TO MONITORING AND EVALUATION OF WATER AND SANITATION PROGRAMMES IN CAMPS FOR REFUGEES OR DISPLACED PERSONS.

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Leiden, 01-05-1996

Executed under the authority of the Emergency and Humanitarian Aid Bureau of the Netherlands Ministry of Foreign Affairs

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Preface and acknowledgements

This report gives the results of an assessment of experiences, attitudes, beliefs, developments and ideas among implementing and donor agencies with respect to monitoring and evaluation of water and sanitation programmes in camps for refugees or displaced persons. Twelve organizations, directly or indirectly involved in water and sanitation programmes in camps, participated in the assessment, among them implementing, donor and support agencies. The assessment was further backed up by a number of resource persons who provided inputs in a number of issues included in the report (for further details about the participants and resource persons see Appendix 3).

The aim of the study was to provide a basis for further improvement of M&E in W&S programmes in camps. Therefore a number of conclusions and recommendations for follow-up activities are included in the report.

The main conclusion, largely supported by the participating organizations, is that there is a need to build on the experience available within the organizations and use this as a basis for the development of comprehensive guidelines for monitoring, evaluation and reporting specifically for water and sanitation programmes in camps.

Another important conclusion, backed by most of the participating organizations, was that both implementing and donor agencies could do more to develop their human resources further with respect to the subject, i.e. training of their staff and employment of staff with specific skills in water and sanitation, especially the 'software' side of it, including M&E.

I would like to express my gratitude to all the people who participated for their organizations in this assessment. When they said 'Yes' to taking part in this assessment many of them were not aware of the amount of work involved. However, despite the enormous workloads under which most of them are functioning in the organizations they represented, most of them put in a lot of effort and goodwill. Thanks!

I would also like to thank all the people who have contributed with their experienced advise on many of the subjects discussed in this report.

The study was directed and coordinated by Tom de Veer, an independent consultant, who bears the responsibility for this report. The work was executed under the authority of the Emergency and Humanitarian Aid Bureau of the Netherlands Ministry of Foreign Affairs but does not necessarily reflect its opinions.

Executive summary

This report presents the findings and recommendations resulting from an assessment of the experiences, attitudes, beliefs, developments and ideas among a number of implementing, donor and support agencies with respect to monitoring and evaluation of water and sanitation programmes in camps for refugees or displaced persons.

The assessment had a participative approach and comprised a review of relevant literature, a questionnaire which was answered by each of the participating organizations, an analysis of guidelines and evaluation reports received from several of the participating organizations, participation in the Emergency Sanitation Workshop in Oxford in December 1995, and feed-back from the participating organizations and resource persons on a draft report about this assessment.

The main findings of the assessment

- In camps many factors hamper the proper execution of M&E. Lack of time and insecurity are notorious in this regard. There are ample opportunities however to improve M&E further. They include: raising awareness, motivation and skills of staff of both implementing and donor agencies with respect to the subject (e.g. through training of staff and/or employment of staff with skills in the 'social' side of W&S), improvement of management tools for M&E (e.g. guidelines), introduction of structural methodologies for programme planning, and improvement of organizational structures in order to optimize the use of available information.

- Proper planning which includes a clear formulation of objectives, activities, indicators and time frame is imperative for good M&E and some organizations have good experience in using structural methodologies for planning such as the Logical Framework Analysis.

- Almost all organizations have and/or use some kind of guidelines for M&E which often also include formats for reporting. These guidelines all contain valuable information although many of them are general guidelines covering some subjects on M&E or guidelines primarily written for development programmes. Many of them also have a high abstraction level. Several guidelines include lists of indicators covering parts of the information needed for programme evaluation. The guidelines were used as a basis for an initial outline of specific guidelines on M&E of W&S programmes in camps.

- Donor agencies have guidelines for the application of programme funding which contain conditions for monitoring, evaluation and reporting. These conditions are usually written in quite general terms and could be further specified.

- M&E can also be looked at in a larger context: quality control. The introduction of formal quality control structures for all processes executed by an organization is quickly gaining importance in businesses and in many cases quality control certification (e.g. ISO 9000) is demanded by clients. Soon the trend may also be expected to arrive in the 'aid business'. The first signs of this are already apparent.

- On a number of subjects related to M&E of W&S programmes in camps knowledge is lacking, for instance M&E of 'efficiency' and 'sustainability', and M&E of hygiene behaviour.

- Many of the reports analysed contained important programme information. It could clearly be distinguished that different kinds of reports reviewed different kinds of programme aspects and with different degrees of detail. The reports were used as a basis for compiling an overview of different report types and the subjects proposed for inclusion.

- Optimizing the use of information was found to be a point that needs attention. This could be achieved by improving or implementing certain organizational structures/procedures such as those to ensure better reading and use of reports, and the introduction of mechanisms for a continuous assessment of the appropriateness of the existing organizational structures based on information available to the organization. Such structures and procedures are important at all organizational levels, from the field to the head-office.

The main recommendations supported by a majority of the participating agencies

Among the agencies who participated in the assessment the general consensus of opinion is that M&E of W&S programmes in camps can and should be improved further. Many of the agencies therefore have already made M&E a focal point of attention in their organizations. In particular the following proposed activities were supported by most of the agencies:

- **Develop simple, clear and comprehensive guidelines for monitoring, evaluation and reporting specifically for water and sanitation programmes in camps.** These guidelines should largely be based on the knowledge already laid down in existing guidelines and available in the personal experiences of many of the organizations' staff involved in W&S programmes in camps. Preferably the collection of existing knowledge and experience should be a joint effort of implementing, donor and support agencies. The work should be supplemented by additional investigations where needed and the results should be field-tested. One organization could take the lead in coordinating the activities involved.

- **Develop training courses on monitoring, evaluation and reporting and allow staff (of both implementing and donor agencies) to participate in such courses.**

- **Employ more staff with specific knowledge of water and sanitation issues and with particular skills in the 'social' side** (including aspects such as participation, hygiene education <u>and</u> monitoring, evaluation and reporting). For implementing agencies this especially concerns field staff, while donor agencies may need such people both in the field and in their offices.

Introduction

Relief agencies involved in water and sanitation programmes are aware that monitoring and evaluation is a subject that needs attention and improvement. A conclusion of the Emergency Sanitation Workshop in December last year in Oxford, attended by representatives of most of the important relief agencies, was for instance that *'Part of the reason for the variable quality of sanitation work in emergencies is the lack of suitable project management tools to enable implementing agencies, co-ordinating bodies, and funders to measure and control the quality of work done and to allow objective evaluation of performance and impact' (Adams 1996).*

Recent studies have greatly contributed to the development of this awareness. Flikkema, Frerks and Kliest for instance, lay the finger on the problem with the conclusion that: *'Preparations and appraisals (by implementing agencies) have to be quick and general and are based on incomplete information. For this reason monitoring becomes a necessary tool for the implementing agencies in their management of interventions. At the same time it would facilitate reports to the donors. Yet contracts with the agencies did not always provide for adequate monitoring or for reporting. Most progress and final reports varied in their coverage, depth and frequency and were inadequate as monitoring instruments. Adequate reports to donors would support more informed decision making and reinforce the trust essential between cooperating partners. Intervention management, useful reporting to donors and the subsequent evaluation of the interventions all depend on good and appropriate monitoring.'* (Flikkema, Frerks and Kliest, 1994).

Awareness is thus growing that monitoring and evaluation of emergency W&S programmes should be improved. However, improvements can only be based on knowledge of what is wrong and what possibilities there are for improvement. But only limited documentation is available on this subject. On the other hand all organizations involved in emergency W&S programmes, both implementing, donor and support agencies, have of course their own experiences with monitoring and evaluation of such programmes and will certainly also have ideas, beliefs and initiatives with respect to this subject. As it was believed that this should be the basis for the improvements needed, it was decided to propose a study focusing on these aspects. To avoid too much complexity it was also decided to focus on camps for refugees or displaced persons. The reasons for this choice were that currently most international relief interventions are implemented in camp situations and that for those environments unique M&E systems are needed.

This study therefore aims to:

ASSESS EXPERIENCES, ATTITUDES, BELIEFS, DEVELOPMENTS AND IDEAS AMONG IMPLEMENTING, DONOR AND SUPPORT AGENCIES WITH RESPECT TO MONITORING AND EVALUATION OF WATER AND SANITATION PROGRAMMES IN CAMPS FOR REFUGEES OR DISPLACED PERSONS, AND STIMULATE FOLLOW-UP TO IMPROVE MONITORING AND EVALUATION OF SUCH PROGRAMMES.

Strategy:
A participative approach was chosen as it was believed that through active participation of implementing, donor and support agencies not only a lot of important information on the subject could be obtained but that also a basis would be created for cooperation and coordination among the agencies involved for the further development of improved monitoring and evaluation systems.

First relevant literature was reviewed and questionnaires developed by the consultant. The participating organizations were then asked to answer to the questions during meetings with the consultant and provide their guidelines on M&E as well as some programme reports, for further analysis. Usually, after further communication, a confidential report was made for each of the organizations, containing a description of their answers to the questions and comments on their guidelines and reports. With all the information a general report was drafted which was sent to the participating organizations, other organizations and persons involved in the study, and the donor who funded the study. To stimulate participation and follow-up further, the participating organizations had been asked, prior to the commencement of the study, to commit themselves to discussing the outcome of the study internally, comment on it and formulate proposals for follow-up within two months of receiving the general draft report. It had been explained to them that their comments would be incorporated in the final report and that their proposals would be used in the recommendations for follow-up in this document. All participating organizations agreed to this. Several people were asked to act as a resource for specific support during the study.

It is anticipated that this final report will form a basis for further discussions within each of the organizations who participated in the study and lead to activities for the improvement of M&E in W&S programmes in camps.

Chapter 1. Basic principles

1.1 Introduction

This Chapter sets out a number of principles which lay the foundation for this report. Among the issues discussed are the specificness of the subject, the terminology used, and some general aspects and considerations with respect to the subject. M&E is put in a wider context as well: quality control. The reader interested in general background information on M&E is referred to Appendix 7.

1.2 Terminology

Objectives: **the results to be achieved.**
(To be described as specifically as possible, including, as far as possible, time frame, target groups, quantitative and qualitative targets). Objectives are often formulated at different levels and indicated with different terms such as *Goal, Aim, Main or Overall objective, Project purpose, Objective, and Specific objective, Result and Output.* An example of how they may be used:

The '*Goal*' is the main overall objective a programme is meant to contribute to as part of a larger framework (e.g. 'relieve the suffering of refugees'). To achieve this goal, a number of '*Aims*' may be defined, such as 'protection from further violence' or 'assistance with basic needs' which may be further sub-divided into '*Main objectives*', such as 'curative health care' and 'water supply and sanitation'. The main objectives are divided into '*Project purposes*', which are comprised of statements regarding the effects which specific projects are expected to achieve (e.g. 'sufficient clean water being easily available to the target population'). Again these may be divided further into '*Specific objectives*', which are specifically targeted at a part of the programme and are thus described in more detail (e.g. '90% of the water produced should be of good quality, i.e. turbidity not exceeding 10 NTU, Faecal Coliform < 15 E.coli/100 ml, Residual Chlorine, if applicable, between 0.2 and 0.5 mg/l and pH between 5.8 and 8.0'). (Largely based on NORAD 1990, Davis and Lambert 1995, and several guidelines of the participating organizations)

A problem is that the terminology is used in different ways in practically each and every document, often in different sequences, with different levels of abstraction and for different purposes. However, irrespective of the terminology used, it is important that from the highest to the lowest level objectives the focus becomes progressively more specific and descriptions more detailed. Also all the objectives of one level, taken together and if achieved, should attain the objective to which they are connected at the next higher level.

Indicators: **the variables on which information needs to be gathered.**
The information is used to assess the programme results and determine the changes/adaptations needed. When defining indicators it is also important to define how, when, where and by whom they will be measured. Indicators should be, as far as possible, objectively quantifiable and verifiable, reflect changes in the situation and measure what they claim to measure. When a qualitative, quantitative, time and/or location specification is added to an indicator, it is often called an *'Indicator statement'* which can be compared with the specifications as given above in the 'Specific objective' (e.g. Faecal Coliform < 15 E.coli/100 ml) (partly after NORAD 1990).

Monitoring: **the regular gathering and analysis of information mainly for day to day programme management.**
The main purpose is to provide the information needed to improve and optimize a programme and adapt it to changing circumstances. In addition much of the information obtained through monitoring serves as a basis for programme evaluations later on. Usually through a monitoring system information is also gathered with more value for evaluation and accountability purposes than for daily programme management (e.g. financial administration). Usually weekly and/or monthly reports are produced containing a summary of the most important information, results and adaptations made, as well as plans for activities and adaptations in the near future. Besides information obtained through the monitoring system, these reports also contain information obtained through other channels such as unstructured and/or ad hoc observations. Other monitoring documents are the administrations of programme finances, materials and equipment.

Evaluation: **an in-depth assessment , of the performance of an ongoing or completed programme, executed, as systematically and objectively as possible, during a limited period of time.**
This concerns the determination of the *efficiency, effectiveness, impact, relevance and sustainability* (the 'evaluation elements') of the programme and its activities, and is used to learn, draw conclusions, and recommend the changes needed to improve the programme, future programmes, and/or organizational structures or procedures. (Largely based on OECD 1986). (During monitoring the five evaluation elements also play an important role but are then mainly assessed on their importance for daily programme management). Evaluation activities include the collection of additional information, verification, processing and analysis of all available information, and reporting.

Two kinds of evaluation are distinguished in this report: *periodic evaluations*, executed at certain regular intervals or whenever felt necessary during the course of a programme, and *final or ex-post evaluations* at the end of a programme (see further Appendix 7). Most evaluations of relief programmes do not address all five evaluation elements, simply because insufficient information is available; they should therefore not officially be called 'evaluation', but be indicated with another term such as 'review' or 'audit'. In this report however, these are all called evaluations. It is extremely important though that in each 'evaluation' report it is indicated precisely what information has been analysed, which of the five evaluation elements have been assessed and for which purpose.

Donors: **every organization and person donating funds.**

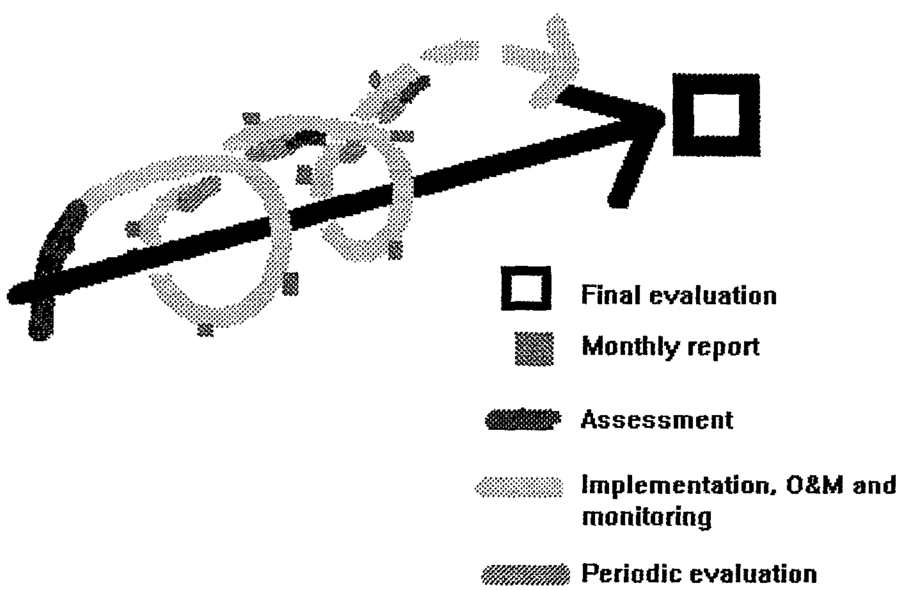
Donor agencies: **funding organizations.**

Implementing agencies: **organizations responsible for programme implementation.**

Support agencies: **organizations specialized in and responsible for a number of supporting tasks to implementing and sometimes donor agencies,** e.g. training of expat staff, finding and supplying expatriate staff when needed, production of manuals and advice to other organizations.

Programme: **used in this report to mean both 'programme' and 'project'.**

Project cycle:
An interpretation of how the monitoring, evaluation and reporting as used in this report fit in a project cycle is presented below.



The project cycle

1.3 Why M&E of W&S programmes in camps is different.

This paragraph attempts to explain why M&E of W&S programmes in camps distinguishes itself from M&E systems in other situations. Two questions are relevant in this connection:
1. What are the differences with M&E of W&S programmes in development situations?
2. What are the differences with M&E of W&S programmes in other emergencies?

1.3.1 Differences with development situations

- **Absence of baseline information.**
  For evaluations it is necessary to have information on the situation prior to the commencement of a programme as this will enable the differences between the initial situation and the present situation to be determined. In development programmes a **baseline study** is normally executed to provide such information, complemented by information available from earlier identifications, appraisals, reports and statistics. In emergencies however, especially in camps which often develop quickly, the time required for an extensive baseline study is usually not available and often only a short **initial needs assessment** is executed to determine the type and scale of assistance required. This information is often insufficient to function as a complete baseline against which the programme objectives can be evaluated. Additionally, other factors, such as dangers in conflict areas, political factors, and limited access to information about people's original situation, may also hamper the possibilities of collecting baseline information, as opposed to development situations. An adequate and quickly implemented monitoring system can mitigate part of this problem by providing useful information during the initial stages of camp development. This can, to some extent, make up for the absence of baseline information.

- **More and quicker feed-back needed to adapt the activities to the circumstances.**
  The limited information obtained during the initial assessment is usually insufficient for proper planning. This therefore provides another argument for implementing a strong and accurate M&E system during the initial stages of camp development: the system must provide feed-back, as quickly as possible, so that the interventions can be better suited to the circumstances. The problem is, of course, that in these situations the time and human resources available for the development and implementation of such a system and its corresponding tasks are severely restricted. This is because staff involved are also usually very occupied with many other tasks which are often given higher priorities.

- **M&E systems do not build on local infrastructure.**
  In camps, quick and large external inputs are often necessary. Generally such interventionary measures build only partially (or often not at all) on the existing infrastructures as these are not capable and/or motivated to execute such measures nor to sustain the services established. M&E are also usually executed independently of existing local infrastructures, local/national criteria and standards of quality, often making use of sophisticated equipment (which would not be available in development situations), and managed by people foreign to the area.

1.3.2 Differences with other emergency situations

Baseline information is often lacking in camps in contrast to slow-onset emergencies. For this reason M&E systems should be implemented quickly during the initial stages of camp development. This may cause problems as the time and resources available for M&E are usually extremely limited. (See also par. 1.3.1).

- **'Sustainability' has another meaning in camps than in on-site emergencies.**
  Camps are temporary settlements with temporary infrastructures, both organizational and physical, implemented and sustained by external inputs, which normally have hardly any connection with the original local infrastructures already in place and which could never be sustained by those infrastructures. In contrast, in many on-site emergencies (where people have not fled their homes), soon after the initial suffering has been relieved, the aim is to rehabilitate the local physical and organizational infrastructures and diminish external aid as soon as possible. In on-site emergencies therefore 'sustainability' soon becomes an important element to be assessed. For camps it is still difficult to give meaning to 'sustainability' however, and this aspect is therefore often not included in the M&E systems, although especially for W&S programmes in camps there are certainly 'sustainability' aspects that can and should be brought into the programmes and against which the success of the programmes should be evaluated (see further Chapter 2).

- **In camps M&E is needed to assess whether the camp location is right.**
  Locations where refugees have settled are not always suitable for the provision of the services needed. Therefore the suitabiloty of the site for water provision and the construction of sanitary facilities should be assessed as soon as possible. If any problems are encountered the camp may have to be moved to a more appropriate site. Much of the information for such an assessment needs to be provided through the monitoring system.

- **In camps information can be obtained more easily, but the contribution of a programme to the impact on health is more difficult to assess.**
  Camps are small areas where a large variety of services are provided in contrast to many other emergencies, where fewer resources are available and services have to be provided over much larger areas. In camps therefore, it is often easier to obtain more and better information and assess progress than in other emergencies. On the other hand it is often more difficult in camps to assess to what extent the water and/or sanitation programme has contributed to the impact on health which is usually the result of all programmes together (e.g. reduced diarrhoea can also be a result of better nourishment which has made people stronger and less vulnerable to this disease)[1].

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[1] Ideally for this purpose a control group without access to the programme should be monitored and compared with the groups that had access to the programme. This may be difficult to realize and is certainly not acceptable in camps for ethical reasons (see also Chapter 2). Also the influence of other factors may make it difficult to assess whether and to what extent the programme has contributed to the measured results, but these are not specific for camps or emergencies. Seasonal influences for instance, can have a large impact on a number of issues which are also influenced by water and sanitation programmes. A reduction of problems and diseases related to poor drainage can, for instance, be a result of efforts by a sanitation programme, but can also be caused by the change from rainy to dry season.

- **Assessment of the effectiveness of W&S programmes with regard to the impact on health is even more important in camps than in many other emergencies.**[2] Major reasons: (1) camps, often densely populated, are high health risks, especially with regard to environmental hygiene; (2) people are very weak, on arrival and just after, because they have travelled long distances under difficult circumstances and are therefore initially more vulnerable to disease; (3) in camps people often have no natural resistance to disease endemic in the area (malaria is particularly notorious in this context), constituting a problem not encountered in on-site emergencies; (4) in camps (single) women, children and elderly people, the weakest and most vulnerable groups in any society, usually make up a much larger percentage of the population[3].

- **M&E systems need to be adapted to the specific social patterns in camps.** Social patterns are often different from those present in people's original home areas and in most on-site emergencies where they usually remain largely unchanged. Therefore new indicators (e.g. on vandalism and theft) or different ones (e.g. to measure the effects and success of group activities related to W&S) may be needed, while results measured may have to be assessed against different criteria. Different approaches will also be needed to involve the people in self-evaluation and the monitoring system should be designed to provide information about new and changing behaviours and preferences quickly.

- **In camps the effects on local population and economy should also be measured.** Water supply may for instance far outstretch the services available to the local people, or even affect these, for instance when groundwater levels drop due to over-extraction. To prevent such effects monitoring is needed.

1.3.3 Specific characteristics of M&E systems for W&S programmes in camps

Initially a simple M&E system needs to be installed which must however provide and analyse a lot of information, especially about the effects of programme activities and the impact on health, while distinguishing, as far as possible, between groups which differ in vulnerability. An advantage is that information can often be obtained relatively easily. It may be difficult however to assess the exact contribution of a programme to the prevention of diseases. Time and human resources are the major constraints. Later the emphasis changes to more structural services (often even entailing the implementation of a new physical infrastructures), the reduction of operational costs, and, to some extent, issues such as participation, self-help and sustainability. Activities need to be adapted to this, their results measured by different indicators and/or assessed against new and specific criteria. Usually programmes continue to depend largely on external inputs and responsibilities usually remain with the (often foreign) programme management. The greatest emphasis of evaluations is on the assessment of effectiveness and impact, while sustainability has a different meaning and is assessed against different criteria when compared to development and many other relief programmes.

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2 Programme activities also need to be evaluated against their potential ~~to increase~~ the risk of certain diseases; improved water supply may for instance cause waste water problems which could cause increased incidence of malaria.

3 These groups will also need to be distinguished by the monitoring system as specific groups.

1.4 Monitoring and evaluation as part of a larger framework: quality control.

The aim of monitoring and evaluation is to provide feed-back which can be used for improvements and adaptations to changing circumstances. This is in fact a contribution to a higher goal: to safeguard and improve further the quality of the products or services produced by the organization. Each organization tries to safeguard a certain quality standard for its products. The combined procedures used by an organization for this purpose can be referred to as the quality control system of the organization. The procedures used in an organization for monitoring and evaluation, formally or informally, consistently or inconsistently, are therefore a part of the organization's quality control system. If quality related procedures are not used consistently or their use is not controlled, or if several quality related procedures are not well formulated (if at all), it is likely that the quality of the products will be lower than when these procedures are well established and their use controlled.

ISO 9000 should be mentioned in this context. ISO 9000 is a standard for quality control systems which was introduced in 1987 by the International Organization for Standardization (ISO). An ISO 9000 certificate is granted to organizations who have formulated and documented procedures themselves for the quality control processes prescribed by the ISO 9000 standard, who consistently follow these procedures, and who allow this to be regularly controlled by an independent and recognized agency. ***ISO 9000 prescribes the processes for which an organization should have procedures and demands that the organization works according to them; the content of the procedures is determined by the organization itself!***

An ISO 9000 certificate is therefore a system certificate and not a product certificate. It is not a direct guarantee of a high quality product or service delivered because, in principle, an organization can do whatever it likes as long as it works according to the procedures it has formulated itself. But because a good contract assessment is prescribed in the ISO 9000 standard this guarantees that agreements made with the client or beneficiaries about the quality of the product or service to be delivered will be realized. This means that as long as good agreements have been made between the implementing and the donor agency and/or the beneficiaries about the quality level of the product or service to be delivered, ISO 9000 can function as a guarantee for the achievement of that quality level. In this context it is interesting to note that ***one of the conclusions of the Emergency Sanitation Workshop was that "minimum standards for the quality of work done" should be developed.*** (See Appendix 8).

ISO 9000 also contributes to improved quality in another way. The fact that it leaves an organization the freedom to formulate all procedures itself is usually the key motivation for going ahead with it, as the organization itself feels in control. While in the process of documenting all its procedures (and formulating new ones for those processes for which it has as yet no real procedures) the weak spots of the organization usually come to light. This gives the organization the direct opportunity to take the bull by the horns and formulate and introduce new and better procedures, which is what usually happens in practice. Because of this the introduction of ISO 9000 usually leads to a number of improvements and thus to improved and better controlled quality of the products of an organization.

Each process type in an organization has a different standard within ISO 9000 (ISO 9001 to 9003). The standard most applicable to relief agencies would probably be ISO 9002 which is usually used for service-oriented organizations (after communication with KEMA, an ISO certifying institute).

Today ISO 9000 certification is rapidly gaining importance in businesses and organizations in Europe and the United States. In the United Kingdom for instance, governmental and semi-governmental organizations only give assignments to enterprises who are ISO 9000 certified. The question may thus arise how long it will be before donors, or the donors' donors (governments, the public), start to demand ISO 9000 certification from their implementing and donor partners.

Whether M&E systems will be improved as part of the efforts to improve/implement a complete quality control system (e.g. the ISO 9000 standard) or as an activity on its own is something to be discussed by each of the implementing and donor agencies. Not connected with this, it is important that relief organizations start to prepare for ISO 9000 as this is a trend which will almost certainly arrive soon in the aid business as it has already done in other businesses. A first step could be to assess to what extent the ISO 9002 standard is applicable to relief work and if and how this standard should be adapted for this. This could be done by a specialist reporting to a committee with representatives of implementing and donor agencies.

Box 1.3.1 An example to further clarify ISO 9000

A relief agency always bought first class tickets from the most expensive travel agency. This was very expensive for the donor as it was only discovered after a number of years. If this agency had been ISO 9000 certified it would have documented its procedure for buying air tickets, probably something like this: "To buy an air ticket the travel agency is called, the date and travel destination explained to them after which the ticket is sent to the office and the cost automatically withdrawn from the organization's account". Based on this procedure the ISO 9000 certificate would not have been refused to this organization, despite the fact that the procedure can lead to easily avoidable costs. The certifying institute would probably have asked questions about the procedure, but if the organization had insisted on going ahead with it this would have been accepted. Only then would the certifying institute have advised the organization to document the reasons for keeping to the procedure in that form.

Box 1.3.2 Example showing that poor quality control procedures can lead to dangerous situations in relief work.

In Rwanda a national organization was sub-contracted by an international relief agency to manage part of the water system in a camp. The national organization however, continuously failed to keep its pumps in operation. Another international relief agency which managed the other part of the water system in the camp constantly had to repair the pumps and provide its last spare pumps to replace several of the national organization's broken pumps. This put a lot of strain on this agency and increased the risks as no more spare pumps were available. But it had to be done because only in this way could an immediate lack of water be avoided in the camp. The relief agency which had sub-contracted the national agency was called upon time after time by the other relief agency with the request to get things organized. However, it subsequently failed to do so. If this relief agency had had procedures for the selection of sub-contracting agencies, for monitoring their work and for actions to be undertaken in case of problems, and if the proper execution and functioning of these procedures had been regularly controlled, the problems caused by the national organization could have been avoided.

Chapter 2. Problems encountered with monitoring and evaluation of water and sanitation programmes in camps

2.1 Introduction

In this chapter a number of problems related to the subject of this report are discussed. Several of them and their causes relate to emergency programmes or programmes in camps in general and are as such also valid for W&S programmes in camps. Other problems and causes are specific to W&S programmes in camps. The chapter is largely based on a review of a number of literary sources and structured according to the following causes which are believed to lie behind the problems:

- **Incorrect planning.**
- **Absence of guidelines.**
- **Absence of pressure from higher levels to improve monitoring, evaluation and reporting.**
- **Restrictions (e.g. time, resources, security) which hamper monitoring and evaluation.**
- **Inexperience of programme management.**
- **Lack of cooperation and coordination between organizations.**
- **Lack of developed knowledge.**
- **Absence of an organizational structure preventing full use of the results of monitoring and evaluation.**

2.2 Causes of problems

2.2.1 Incorrect planning

During the planning phase in many programmes, objectives and indicators have not been sufficiently or properly defined. Quite often insufficient information is gathered during the execution of the programme as it is not clear what information is needed. Evaluation then becomes difficult because little information is available and it is not clear what the results are supposed to be. Often too much irrelevant information is gathered and reported on as a result of incorrect planning. A good methodology with which the problems described here can be avoided is the Logical Framework Analysis (see Appendix 1 for an example of a Logical Framework and Appendix 7 for a short description of the methodology). It is used for planning by several of the organizations who have participated in his assessment.

It seems that incorrect planning of objectives and indicators is partly due to a lack of knowledge and experience with planning methodologies and partly due to insufficient time being available or taken for programme planning. Macnair remarks in this context: *'Part of the problem seems to arise from the speed at which teams are put together to respond to an emergency, and the perception that it is best to have the team in the field as quickly as possible. This would be unarguable, provided that the team were effective on arrival. [.......]*

Part of the haste may have been due to the availability and timing of funding, with the early arrivals getting the bulk of the funding as well as the most interesting tasks. Some organizations were to a degree donor-driven, receiving unsolicited donations from the public. One agency commissioned an extensive evaluation of its response to the influx of refugees to Zaire. Included among its recommendations is the point that the programme would have greatly benefitted if more time had been taken to identify aims and objectives and to write job descriptions (Wiles, 1995)'. (Macnair 1995).

2.2.2 Absence of guidelines

When a programme manager has no information on how an M&E system can be developed and implemented in a camp he will have to develop such a system himself. As many programme managers are relatively inexperienced in the field of M&E this may take considerable time and effort and may be the cause of a lot of initial mistakes. Therefore proper guidelines on M&E could be an important tool to assist programme managers in their efforts to develop and implement proper M&E systems and at the same time save time and effort. For W&S programmes in camps as yet no complete and specific guidelines have been developed, although most organizations involved in such programmes have developed documents covering aspects of such guidelines (see also Chapters 3 and 4).

2.2.3 Absence of pressure from higher levels to improve monitoring, evaluation and reporting

Camps are often situated in conflict areas or may be the cause of conflict, making all kinds of factors important which, in other situations, would not normally be important. Usually camps also have a high media profile. Such factors may have considerable influence on the decisions made on such aspects as timing, scale and the nature of the response. This also makes the evaluation of such response far more sensitive than in other situations. Evaluations of programmes implemented under such conditions are therefore often not published reducing the pressure on the agency to take account of the findings. The evaluators may also be under pressure to adapt and/or present their findings in a way which is acceptable to the agency by which they are paid. This is usually either the implementing or the donor agency, both of which have their interests in a positive evaluation. (After Borton 1994).

Another factor involved is the lack of knowledge about what can and should be monitored and evaluated in different circumstances so that both donors and the head offices of implementing agencies are afraid to demand more from their field staff. Unfortunately lack of awareness on the part of both implementing and donor agencies of the importance of M&E still seems to be an additional factor.

Several organizations are known to be reluctant to have their programmes evaluated by donors or other 'outsiders'. Until recently UN agencies were not even allowed to have their programmes evaluated by 'outsiders' such as bilateral donors. Sometimes implementing agencies find it unethical to evaluate certain activities which, from an objective point of view, should be replaced by other activities when resources are scarce. Cost-benefit considerations are often regarded with distaste or even as being inadmissible. (After Borton 1994).

2.2.4 Restrictions which hamper monitoring and evaluation

The following restrictions often limit the implementation of an M&E system in a camp:

- ***Time and resources*** available for monitoring, gathering of baseline information, evaluation and reporting are usually restricted, especially in the initial stages of an emergency.
- ***Poor security***, which may hamper information gathering due to restricted access to the camp area. Defining objectives during programme planning, against which the success of the programme can be assessed, may also be very difficult when security causes restrictions.
- ***Ethical factors.*** Organizations may find it unethical to evaluate by methods such as cost-benefit analysis even where this could, with the restricted resources available, help to divide the efforts more efficiently over the activities, saving most lives. Cost-benefit analyses are also often regarded with distaste because it would not be possible, or it would be unethical, to express several of the benefits in terms of money (how much is a life worth?). For ethical reasons working with control groups is unacceptable.
- ***Political factors.*** Evaluations may contain facts and information which are unpalatable for either the national government, any of the conflicting parties in the area, the implementing agency or the donor agency. Political factors may also influence the decisions about the activities, their timing etc. which, under normal circumstances, would not be the most efficient solution and could therefore be wrongly interpreted in evaluations. To avoid trouble therefore, evaluation studies do not often enter the public domain (which is usually directly accepted when the words "political sensitivity" are used) and/or are rewritten. Although this may be unavoidable in certain circumstances, it can cause major restrictions to the accountability and (institutional) learning functions of evaluations. A related problem is that it does not stimulate organizations to put much effort into monitoring and evaluation.

(Largely after Borton 1994).

2.2.5 Inexperience and lack of awareness of programme management

Most programme managers do not have a lot of experience with monitoring and evaluation. A more serious problem however, seems to be that many programme managers are not sufficiently aware of the importance of monitoring and evaluation. Such problems can and must be overcome through staff training. In this context Macnair observes the following problems:

'Several agencies provide training at the beginning of a 'career', but there is little available beyond this first introduction in terms of short courses. The present structures existing in the 'industry', with short term contracts the norm, results in no responsibility being taken for staff development between contracts. Both IHE and RedR provide some courses, though others are of more general relevance. However, there is no body providing equivalent short practical courses designed to develop other competencies in the field, such as management [thus also M&E - the author] *and logistics. It is not clear whether this gap in training and development arises from a perception among agencies that training is not necessary, or whether the constraints are such that they are unable to budget for staff development. The main issue is clearly one of a lack of commitment to staff, and a culture of short-term contracts which does not seem to foster loyalty on either side.'* (Macnair 1995).

2.2.6 Lack of cooperation and coordination between organizations

Organizations may be reluctant to make the data from their programmes available to other organizations. This may hamper evaluations or lead to double monitoring efforts. Also organizations tend to focus too much on their own programmes. 'Whilst such organizations may learn about the strengths and weaknesses of their own actions, the effectiveness and impact of the collective effort is not assessed' (Borton 1994). Collective evaluations of all the relief efforts in a camp have not yet been undertaken although several organizations are busy forming ideas and plans in this direction (see Chapter 3, question 5). Another restriction is formed by the UN which does not allow its donors to evaluate UN programmes. More cooperation is also possible in the development of better management tools such as guidelines for monitoring and evaluation. Collaboration between organizations in the development of, for instance, guidelines is another issue which is extensively discussed in other parts of this report.

2.2.7 Lack of developed knowledge

Several issues related to monitoring and evaluation cause problems because there is not yet specific experience with those issues in camp situations. They often relate to the five evaluation elements: *effectiveness, efficiency, impact, relevance and sustainability.*

- **How should the contribution of the W&S programme to the overall results achieved by all programmes together be assessed?**
  It is difficult to determine whether and to what extent changes, reflected for instance in impact indicators such as mortality and morbidity, have been caused by the programme or by other influencing factors. As in most camps nutrition, curative health care, water, sanitation and other programmes are usually implemented, often by different agencies, it may be extremely difficult to assess to what extent the water and/or sanitation programme has contributed to the improved health in a camp. The use of a control group cannot be applied in a camp, for both practical (too difficult and time consuming to organize) and ethical reasons (as this would mean deliberately excluding people from important services and thereby endangering the health and lives of these people).

- **What is the meaning of 'sustainability' in a camp environment?**
  Little experience exists in defining and assessing sustainability in a camp environment as a camp is by definition a temporary situation. In many previous programmes in camps 'sustainability' was regarded as an irrelevant issue. Nevertheless this attitude is quickly changing. Where programmes have, for instance, succeeded in motivating camp inhabitants to construct their own pit latrines and dig a new pit themselves once the old pit is full, this certainly encompasses some kind of sustainability which has the important advantage that it reduces the amount of longer term inputs by the programme considerably. The programme inputs needed to achieve such developments (e.g. hygiene education and motivational activities) will need to be justified in this context. The sustainability issue may even gain further importance in this example when the awareness has been raised to such a level that people structurally change their behaviour and continue to construct latrines after they have returned to their original home areas.

- **How can behavioural change be stimulated and measured in a camp?**

There is a problem in stimulating behavioural change because the knowledge on how to achieve effective and sustainable improved behaviour is still an issue on which experience is limited, especially in camp situations. Behavioural change can only be achieved when people have gone through three phases: *Knowledge, Attitude and Practice (KAP)*. To reach the *Practice* level people not only have to know and be aware of the benefits of improved behaviour, but also need to have access to the resources needed to practise the improved behaviour. It is therefore important that the messages of hygiene education and the resources available in the camp correspond.

If the objective is not only improved hygiene behaviour in the camp, but also back home (in order to achieve *sustainable* improved behaviour), it will be necessary for the hygiene messages to suit people's original home situation. To make this work it will probably be necessary to give people access to facilities and resources similar to what they have or can get at home and also adapt the hygiene messages accordingly.

Hardly any research has been conducted on the effects of hygiene education in camps and no information could be found at all on the lasting effects of such education after people have returned home. However, a camp constitutes a great opportunity for hygiene education as it is an environment with a high density of inhabitants who can easily be reached, who have time available to learn new things and who are often happy to be busy with something. The fact that so little is known on how to achieve sustainable behavioural change makes it even more important to monitor and evaluate the effects of hygiene education programmes in camps. A problem directly emerging here is that experience with monitoring (and evaluating) hygiene behaviour is still very limited. Also the relevance of hygiene messages should be assessed (it is no use preaching behaviours which people already practise or which people cannot practise).

- **How can efficiency be assessed?**

Important for the assessment of the efficiency of a programme may be to determine the costs against the benefits. It is questionable, however, to what extent this makes sense. As mentioned several ethical questions could be posed in this context. Also cost-benefit analyses can hardly be used for comparison with other programmes as the circumstances under which programmes are executed cannot be easily compared. Conclusions about cost-benefit ratios would therefore only make sense if there was a thorough understanding of the circumstances and if results obtained under certain circumstances could, in one way or another, be extrapolated to the results achieved in other situations. No methodology for such an exercise is available yet and even if there were, it would probably require such an enormous amount of information that it would be more of academic than practical interest to do it. Borton remarks about cost-benefit analyses: *'In analysing efficiency Cost-Benefit Analysis (CBA) has been a dominant approach [.....] Though the approach has been refined and the techniques involved in its use have become increasingly sophisticated CBA has a number of shortcomings and limitations, particularly in relation to projects with a diffuse relationship between inputs and outputs or where there are important non-quantifiable outputs, and some observers regard the approach as having had its heyday (Renard and Berlage 1992)'.* (Borton 1994).

Useful analysis of efficiency can be made in different ways as well. One can, for example, question whether a programme, given the circumstances, could have been (or can be) executed more cheaply without losing quality of the services delivered (least-cost analysis), or whether a programme could have fulfilled the needs more quickly (time efficiency). Assessing aspects such as administration of material and equipment, amounts of fuel used for transport and pumps, efficiency of designs of facilities, etc. also gives important (indirect) information about the efficiency of a programme.

As for each kind of analysis or assessment of efficiency different indicators are needed it will be useful to define on beforehand how programme efficiency will be determined. Then indicators need to be defined that will yield sufficient information. Appendix 4, which contains, amongst other things, an overview of efficiency indicators, shows however, that implementing agencies do not measure many of these indicators apart from the financial ones. This probably has to do with the fact that there is as yet no established methodology for proper assessment of the efficiency of a programme. One additional problem in this context is that, although financial accountancy systems are well developed, it is extremely difficult to make an estimation of all costs incurred in one programme. Questions as:

* What are the costs incurred at the head office and national office levels for a particular programme? How can the salary of, for instance, the water and sanitation officer in the head office, who is responsible at this level for a large number of water and sanitation programmes be spread out over these programmes?
* How are transport costs for a programme determined when the cars available serve different programmes at the same time?

can still not be answered adequately.

Also in the evaluation of Netherlands-supported humanitarian assistance to Somalia from 1991 to 1993 (Humanitarian aid to Somalia) it is concluded that knowledge and experience in this field are lacking: '*The absence, in most cases, of relevant data made the calculation of unit cost per recipient impossible. Instruments facilitating the comparison of unit costs in humanitarian assistance are needed to allow for comparative statements on efficiency*'. (Flikkema, Frerks and Kliest 1994).

2.2.8 Absence of an organizational structure preventing full use of the results of monitoring and evaluation

Much of the information reaching the head offices of implementing and donor agencies is not used as extensively as possible. The result is that the organizational structures of these agencies and future programmes are improved and adapted to the circumstances at a pace which is not as fast as it could be. Macnair reports, for instance, about debriefing procedures: '*It is not clear what agencies want to gain from the debriefing and how they process the information. [.....] Frequently the debriefing remains undocumented, and is not used to improve the institutional memory*'. (Macnair 1995).

Chapter 3. Analysis of the answers to the questions

3.1 Introduction

With almost all the participating organizations a meeting was held during which representatives of these organizations, usually of the W&S departments, answered a number of questions. (Details of the organizations are presented in Appendix 3) Different lists of questions (presented in Appendix 2) were made for donor and implementing agencies and sent to the representatives prior to meeting them. The trends discovered in the answers to these questionnaires are described in this chapter.

3.2 Answers to the questions

1) What, according to your organization, are the benefits of having good M&E mechanisms?

Most agencies consider M&E to be a tool for improving a programme (*'let it follow the needs and possibilities and increase its efficiency'*), for assessing whether objectives have been achieved and what the effects and impact are or have been. Implementing agencies monitor their programmes; donors monitor and react on the work and/or reports of their implementing partners. During the initial stages of camp development quick implementation of an M&E system was said to be a necessity as the initial installation of W&S systems is often done haphazardly and will need to be adapted to the circumstances as quickly and as well as possible. In this context M&E was also seen in connection with the initial needs assessment for which, however, usually only a limited amount of time is usually available. The initial needs assessment therefore often only yields part of the information needed for evaluation purposes. An evaluation executed by someone from the head office also has a psychological effect as it shows to both field staff and the donor agency that the programme is actively followed and supported by the head office increasing motivation and trust.

2) Please explain briefly what mechanisms for monitoring and evaluation of water and sanitation programmes in camps for refugees or displaced people are in use in your organization (are there guidelines, forms, financial reporting, lay-outs for reports, equipment for measuring certain parameters, debriefing strategies, software etc.)?

<u>2 a) Answers by implementing agencies:</u>

Guidelines.
Most implementing agencies have produced at least some guidelines for their emergency W&S field staff on M&E or are busy doing so. Some agencies provide their staff with general guidelines for development programmes which include parts on M&E, some have specific guidelines on M&E but also based on development programmes. The agencies specialized in

emergencies, usually have specific guidelines for W&S programmes in emergencies containing some parts on M&E issues. Several agencies have developed quite specific indicator lists and reporting formats for emergency W&S programmes. Some organizations also use standard forms for specific subjects such as monitoring the performance of wells and boreholes. Most respondents stated however, that whatever standardized list, format or system is used, it will always need to be adapted to the specific circumstances in the field. Several agencies use this as a reason for giving no specific guidance at all and leave it completely up to their field staff to develop their own monitoring, evaluation and reporting systems.

Most respondents stated that field staff also have access to other literature covering M&E aspects, but complained that they do not often use the guidelines and literature, and, when questioned about it, argued that they did not know the required information could be found in those documents.

Some respondents emphasized the importance of proper programme planning for M&E. One organization has produced a draft manual on planning programmes with the Logical Framework Analysis and suggests that each programme should be evaluated against its programme planning.

One point raised was that the 'unwritten' guidelines and procedures are also used quite consistently (especially concerning the intensity of reporting, the timing of evaluation missions, to whom reports are sent, who controls the reports, etc.). Concerning the timing of evaluation missions some organizations have a more or less fixed timing (e.g. every six months). Other organizations only go when they assume it is necessary. They base their decisions on the information they get through the weekly and monthly reports and on other sources of information.

For financial reporting implementing agencies usually have to follow the guidelines of their donors very strictly although most of them also have their own guidelines. As many programmes are funded by a number of donors and each donor has different guidelines for financial reporting this often increases the burdens of those responsible for it. Finally it was stated that a lot of informal reporting is done by telephone, radio. telex etc., especially during the emergency phase of camp development. Different aspects of guidelines and indicator lists are discussed further in the next chapter and in Appendices 4 and 5.

Software.
Software for financial accountancy: see Question 13.
Software for programme contents: one organization uses a software package for health statistics and is currently developing this package further to enable entry of data measured in W&S programmes as well.

Debriefing procedures.
Most organizations have debriefing procedures. During debriefing sometimes more emphasis is put on personal aspects than on the contents of the work in the programme although some organizations see it as an effective means for obtaining information on the latest developments in a programme. Some organizations split up debriefings into one on personal issues (e.g. how do they feel) and one on programme contents.

Equipment.
Most organizations have basic equipment available in the field for monitoring purposes, such as kits for faecal coliform, pH, residual chlorine, turbidity and sometimes a physical-chemical kit for other water quality parameters. Computers, printers and copying machines are often available for data processing and report writing. Satellite telephone and fax, radio equipment etc. are usually available for direct reporting to the head, regional or national offices. Different kinds of short range radio equipment, which can be used for communication between the field and the field office or for communication between staff in the field are usually available. Logistical staff are responsible for monitoring of this and other equipment and materials.

2 b) Answers by donor agencies:

Two types of situations are distinguished here:
a. The donor agency is present with permanent staff at the programme location itself.
b. The donor agency is not present with permanent staff at the programme location itself.

A donor agency here is used to mean an organization providing funds for an implementing partner to execute a complete programme or a very large part of it. Sometimes the donor fulfils a number of tasks, for instance delivery of the materials needed, but the direct responsibility for the programme lies with the implementing partner. The implementing partner is often an international agency, but can also be an organization working at national or regional level. Sub-contractors such as local enterprises constructing ferro-cement tanks or digging ditches for pipes are not considered as implementing partners. Also larger companies, fulfilling a very specific task like the drilling of boreholes are not considered as implementing partners here although they usually also have monitoring, evaluation and reporting obligations.

When the donor agency is present with permanent staff at the programme location itself.
In this situation the permanent field staff (let's call them field technicians) have the following tasks:
- *to monitor the work done by the implementing partner(s), assess whether the work is done according to the Terms of Reference (ToR; the ToR itself usually also contains a condition that the information to the donor agency should be sufficient to enable it to assess whether the ToR are being met) and regularly discuss progress and problems with them and others in the field;*
- *to control the quality of the reports written by the implementing partner(s) before they are sent to the donor agency's regional and/or head office;*
- *to write reports, usually on a monthly basis, for the regional and/or head office about the progress of the work done by the implementing partner(s) and the problems encountered.*

Field technicians have access to a number of guidelines with information about monitoring, control and reporting tasks, but these guidelines are usually written in very general terms and/or with a high level of abstraction. When a field technician discovers that an implementing partner has difficulty in fulfilling its duties as described in the ToR, he is supposed to assist where possible, report the problems and make recommendations on how the partner can/should be further assisted (e.g. by offering training to their staff, additional equipment etc.). When the problems are more serious the technician may request the head office to send extra people to assist. In very severe cases of incompetency the contract with the implementing partner may be broken. A few unanswered questions specific to this situation are:

- *Does the control system as described above in practice really lead to reports which reach a proper conclusion about the extent of achievement of the objectives, the problems met and the changes needed?*
- *Do field technicians have access to guidelines in which their monitoring, control, evaluating and reporting tasks are clearly explained? Is the responsibility for the execution of these tasks properly described in the field technicians' job description?*
- *How is the performance of field technicians controlled?*

The initiative for the programme is with the donor agency, often already in the field with an assessment team during the first days of an emergency to assess the needs, formulate an initial outline for a W&S programme and select, from the organizations present, a suitable implementing partner. The selection is usually based on: 1) former experience with the organization, and 2) recommendation of the assessment team. There are no guidelines though which contain specific criteria for the selection of an implementing partner in this situation. A donor agency sometimes also decides to implement a programmes itself when, for instance it has the organizational and material infrastructure available to do so, or when no suitable implementing partner can be found.

When the donor agency is not present with permanent staff at the programme location.
Respondents answered that in these situations their agencies usually mainly control the programme finances which have to meet tight conditions. They carefully control the financial reports written by their implementing partners and sometimes execute additional financial audits. Usually much less attention is paid to the programme contents although most respondents stated that their agencies do read the narrative programme reports sent to them. Sometimes donor agencies even send external evaluation missions into the field. However, very little of this has been formalized in guidelines or official procedures. In their guidelines for project proposals several donor agencies have made the condition that the applying agency should explain how M&E will be realized. They have no criteria though to assess whether the proposed M&E system is good enough. Also general conditions for reporting are usually given but only the (much more detailed) conditions for financial reporting are compulsory. The implementing agencies usually approach the donor agencies with an application for programme funding. The donor agencies usually base their decisions on previous experience with the applying implementing agency and on the quality of the application.

Questions applicable to both situations are:

- *Are monitoring, control, evaluation and reporting obligations sufficiently specified in the Terms of Reference of the implementing partners?*
- *How is the performance of donor agencies controlled?*
- *How can donor agencies specify further the conditions for monitoring, evaluation and reporting which implementing partners have to fulfil in order to qualify for funding?*
- *What other means can donor agencies use to ensure better monitoring, evaluation and reporting practices by their implementing partners?*
- *How can donor agencies improve further the control of the performance of their implementing partners and how can they assist them further in case of difficulties?*

3) What does your organization do with evaluation reports and other information about the programmes (for which purposes is all the information used)?

3 a) Answers by implementing agencies:

Most respondents answered that the reports are used to find out whether the programme objectives are achieved sufficiently, to further improve the programmes and adapt them to the circumstances and to learn lessons for future programmes. Some answered that the information is also used for advocacy purposes and to get feed-back about the functioning of the organizational structure of the agency. The improvement of WatSan equipment was mentioned as well. A few organizations admitted that reports are in fact often insufficiently used. At the head office they disappear into files and at field level the external evaluation reports in particular are often ignored or not used due to inexperience of the field staff or insufficient time to read them properly. A lot of information gathered but not reported on to higher levels is actively used for daily programme management. The question was also interpreted in the sense of what route the information follows and what happened to it 'en route'. Most respondents explained that information is usually gathered under the responsibility of expatriate staff in charge of the W&S programme(s) or, in some cases, an expatriate team together responsible for a number of programmes. Usually a weekly and/or monthly report is produced which sometimes also contains information from programmes by other organizations. The programme coordinator is responsible for reporting to the higher levels of his organization. He decides what information is included in those reports.

None of the organizations had specific guidelines on what kind of information is needed at the higher levels although general guidance on the subjects to be covered in weekly and monthly reports is usually available. The reports are first sent to the country office (and/or regional office) of the organization. According to most organizations, at this level the country coordinator or the WatSan coordinator 'controls' the reports (it is not clear though what this control encompasses) after which they are sent to the Headquarters of the organization. What exactly is done with the reports at the Headquarters did not become clear. Question:

- *Do organizations ever conduct comparative analyses of programme reports, for instance of a number of programmes run in the same area?*

Some organizations had their emergency sections evaluated externally. In a few cases external/independent consultants were hired to evaluate programmes, usually when requested by the donor agency. In such cases the donor agency carried a lot of weight in the choice of the consultant (sometimes someone or a team from the donor agency itself), the timing and the ToR of the evaluation. The main purposes of such evaluations were usually to get some idea of the reliability, efficiency and effectiveness of the implementing partner(s) and to assess the course and continuation of the programme; it also gave the implementing partner the opportunity to learn from what an experienced outsider had to say about their work.

3 b) Answers by donor agencies:

The respondents answered that financial reports are usually reasonably well analysed in order to be sure that the funds provided are all used according to the plans. However, less attention is paid to what is achieved with the money; programme results are not really related to the programme costs.

4) Do the mechanisms for M&E used by your organization (as described in question 2) function well? Why/why not? What problems are encountered?

Several respondents replied that they were happy with the mechanisms used by their agencies, but more negative sounds were often heard as well. Some of the remarks made in this context were:

- Monitoring and evaluation are often given insufficient priority, especially during emergencies when staff concentrate fully on implementation.
- People in the field often make insufficient use of periodic evaluation reports made by people from outside the programme (such reports don't have real status, conclusions are not binding and thus often not followed up).
- Programme proposals are often badly prepared by the assessment teams which later on restricts monitoring and evaluation.
- People from the same organization but working in other programmes (e.g. curative health) in the same area often don't understand sufficiently how important it is to use the data from the W&S programmes and relate them to the data from their own programme.
- At head office level also more use could be made of the data.
- One donor agency remarked: 'Field staff (whether NGO, Govt. or other) are often asked to collect and report on a vast quantity of information which is not used in decision making and may never even be analyzed. If information is not fed back to those who have collected it in a meaningful form this also serves as a de-motivating factor making it less likely that they will expend energy on collecting high quality information in the future'.

The respondents mainly talked about their own experiences, mostly based on evaluation missions and work at the HQ. It would also be good to get the opinions of some field people.

5) What new ideas, wishes, initiatives and developments exist within your agency to adapt/improve existing mechanisms or create new (better) ones?

Several agencies have decided to make M&E an area of attention and many are currently thinking about or are already busy with new guidelines which cover M&E issues. One organization is adapting a data base which was originally designed for medical data and in which W&S issues will now be included. Another organization is thinking about improving technical backstopping on M&E issues. Several organizations recently evaluated their own organization and/or reviewed their emergency response. Some organizations have started to cooperate in evaluation missions: when one organization plans to send an evaluation mission to a certain area the other organizations can ask them to evaluate their programme(s) in that area as well. One respondent stated that more attention should be paid to how the information gathered can be better used. Several respondents mentioned the half yearly W&S meetings as a body for further discussion and development of the M&E issue. Several organizations are interested in investigating the possibilities of combining the information from a water and/or sanitation programme with the information from other programmes of the organization in the camp (e.g. curative health care) or even the information of all programmes in one camp (of different organizations) into one report in order to create a more complete picture. Several respondents referred to the recommendations of the Emergency Sanitation Workshop (held in Oxford from 11 to 15 December 1995) which included a recommendation to develop project management tools and quality standards for, among others, M&E (see also: Adams 1996).

6) **Which are, according to you, the most important international agencies involved in water and sanitation programmes in camps for refugees or displaced people, including donor, implementing and supporting agencies?**

The following organizations were mentioned:

Implementing agencies:	OXFAM, ICRC, CARE, IRC, MSF, AICF, UNICEF, SCF, IFRC, Goal, Concern, national governments.
Coordination:	UNHCR, UNICEF.
Donor agencies:	UNHCR, governments, ECHO, ODA, public, private companies.
Support agencies:	RedR.

7) **What does your organization currently feel about possible cooperation with other agencies in the development of improved M&E mechanisms? What would the advantages be? What would the disadvantages be? Which agencies would you like to cooperate with? And which not?**

Most organizations are ready to discuss the subject with others. One respondent argued: 'Organizations often take over programmes from each other. Because of such relations there is a meeting two to three times a year where a number of the important relief agencies talk about better cooperation and coordination. This has already resulted in the standardization of a large part of the equipment used. So, if cooperation and standardization is possible for equipment, why not do the same for M&E systems'. This 'steering group' of organizations was mentioned as a platform for further cooperation by almost all respondents. Many respondents were, however, slightly negative. They argued that their organizations were already establishing and improving M&E mechanisms themselves and that it would probably be difficult to develop common mechanisms with others because the differences in the cultures and structures of the organizations are too great. Only mechanisms such as very general guidelines could, according to some, be developed together with others. Many respondents believed that cooperation should be sought more in the direction of exchange of information, for instance through meetings with small groups of the organizations' representatives. They argued though that talking for talking's sake should be avoided. **Remark:** the reluctance may also have been related to a fear that cooperation could lead to a loss of freedom for the organization.

Several developments to cooperate more are already on the way. A number of organizations have, for instance, already decided to make use of each other's evaluation missions. If a mission is sent to the field by an organization, this mission can also evaluate the W&S programmes of other organizations in the area. In this way better use of evaluation missions can be made and a fresh look by an outsider can be obtained for relatively little extra cost. Also the Emergency Sanitation Workshop in Oxford last year recommended collaboration on a number of issues (see: Adams 1995). One organization distinguished two kinds of improvements:

a. Cooperation through evaluating programmes together instead of apart which can have clear advantages (more complete picture). However, the danger could be that it may then be difficult to distinguish between the programmes and the fact that they will be seen (and judged upon by for example the donor agency) in their entirety.

b. Cooperation in the development of better management tools and procedures. This was not only seen in the light of developing common guidelines, but also in streamlining the work between the different organizations involved in an evaluation, for instance donor and implementing agency. An example was given: an external evaluator needs to be approved by the donor agency which can take as long as 6 weeks; it would be nice if such procedures, which can easily cause delays, could be better streamlined.

8) Who are the major donor agencies for the emergency water and sanitation programmes of your organization?

A large number of organizations, governmental bodies and the public were mentioned. Most important were: governmental bodies (e.g. ODA, OFDA, USAID, DGIS, NORAD), the public, ECHO, UNHCR, National Societies related to the organizations, and embassies.

9) How are the contacts with the donors with regard to M&E? Is there any feed-back from them to your organization on the information they receive from you?

Contacts are usually limited to sending reports to the donor agencies. Usually there is little official feed-back except for feed-back from financial reports. Most feed-back on monitoring and evaluation issues is given directly (usually verbally) by donor field staff to the field staff from the implementing agencies. The quality and intensity of feed-back depends very much on the people involved. At head office level feed-back is often informal (e.g. through telephone calls), but the intensity differs from organization to organization and depends on the people involved. Some organizations produce journals for the public in which they describe their programmes in very general terms. Some respondents blamed donor agencies for their lack of interest, but others stated that donor agencies usually react if reports are incomplete, especially if it concerns programmes for which additional funding is requested. Donor agencies indicated that often the quality of the reports received is insufficient. They admitted, however, that conditions for reporting were not always clearly described in the ToR. Some donor agencies also complained about the quality of the proposals for funding produced by some implementing agencies although they added that these agencies are aware of that and are trying to improve.

10) To what extent do you think each of the donor agencies is satisfied with your organizations' emergency w&s programmes?

Two typical answers were given:

a. *'We never get comments from them and they keep funding us so I presume it's OK.'*
b. *'The donor agencies are happy and we have contact with them about our programmes.'*

11) To what extent do you think each of the donor agencies is satisfied with the level, quality, quantity and timing of the information they receive from you about those programmes?

The respondents claimed that they know what kind of information each donor is interested in and that reports are adapted to that. Some organizations try to produce reports acceptable to all donor agencies. Financial reporting in particular has a high priority with the donor agencies and implementing agencies therefore give it a lot of attention. Several respondents stated that most donor agencies seem to be happy with the information they receive. (However, from some comments from the donor agencies the impression was given that they do not always agree with that).

12) To what extent is your organization happy with:

a) working with each donor agency in general;

b) the possibility of getting (quick) funding from the donor agencies?

The main problems mentioned by respondents from the implementing agencies were difficulty in getting funds and the large amount of time some donor agencies need to take the decision to fund a programme. Some donor agencies try to do something about this last issue by giving money in advance to certain implementing agencies whom they can trust.

13) Could you explain how your financial administration of W&S programmes in camps functions?

Most implementing agencies use basically the same system. Programme costs are broken down into cost groups such as 'materials' and 'salaries'. At the field offices administrators are responsible for the financial accounting of the programmes in their area. Once a month they send their accounts to the national office, where it is controlled and the costs incurred for those programmes at national level are added. The financial accounting for all country programmes together is then sent to the head office where the data are entered into a database and the head office-level costs are added. If there is no country office the accounts are sent straight to the head office. Overhead costs and salaries at the head and national offices are not usually included in the programme costs, but are covered by separate budgets. Financial reports for the donor agencies are prepared at the head office and are based on the financial administration. Several organizations use software for their financial administration; at all offices data are entered in the same way with equal numbering for the cost groups. The advantage is that data have to be entered only once and can then be automatically copied to the databases at the other levels in the organization. In addition regular financial audits are executed.

Donor agencies have structures for the control of financial reporting by the implementing partners (regular control of their financial reports, audits) and structures for accountability towards the donors' donors (e.g. governments). Both donor and implementing agencies regularly conduct financial audits in their head, regional and country offices.

Chapter 4. Analysis of the guidelines and reports received from several of the participating organizations

4.1 Introduction

Apart from answering the questions discussed in Chapter 3 several organizations also provided guidelines covering M&E aspects and evaluation reports for further analysis. The trends discovered in these documents are described in this chapter.

4.2 Analysis of the guidelines

Most guidelines contained something about objectives and indicators although only a few described how important it is to formulate those properly during planning. One organization provided a manual for planning, based on the Logical Framework Analysis comprising the formulation of objectives, indicators, activities, time frame, resources and assumptions (for an example of a Logical Framework see Appendix 1; for more information on LFA see Appendix 7). None of the guidelines described in detail why and how baseline data can or should be used for evaluation purposes (a few did have some general remarks on this issue). Several guidelines mentioned the importance of the five evaluation elements but did not (clearly) describe how these can/should be used to formulate indicators and to evaluate the programme.

Many guidelines had lists of indicators which usually insufficiently cover the information needed for proper daily management or for evaluations. Most subjects were covered by too few or the wrong indicators while other subjects were not covered at all. How, when and by whom the indicators should be measured and in which reports the results should be included was not described in any of the guidelines. Indicators were often not very well formulated either, leaving room for confusion. (See also the example in Box 4.2.1). A few guidelines had descriptions of general project objectives and quality standards, but the included indicator lists were not directly related to them. Several guidelines also contained general information on how indicators can be chosen and formulated in relation to programme objectives and the criteria against which the success of a programme should be assessed, although this would be too complicated and time consuming for use by field staff (who are often relatively inexperienced with regard to M&E) operating under high pressure in emergency situations.

Many of the guidelines were primarily written for development programmes and were not entirely suitable (sometimes even completely unsuitable) for emergency programmes or were written with such a high level of abstraction that it would require a considerable amount of time and effort for a field engineer (who is usually relatively inexperienced with M&E issues) to develop his own M&E system with them. The terminology used was often complicated. Most of the methodologies presented for such things as the planning of a programme and formulating of objectives and indicators, were far too complicated and time consuming for emergency situations.

Box 4.2.1 Indicators for vector control

Two guidelines contained indicator lists which included indicators on vector control. They covered basic indicators (e.g. observations to determine to what extent vectors such as flies and mosquitoes and the factors contributing to their presence, e.g. standing water, are present) and impact indicators on the diseases caused by them (e.g. malaria). However, no indicators where included about safety of staff involved in spraying (e.g. percentage of the sprayers wearing full protection gear, number of hours sprayed per person per day), functioning and effects of spraying (e.g. number of facilities sprayed, period a facility stays clear of vectors after spraying), and efficiency of spraying (e.g. amount of chemicals used per facility, nozzle width of spraying equipment, dilution of the chemicals used). There were no descriptions either on how, when and by whom the indicators should be measured, nor were quality and safety standards defined. In one of the guidelines for instance, the following indicator statement was included: 'Vector population (mosquitoes, flies and rodents in particular) will be at an acceptable level'. It was not described however, how the different vector populations could be measured, and what is considered to be an acceptable level.

Several guidelines contained report formats, but usually only 1 or 2 types were distinguished (Appendix 6 contains an overview of a larger number of report types and the subjects proposed for inclusion). A few guidelines described how to subcontract small companies or persons, but none of them described how their performance should be monitored and evaluated.

Question: From the reports obtained it appeared that there is a gap between what is written in the guidelines and what is done in practice (see also &4.3). *Is this gap caused by the fact that the guidelines do not fit the circumstances, because field staff and evaluators do not have the knowledge and skills needed, or for other reasons?* Some respondents stated that according to field staff the major limiting factor is lack of time making it impossible to measure all the indicators described in the guidelines, forms etc. The author's experience is however, that more and better monitoring and evaluation usually leads to considerable saving of time.

Box 4.2.2 A compilation of aspects encountered in the guidelines

- General descriptions (e.g. importance of M&E, definitions, functions of evaluations, planning and management of M&E, use of evaluation results).
- Programme planning formats (Logical Frameworks).
- Programme objectives (incl. standard objectives for different programme parts).
- Objectives of evaluations.
- General quality standards.
- Lists of indicators.
- Timing of evaluations.
- Processing of data.
- Measuring of indicators: general remarks about how, when, by whom.
- Processing and analysis of information (including recommended methodologies).
- Weekly and/or monthly reporting: the subjects to be included (see also Appendix 6).
- General outline and subjects of periodic/final evaluation reports.

4.3 Analysis of the reports

The reports received differed enormously in quality. The subjects covered depended very much on the type of report (see also Appendix 6). Often it was difficult to get a clear picture because a lot of the information was scattered throughout the reports without a logical structure while important pieces of information were missing. Some reports did not include simple but vital information such as the name of the programme, the area, country, date, author(s) etc. In most periodic evaluation reports objectives, indicators, activities and time schedule were not or only partly described. Also such subjects as the methods used for gathering the information, history of emergency and programme were often missing (see further Appendix 6). The five evaluation elements were hardly ever mentioned or taken into account. Often problems were listed in the reports, but progress was hardly ever assessed against the programme planning. Proposals for adaptations were usually restricted to proposed changes in activities, while adaptations needed in programme objectives, indicators and time schedules were not described. In some reports conclusions were drawn without containing any specific information to justify those conclusions. The impression often existed that much more (important) information had been available to the evaluators which had, however, not been documented in the reports.

Many reports were almost purely descriptive; they contained hardly any hard data and when they did, the data had often been measured only once (or it was unclear how often they had been measured) while interpretation of those data was difficult due to poor processing or presentation. Often no information was included on environmental hygiene issues for which there were no activities. Example: in cases where a sanitation programme does not include vector control because initially there was no vector problem, the situation may quickly get out of hand if vectors start to develop and the problem is not discovered in time because no indicators on presence of vectors are measured.

In some reports the time schedule for the evaluation mission was presented. The planning was usually very tight, not allowing sufficient time for any in-depth assessments. On top of that, time was often lost with formalities (probably not always avoidable). One impression was that programme staff (both local and expatriate) and camp inhabitants had not been involved sufficiently in the external evaluations.

Maps and organigrams were often not included in the reports or were of poor quality (although it is relatively easy and quick to make good maps/sketches and organigrams). None of the reports contained job descriptions although these may help to evaluate whether all programme activities are sufficiently taken care of, responsibilities clearly defined, activities executed by the right people and whether additional training is necessary. In a few reports costs of facilities were mentioned but it was never described how these costs were determined (which costs were included). Several reports were very long which is all right for the staff who need a lot of detail, but may be too much for the donor and possibly even the agencies' staff at the head office. Compared to what was described in the guidelines about monitoring, evaluation and reporting it appears that there is a gap between what is done in practice and what is written in these guidelines. In most reports far fewer indicators were included than suggested in the guidelines and the indicators actually measured were different from the ones proposed in the guidelines (see also the analysis of indicators in Appendix 4). Often reports did not cover all the subjects and/or did not analyse them as suggested in the guidelines.

Proposed activity	No. of org. that agree	No. of org. that disagree	No. of org. with no opinion
5.2 Activities proposed for implementing agencies			
5.2.1 Improve programme planning	******	*	*
5.2.2 Develop guidelines for reporting	*******	*	*
5.2.3 Put extra staff to work in the programmes with specific monitoring, evaluation and reporting skills	No comments	No comments	No comments
5.2.4 Develop guidelines for monitoring and evaluation	********		
5.2.5 Develop more knowledge about monitoring and evaluation issues, initiate research	******		**
5.2.6 Prepare the development of a software package	**	*	*****
5.2.7 Development of and participation in training courses on issues related to monitoring, evaluation and reporting	*******		*
5.2.8 Form a study group on quality control/ISO 9000	*	*	******
5.2.9 Improve the structures for institutional learning	No comments	No comments	No comments
5.3 Activities proposed for donor agencies			
5.3.1 Develop and apply more specific conditions for monitoring, evaluation and reporting	****	*	**
5.3.2 Participate in the production of guidelines for monitoring, evaluation and reporting	*****		**
5.3.3 Implement a good infrastructure for M&E of the performance of the implementing partners	*****	*	*
5.3.4 Employ staff with specific knowledge of water and sanitation	*******		
5.3.5 Fund training of both implementing and donor agencies' staff on monitoring, evaluation and reporting issues.	*****		**
5.3.6 Fund the development of training courses on monitoring, evaluation and reporting issues.	*****		**
5.3.7 Promote the formation of a study group on quality control (ISO 9000) and actively take part in such a group together with implementing agencies and experts on the subject.			*******
5.3.8 Implement structures for regular evaluation and control of the performance of the donor agency itself, preferably executed by or with skilled outsiders independent of the agency.	No comments	No comments	No comments
5.4 Activities proposed for support agencies			
5.4.1 Develop specific courses on M&E and reporting issues for implementing and donor agencies.	*****		*
5.4.2 Promote the participation of both implementing and donor agencies' staff in courses on M&E.	******		
5.4.3 Follow the developments actively, take initiatives and participate as much as possible.	****		**
5.5 Other activities proposed			
5.5.1 Discuss this report in the next Inter Agency technical meeting	***		****

Remarks:

1) With "no opinion" the respondents often indicated that they did not want to choose to "agree" or "disagree", e.g. when the wording of a proposed activity did not exactly fit this person's opinion, or if he or she did not agree with executing a proposed activity in a collaborative effort. The author has the feeling though (from conversations with those who have filled in the table) that "no opinion" usually tends to mean a disagreement rather than an agreement with the proposed activity.
2) Many of the respondents have indicated that they have filled in the table on their own behalf which does not necessarily reflect the opinion of their organizations.
3) The activities 5.2.3, 5.2.9 and 5.3.8 had not yet been included when the list was sent to the participating organizations.

Chapter 5. Conclusions and recommendations

5.1 Introduction

This chapter gives the conclusions and recommendations of the assessment. The table on p. 28 provides an overview of the participants' opinions about the recommended follow-up activities.

5.2 Conclusions and recommendations for implementing agencies

The implementing agencies all monitor, evaluate and report on their W&S programmes in camps. This yields important information especially for daily programme management, but several problems still persist. Lack of time and security problems were often brought forward as examples of major barriers to proper monitoring, evaluation and reporting. Such problems may be difficult to resolve. Nevertheless it is believed that there is still scope for improvement. Important aspects such as the experience, knowledge and awareness of people involved in monitoring, evaluation and reporting could be improved further. The time needed for M&E could also be reduced and motivation increased if more thought was given to what information is really needed, when, by whom, and if guidelines were adapted to that. This paragraph therefore includes an overview of activities recommended to implementing agencies for further improvement of monitoring, evaluation and reporting.

5.2.1 Improve initial assessments and programme planning

Initial assessments and good programme planning are extremely important for M&E. The initial assessment yields the information which forms the basis for programme planning. This information is also used as a baseline against which the results achieved in the programme can later be evaluated (sometimes additional information is necessary and it should be investigated what information should additionally be measured at this stage for evaluation purposes). It is therefore important that such information be obtained and carefully documented. It is also imperative for M&E that during programme planning the programme objectives, indicators, activities, time frame, resources needed (both human and financial), and assumptions are clearly formulated. Several of the participating organizations (and also the author) have positive experience in using the Logical Framework Analysis (LFA) for this purpose (see Appendices 1 and 7 for an example and explanation of LFA). For those organizations who still do not use a structured method for programme planning it is recommended that they investigate the possibilities of introducing such a method as a standard procedure. It would be a good idea if the relation with planning and initial assessments were explained in M&E guidelines.

5.2.2 Develop guidelines for reporting

Many of the agencies have their own formats for reporting. It would be a good idea to build on these and combine all the good points from them in improved guidelines for reporting which could then be used by everybody. Standard formats would also improve readability (you would have to get used to the structure only once), understanding and comparability of the reports and make the work easier for the 'reporters' who would then no longer forget subjects and would not have to spend time on developing a format themselves. It is recommended that donor agencies should also be involved, especially in the development of the formats for the reports which they use. Developing one standard format for financial reports, including equal numbering of cost item groups etc., could also be tried. The guidelines should include formats for quite a number of different report types for different users and purposes, necessitating different kinds of information with varying degrees of detail. One idea for the report types and the subjects that should be included in such guidelines is presented in Appendix 6. This work is largely based on a review of the guidelines and reports received from the participants. Further development, testing and evaluation with and by the producers and users of the reports would be needed.

5.2.3 Put extra staff to work in the programmes with specific monitoring, evaluation and reporting skills

In many W&S programmes in camps only technical staff are employed. Although expensive it is also necessary that staff with more 'socially oriented' skills, such as skills in community participation, hygiene education, training, and monitoring, evaluation and reporting, should be involved. There is a danger though that by doing this technical people would no longer feel responsible for these subjects. This should be avoided as it would almost definitely do harm to the programme. One solution could be to have a "social" person in a kind of advisory and control function. This person could, for instance, fulfil this function for a number of programmes.

5.2.4 Develop guidelines for monitoring and evaluation

Most implementing agencies have developed and/or use guidelines for their M&E activities. Although these guidelines contain valuable information, none of them covers the subject to its full extent, and in most of them the subjects included had room for improvement. However, besides the knowledge laid down in guidelines, the organizations contain another, probably much more important and largely untapped source of knowledge and experience: their staff. It would mean an enormous leap forward if all this knowledge available in guidelines and personal experiences, which is now still spread out over various documents, persons and organizations, could be combined into comprehensive and specific guidelines on M&E of W&S programmes in camps. Most knowledge is already there, and only needs to be collected! This work therefore calls for a collaborative effort which would also suit to the decision already made by several organizations to give more attention to M&E. One organization could take the lead in coordinating the activities involved. The guidelines could include:

- lists of proposed indicators for different standard programme activities and different circumstances (e.g. different emergency phases and environments);
- descriptions on how, when and by whom the indicators can best be measured, processed and analysed and in which kind of reports the results should be included;
- an overview of minimum standards for the quality of work done.

Together with the reporting guidelines proposed earlier (which could be combined into one manual) these guidelines would form a powerful management tool. The production of such a tool was also recommended by the Workshop on Emergency Sanitation (see Appendix 8). In Appendix 5 some initial ideas are presented as to what M&E guidelines could look like. This work is based on the guidelines received from the participants, additional literature, and the author's personal experiences with M&E systems in camps in Rwanda in 1995.

5.2.5 Develop more knowledge about monitoring and evaluation issues, initiate research

A number of subjects related to M&E still need a lot of research as was discussed in par. 2.2.7.

5.2.6 Prepare for the development of a software package which includes all developments for improved monitoring, evaluation and reporting

A software package is the ideal solution for standardization whilst at the same time leaving freedom for adaptation to the circumstances. Moreover it can reduce considerably the time needed for processing of data and typing of text, especially once the first entries have been completed (as then most indicators will have been defined, formats adapted to the circumstances, etc.). A feasibility study into this subject is therefore recommended. This study should focus initially on the criteria for such a package and its structure and assess whether existing packages could be used for this (in their original or in an adapted version). An inventory of software companies that could produce such a package should be drawn up. The development of the package itself, could for instance, start after the guidelines discussed above, have been completed. One of the implementing agencies has already made a start with the development of such software. Their work and experience could be used as an entry point. The key words for such a software package should be **USER FRIENDLINESS** and **TIME REDUCTION**.

5.2.7 Development of and participation in training courses on issues related to monitoring, evaluation and reporting

Training of key staff on issues such as programme planning, preparation of programme proposals, monitoring, evaluation and reporting would raise awareness further and improve the skills of such staff. Implementing agencies could also develop and/or support proposals for the development of training courses on these subjects.

5.2.8 Form a study group on quality control/ISO 9000

Quality control becomes more and more important. Nowadays the British government demands from most organizations, to whom they give assignments, that they are ISO 9000 certified. In the Netherlands developments for the introduction of a quality mark for non-profit organizations are on their way. To prepare for the introduction of formal quality control it is recommended that implementing agencies should promote the formation of a study group on this subject and actively take part in it together with donor agencies and experts.

5.2.9 Improve the structures for institutional learning and optimal use of information

Institutional learning and the way in which available information is used at the different organizational levels is not always optimal. It is therefore recommended that organizations assess those measures that are needed to ensure that the information is used optimally at all levels, not only to improve the W&S programmes at field level, but also to assess the functionality and efficiency of the organizational structure and its procedures. The lessons must be documented to avoid loss of experience and knowledge when staff leave! The monitoring system itself should also be monitored to assess whether sufficient and correct information is obtained with regard to the changing circumstances, and whether the gathering of irrelevant information can be avoided.

5.3 Proposed activities for donor agencies

5.3.1 Develop and apply more specific conditions for monitoring, evaluation and reporting

Donor agencies' guidelines for project proposals usually contain conditions saying that implementing agencies should explain in their programme proposals how monitoring, evaluation and reporting will be done in the proposed programme. However, these conditions are not very specific. An important reason for this seems to be that donor agencies do not exactly know what they should demand from their implementing partners on this issue. So they do not apply these conditions very seriously which is not very motivating for implementing agencies. In order to improve this, more specific conditions for monitoring, evaluation and reporting will need to be developed and included in the guidelines. Preferably this should be done in collaboration with the implementing partners. An important source of information for this purpose could be the proposed management tool on monitoring, evaluation and reporting discussed earlier.

5.3.2 Participate in the production of guidelines for monitoring, evaluation and reporting

The management tool for monitoring, evaluation and reporting discussed earlier (see &5.2.4) would contain a lot of information which could be used to develop further the conditions discussed in &5.3.1. This tool will therefore be important for donor agencies and it is recommended that they also contribute to its development both financially and with human resources. This would also increase their experience with the subject and make it easier for them to improve the specification of the conditions for M&E as discussed above. In the case of software being produced based on these guidelines it would be a good idea if donor agencies were also involved in its production. They could fund part of the development costs and give inputs on how such software could be adapted to the existing software systems in their organizations.

5.3.3 Implement a good infrastructure for monitoring and evaluating the performance of the implementing partners

Once programmes have been approved and their implementation has started, donor agencies should regularly control whether the ToR are being met. This means that infrastructure is needed for monitoring and evaluating the performance of the implementing partners. The main emphasis should be on programme contents because control structures for programme finances seem to be already well established. Improving the infrastructure could consist of:

- implementing provisions for more and better reading of reports,
- having more contacts with the head offices of the partners about the programmes,
- keeping record of the general performance of each implementing agency (indicators should then be developed for this purpose),
- having (more) permanent staff in the field and developing guidelines for the monitoring, evaluation and reporting tasks of such staff as well as for the actions to be undertaken by them when the implementing partners they are monitoring are not performing well,
- sending evaluation missions to programmes and developing guidelines for such missions.
- developing and executing structures for controlling the performance of the donor agency's permanent field staff.

5.3.4 Employ staff with specific knowledge of water and sanitation

In order to make the correct decisions about applications for funding of water and sanitation programmes in camps, to assess whether such programmes are properly executed, to control the performance of implementing partners in the field and assist in case of problems, you need staff, both in the head offices and in the field, who are specifically skilled in the subject of water and sanitation. Donor agencies should assess whether they have enough of such staff. If not they should find suitable people and employ them and/or train their present staff on water and sanitation aspects.

5.3.5 Fund training of staff of both the implementing and the donor agencies on monitoring, evaluation and reporting issues.

5.3.6 Fund the development of training courses on monitoring, evaluation and reporting issues.

5.3.7 Promote the formation of a study group on quality control (ISO 9000) and actively take part in such a group together with implementing agencies and experts on the subject.

5.3.8 Implement structures for regular evaluation and control of the performance of the donor agency itself, preferably carried out by or together with skilled outsiders independent of the agency.

5.4 Activities proposed for support agencies

5.4.1 Develop specific courses on monitoring, evaluation and reporting issues for implementing agencies and for donor agencies.

5.4.2 Promote the participation of staff from both implementing and donor agencies in courses on monitoring and evaluation.

5.4.3 Follow the developments actively, take initiatives and participate as much as possible.

5.5 Other activities proposed

5.5.1 Discuss this report at the next Inter Agency technical meeting.

APPENDICES AND BIBLIOGRAPHY

Appendix 1 : Logical Framework of the study and overview of the activities carried out

In this appendix the logical framework for the planning of the study is presented with the specific objectives of the study, the activities, indicators and assumptions. Also an overview of the activities executed so far has been included.

General objective: To assess experiences, attitudes, beliefs, developments and ideas among implementing and donor agencies with respect to monitoring and evaluation of water and sanitation programmes in camps for refugees or displaced persons, and stimulate follow-up to improve monitoring and evaluation.

Resources: Funding for this project has been provided by the Dutch Ministry of Foreign Affairs in the form of a budget for 45 man days and a number of (mainly travelling) expenses incurred.

Specific objectives	Activities	Indicators	Assumptions
10 to 15 suitable organizations (mostly implementing and some donor) agreed, before the end of Nov. 1995, to participate in the study.	Contact all important implementing and donor agencies involved in emergency W&S programmes and ask if they want to cooperate. Visit a few of the agencies for initial discussions (Nov./Dec. '95).	No. of organizations who have agreed to participate and their names	Organizations open to new developments and willing to cooperate
Participants in Emergency Sanitation Workshop convinced of importance of monitoring and evaluation before the end of the Workshop.	1. Prepare for Emergency Sanitation Workshop (Dec. '95). 2. Participate in Emergency San. Workshop and give presentation about M&E (Dec. '95).	Informal feed-back from participants.	Consultant allowed to present initial study results. Participants motivated and open to new developments.
Before the end of January 1996 each of the participating organizations has receiveda confidential report containing an overview of their answers to a questionnaire about M&E in W&S programmes in camps and comments on their guidelines and sample evaluation reports.	1. Develop questionnaires, discuss these with resource people, then send to organizations (Nov./Dec. '95). 2. Process outcome of questionnaires, send confidential reports on them to each of the participating organizations and visit several for further discussions (Dec '95/Jan. '96). 3. Receive guidelines, reports and comments on the question-naire reports from the part.org. include all the information in the confidential reports and send to them (Dec. '95/Jan. '96).	Dates of sending confidential reports.	Each organization has time for meetings to answer questionnaires in Nov. or Dec.'95. Several organizations will provide guidelines and sample evaluation reports.
Each of the participating organiza-tions received a general draft report before end of Jan. 96 comprising an analysis of the answers to the ques-tionnaires, an analysis (looking at trends) of the guidelines and pro-gramme reports received, results of the Emergency Sanitation Workshop (as related to M&E), and the results of a literature study on the subject.	1. Literature review on M&E systems in use in the W&S and other sectors (November '95). 2. Process results of literature review and trends discovered in guidelines and evaluation reports and discuss with resource persons (Dec. '95/Jan. '96). 3. Process results of the workshop, finalize the assessment, produce final draft report and send to the participating organizations (Dec. '95/Jan. '96).	Dates of sending general draft report to the participating organizations and donor.	Resource persons have time available
Each of the participating organiza-tions received a final report before the end of April 96 which contains the above draft report, adapted with the comments, recommendations and proposals for follow-up received from the participating organizations.	1. Assess which organizations have not yet responded and contact them to encourage them to respond (March '96). 2. Process comments and proposals of the participating organizations, produce final report and a questionnaire in which organizations can give their opinion about the report and send to the participating organizations (March/April '96).	Date of sending final report to the organizations. No. of organizations who sent reactions. Number of organizations who judge the report as good, average or poor	Organizations have time to respond (i.e. no big emergencies occur)
Organizations initiate follow-up activities within half a year after finalization of the study.	1. Contact organizations frequently and convince them of im-portance of M&E and follow-up on the study (Nov. 95/Sept96) 2. Prepare a questionnaire about follow-up activities initiated by the org. who participated in the study and send tit o them half a year after finalization of the study (Sept. '96). 3. Prepare a small report with a final analysis of the indicators and send to the donor (Sept. '96).	Number of organizations sending their recommenda-tions and proposals for follow-up. Number and descriptions of follow-up activities initiated by participating organizations	Organizations have time for follow-up activities (i.e. no big emergencies occur)

Overview of the activities executed so far

1) A literature study was executed which covered the documents described in the bibliography (the results have been included in Chapters 1 and 2 and in Appendix 7).
2) During the study several meetings were held with resource persons to discuss subjects related to the project.
3) Questionnaires were developed for implementing and for donor agencies (see Appendix 2).
4) Ten organizations were visited; one to prepare for the study and nine to discuss and obtain their answers to the questionnaires.
5) From two organizations answers to the questions were received by post.
6) Representatives from five organizations were visited to discuss a number of subjects related to the study.
7) The replies to the questionnaires were analysed and the results included in Chapter 3.
8) Nine organizations contributed programme reports and/or guidelines for analysis. These were analysed; the results are presented in Chapter 4.
9) Eleven organizations participating in the assessment were sent a confidential report, including a detailed description of their replies to the questions. For those who contributed their reports and/or guidelines, it also included an analysis of and comments on these documents.
10) In December 1995 the author participated in the Emergency Sanitation Workshop in Oxford, United Kingdom. He highlighted the importance of M&E and explained the initial findings of the assessment during a session on this subject. He also discussed the subject personally with several participants at this Workshop. Some of the results of the Workshop are discussed in the report; Appendix 8 contains a summary of its results.
11) In January 1996 a general draft report was finished and sent to all the participating organizations and others involved in the study (see Appendix 3).
12) Eight organizations sent comments on the draft report and reactions and additions to the proposed activities. These were all analysed and included in the final report.
13) The draft report (or part of it) was also commented on by four independent resource persons.
14) With all the comments received, some additional literature study, and further analysis of the guidelines and reports received, the final report was prepared. It was then sent to all the participating organizations and the donor for this study.

Appendix 2 : Question lists

The questions for donor agencies were as follows:

1) What, according to your organization, are the benefits of having good M&E mechanisms for W&S programmes in camps?
2) Does your organization carry out evaluations of W&S programmes in camps itself? If yes, please explain what evaluation mechanisms are used for this (does your organization use any guidelines, forms/formats, report lay-outs, debriefing strategies, software etc.)? Please have some examples of the mechanisms used by your organization and some evaluation reports produced by your organization available during our meeting.
3) Does your organization carry out monitoring activities itself in or in relation to W&S programmes in camps (e.g. measuring field, financial, and/or organizational indicators such as frequency of an implementing agency reporting to your organization, etc.)? If yes, please explain what mechanisms are used for this (does your organization use any guidelines, forms/formats, equipment for measuring, etc.)? Please have some examples of these available during our meeting.
4) Do the mechanisms for monitoring and evaluation used by your organization (as described in questions 2 and 3 function well? Why/why not? What are the problems encountered?
5) Under what conditions can an implementing agency get funding from your organization for a W&S programme in a camp? (Main interest: the conditions in relation to monitoring, evaluation and reporting to you by the implementing agency, such as specifications on how and when reporting should be done, which subjects should be covered, what kind of information (which indicators) should be measured and how; this applies to both field level programme data and administrative/financial data).
6) What does your organization do with evaluation reports and other information about the programmes you have funded (what is the information used for)? Are there differences between what you do with reports produced by your organization and reports produced by the implementing agencies?
7) What new ideas, wishes, initiatives and developments exist within your organization concerning monitoring and evaluation of W&S programmes in camps?
8) What does your organization currently feel about possible cooperation with other agencies in the development of improved M&E mechanisms? What would the advantages and disadvantages be? Which agencies would you like and not like to cooperate with? If such mechanisms were to be developed, how in your opinion, could the correct use of these mechanisms be guaranteed?
9) Which are the major implementing agencies obtaining funding for W&S programmes in camps from your organization?
10) How are the contacts with these agencies on monitoring and evaluation? Do you ever give them feed-back on the information you receive from them about the programmes?
11) To what extent is your organization satisfied with the way each of the implementing agencies carries out the W&S programmes in camps funded by your organization? Please give further explanation if you feel this is necessary.
12) To what extent is your organization satisfied with the information you receive from the implementing agencies about the programmes you have funded (with respect to quality, quantity and timing of the information, and relevance to your information needs about the programme etc.)? Please give further explanation if you feel this is necessary.
13) To what extent is your organization happy with the quality of applications for funding by implementing agencies? Please give further explanation if you feel this is necessary.
14) To whom and how does your organization have to report about its funding activities in the field of w&s programmes in camps? Are there any guidelines your organization follows on such aspects as the expenditure allowed on overheads within your organization?

The questions for implementing agencies were as follows:

1) What, according to your organization, are the benefits of having good M&E mechanisms?
2) Please explain in brief which mechanisms for monitoring and evaluation for water and sanitation programmes in camps for refugees or displaced people are in use with your organization (are there guidelines, forms, financial reporting, lay-outs for reports, equipment for measuring certain parameters, debriefing strategies, software etc.)?
3) What does your organization do with evaluation reports and other information about the programmes (what is the information used for)?
4) Do the mechanisms for monitoring and evaluation used by your organization, as described in question 2, function well? Why/why not? What problems are encountered?
5) What new ideas, wishes, initiatives and developments exist within your organization to adapt/improve the existing mechanisms or create new (better) ones?
6) What are, according to you, the most important international agencies (including donor, implementing and support agencies) involved in water and sanitation programmes in camps for refugees or displaced persons?
7) What does your organization currently feel about possible cooperation with other agencies in the development of improved M&E mechanisms? What would be the advantages and disadvantages? Which agencies would you like to cooperate with? Which not?
8) Who are the major donors for your organization's emergency water and sanitation programmes?
9) How are the contacts with the donors about monitoring and evaluation? Is there any feed-back from them to your organization on the information they receive from you?
10) To what extent do you think each of the donors is satisfied with your organization's emergency W&S programmes? Please give further explanation if you feel this is necessary.
11) To what extent do you think each of the donors is satisfied with the level, quality, quantity and timing of the information they receive from you about those programmes? Please give further explanation if you feel this is necessary.
12) To what extent is your organization happy with:
    a) working with each donor in general;
    b) the possibility of getting (quick) funding from the donors;
    c) feed-back from donors as a result of information received about your programmes?

    Please give further explanation if you feel this is necessary.
13) Could you please explain in brief how your financial administration of water and sanitation programmes in refugee camps functions (how finances are broken down: per organization level (field level, national office level, head office level), per item (materials, salaries, transport, overheads, etc.), and/or other systems)?

Appendix 3 : Organizations involved in the study

The organizations printed in bold have participated in the study. Other organizations mentioned have given feed-back or have been involved in other ways as explained in the remarks.

Organi -zation	Contact person(s)	Address	Remarks
AICF	Eric Drouard (Watsan Officer)	Action contre la Faim, 9 Rue Dareau, 75014 Paris, France, tel: 33-1-53808888, fax: 33-1-45659250	Implementing agency, participating in this project.
IOV	Ted Kliest	Ministry of Foreign Affairs, Operations Review Unit, P.O. Box 20061, 2500 EB The Hague, The Netherlands, tel: 31-70-3486498/3485272	Donor agency. The IOV is a specific department of the Ministry concerned with programme evaluations. IOV has given feed-back on the draft report.
DRA	David de Beer (Emergency Aid Co-ordinator)	Disaster Relief Agency, Laan van Meerdervoort 192, 2517 BH The Hague, The Netherlands, tel: 31-70-3452255, fax: 31-70-3560753	Implementing and support agency, participating in this project.
ECHO	Santiago Gómez-Reino (director)	ECHO, Rue de la Loi 200, Office G-1 4/308, 1049 Brussels, Belgium, tel: 32-2-2954249, fax: 32-2-2954578, telex: COMEU B 21877	Donor agency, participating in this project.
ICRC	Philippe Rey	International Committee of the Red Cross, Sanitation Department, 19 Avenue de la Paix, 1202 Geneva 19, Switzerland, tel: 41-22-7346001	Implementing agency, participating in this project.
IFRC	Uli Jaspers (Water and Sanitation Officer)	International Federation of Red Cross and Red Crescent Societies, (Visitors address: 17 Chemin des Crets/Pt-Saconnex), P.O. Box 372, 1211 Geneva 19, Switzerland, tel: 41-22-7304472/7304222, fax: 41-227330395, telex: 412 133 FRC CH, Internet: jaspers@ifrc.org	Implementing agency, participating in this project.
IRC	David Saunders, Kathleen Shordt	International Water and Sanitation Centre, (Visitors adress: Vuurtorenweg 37, Scheveningen), P.o. Box 93190, 2509 AD Den Haag, the Netherlands, tel:31-70-3068930, fax: 31-70-3589964, E-mail: general@irc.nl	Support agency, has given feed-back on the terminology used and some other issues.
KEMA	P.N. Ruys	KEMA, P.O. Box 9035, 6800 ET Arnhem, The Netherlands, tel: 026-3569111, fax: 026-3516708	KEMA is, among other things, an ISO certifying institute. Mr. Ruys has given inputs in &1.4 about ISO 9000.
MSF-Holland	Denis Heidebroek, Martin Oudman	Artsen Zonder Grenzen, WatSan Desk, Max Euweplein 40, 1001 EA Amsterdam, the Netherlands, tel: 31-20-5208700, fax: 31-20-6205170	Implementing agency, participating in this project.
MSF-France	Yves Chartier	Médecins Sans Frontieres - France, 8 Rue Saint Sabin,75011 Paris, France, tel: 33-1-40212923, fax: 33-1-48066868	Implementing agency, participating in this project.
Nedworc	Ton de Klerk	Networking in Development Cooperation, P.O. Box 816, 3700 AV Zeist (Address: Herenlaan 45, Zeist), The Netherlands, tel: 31-30-6932912, fax: 31-30-6932911.	Nedworc is an org. of free-lance consultants experienced in dev.elopment and/or emergency aid. Nedworc's Disasters and Development Group (NEDAD) has given extensive feed-back on the draft report.

Organi -zation	Contact person(s)	Address	Remarks
RedR	Robert Lambert	1 - 7 Great George Street, London SW 1P 3AA, UK, tel: 44-171-2333116, fax: 44-171-2220564	Support agency, participating in this project.
ODA	Graham Carrington (Health Programme Officer, Emergency Aid Department)	Overseas Development Administration, 94 Victoria Street, London SW1E 5JL, United Kingdom, tel: 44-171-9170778/9170372, fax: 44-171-9170425, E-mail: dru0gc.vs3@oda.gnet.gov.uk	Donor agency, participating in this project.
OXFAM -UK	John Adams	274 Banbury Road, Oxford OX2 7DZ, United Kingdom, tel: 44-1865-312493 (direct number)/311311 (general number), fax: 44-1865-312224	Implementing agency, participating in this project.
UNHCR	Claude Rakotomalala	UNHCR, PTSS, 15 Chemin Louis-Dunant, CH-1202 Geneva, Switzerland, tel: 41-22-7398843, fax: 41-22-7397371	Donor and support agency, participating in this project.
UNICEF Geneve	Ron Ockwell, Madeleine Klinkhamer	United Nations Children's Fund, Palais des Nations CH-1211 Geneva 10, Switzerland, tel: 41-22-9095111/9095550, fax: 41-22-7884664	Implementing and donor agency, participating in this project.
UNICEF New York	Brendan Doyle (Senior Project Officer Water and Environmental Sanitation), Moira Hart-Poliquin	United Nations Children's Fund, 3 United Nations Plaza, DH-40 New York, New York 10017, U.S.A. (visitors address: One Dag Hammarskjold Plaza), tel: 1-212-7027269/7027275/3267000, fax: 1-212-7027150, telex: 175989 TRT, E-mail: gghosh@igc.apc.org	Implementing and donor agency, participating in this project.
WEDC	Sarah House	Water, Engineering and Development Centre, Loughborough University of Technology, Leicestershire LE11 3TU, United Kingdom, tel: 44-1509-222885, fax: 44-1509-211079, telex: 34319 UNITEC G, E-mail: WEDC@lut.ac.uk, Internet: http://info.lut.ac.uk/departments/cv/wedc/index.html	Support agency, currently developing simple guidelines and a training package for the assessment of water sources in emergencies (2 year project). Has given feed-back on the draft report.
WHO	Dennis B. Warner (Chief, Rural Environmental Health and Senior Technical Adviser Water Supply and Sanitation)	World Health Organization, 20, Avenue Appia, CH-1211 Geneva 27, Switzerland, tel: 41-22-7913546/7912111, fax: 41-22-7914159, telex: 415416	Donor agency.

Appendix 4 : An analysis of indicators in guidelines and reports received from the participants

In this appendix the results of an analysis of indicators found in guidelines and reports received from the participants are presented. The analysis consisted of an assessment of the kind of indicators which were included in the documents. For each document it was indicated in the following tables how many indicators could be found per indicator type (each indicator found is represented by an '*') . The aim was to assess whether there are large differences between guidelines and reports in this respect, the coverage of the indicators used in the documents compared to the indicator types distinguished in the tables, and to get an overview of which indicator types are measured or proposed to be measured most. Some of the terms used in this appendix need to be explained:

<u>Indicator group:</u> Each table represents an indicator group (e.g. "Basic Indicators" is an indicator group).

<u>Indicator type:</u> Each table is subdivided into indicator types (e.g. "Indicators on size of population" is an indicator type). Each indicator type can include different indicators. Example: the guidelines and evaluation reports contained such indicators as "number of huts", "number of households", "number of camp inhabitants", "average number of persons per household". All these indicators fit into the indicator type "Indicators on size of population".

The indicator types distinguished in the tables were determined through analysis of:

- the indicators found in the guidelines and evaluation reports received from the participating organizations,
- a number of documents with references to M&E in W&S programmes, and
- the lists of indicators the author put together and used during his work in camps in Rwanda in 1995.

The indicator groups mainly cover the three evaluation steps of the Minimum Evaluation Procedure ('*functionality*', '*utilization*' and '*impact*'; for all of which indicators will be needed if they are to be assessed), and the five evaluation elements ('*effectiveness*', '*impact*', '*efficiency*', '*relevance*' and '*sustainability*'; which also all need indicators if they are to be assessed). They partly overlap. Both the Minimum Evaluation Procedure and the five evaluation elements contain '*impact*' while indicators which can be brought under the headings of '*functionality*' and '*utilization*' could in many cases just as well be added to the headings '*effectiveness*' and '*relevance*'. The only additions needed were the small but important groups of *basic* and *contingency and safety* indicators to cover quite an extensive range of indicators for W&S programmes in camps (recommendations for adaptations/improvements are very welcome).

The tables clearly show the large differences between indicator types used in reports and those proposed in the guidelines. Another observation is that the indicators used in the reports and guidelines only cover a very small portion of the indicator types distinguished in the tables, with clear emphasis on basic and functionality indicators and health statistics. It can also be seen that the focus of the different report types differs. There are thought to be a number of reasons for the differences observed and the emphasis on certain kinds of indicators. These are explained on the following page.

- The emphasis is on indicators which can be measured easily and give important information or indication about the programme effects (not the complete picture, but at least a good indication is obtained, according to the principles set out in the Minimum Evaluation Procedure: first assess whether the services function).

- Health statistics are extremely important as they are the key indicator to knowing whether the ultimate goal of all programmes together is achieved: improved health for the camp inhabitants). Although it will not be known what the precise contribution of the W&S programme to the figures is a strong indication is obtained when they are looked at together with the information of the functionality indicators. For water and sanitation programmes health statistics are also often easy to obtain, as they are usually measured by the curative health programmes executed in the camp; it is therefore only necessary to request the figures from these programmes.
- Reports and guidelines differ mainly in the numbers and kinds of indicators which are actually measured and proposed. This obviously represents a gap between practise (what is really done and possible in the field) and theory (what should be done). The reasons for this gap may be that it is more difficult than assumed in the guidelines to actually measure and document certain indicators, but it may also be caused by lack of awareness, motivation or experience of field staff.
- Each report has different information needs which is why each report only covers certain indicators (see also Appendix 6).
- The fact that many indicators which are actually measured in the field are not reported upon (at least not in the narrative reports) is also important. For example, the amount of material and equipment purchased, stored and used, and the mileages of programme vehicles are typical indicators which are important for daily programme management but details of which are not included in the reports sent to the higher organization levels, although some of this information may reappear in the financial reports.

The titles and sources of the reports and guidelines included are not mentioned as it was agreed that such information would remain confidential. Those organizations whose guidelines and evaluation reports are used have been informed which of the documents included were theirs so that they can use this knowledge for their internal discussions.

Index

1 monthly report
2 periodic external evaluation report
3 guideline list of indicators
4 guideline list of indicators
5 guideline list of indicators for monthly report
6 guideline list of indicators
7 guideline list of indicators for final report
8 guideline list of indicators for formulation and monitoring of environmental sanitation projects
9 monthly report
10 weekly report

= report

= guideline

Basic indicators

	1	2	3	4	5	6	7	8	9	10
Indicators on size of population	**	*	**	**	*	**	*		*	*
Indicators on the extent to which and where the environmental hygiene problems are observed (e.g. flooding/stagnant water, flies, mosquitoes, rubbish on ground, faeces on ground, other dirt on ground, dead bodies on ground or unhygienically buried/ incinerated, cattle in or near camp area, poor clothing of people, etc.)	*	***	*	** ** **		****		**** ****		

Functionality indicators

	1	2	3	4	5	6	7	8	9	10
Indicators on water quantity available for use		*	*	*	*	****	*		*	**
Indicators on quality of the water available at the water points		*	**	***		***	*		*	
Indicators on the quality and reliability of water facilities (e.g. number of break downs per week or month, how long facilities are broken down, amount of time in a year a well is dry).		*		**** *		**** ****	***			
Indicators on access to water facilities (e.g. amount and distribution of facilities, distance and accessibility, waiting times).	***	*	*	*	*	****	***		*	**
Indicators on how hygienic the water facilities are (stagnant water, people/cattle standing in the source, distance from latrines, etc.).			*	***		****				*
Indicators on access to sanitation facilities (e.g. access to latrines/ showers/washing places/garbage disposal points/grave yards, availability of drainage works, access to ORS).	****	****	***	**		***	*	**** ****	***	**** **
Indicators on how hygienic sanitation facilities are or how well they contribute to hygiene (dirtiness of latrines,home area, (potential for) flooding of latrines, home areas, roads, etc.).		**	***	**		*		**		
Indicators on quality and reliability of the sanitation facilities (e.g. no. of latrines with filled up pits, filled up garbage holes, number of facilities broken down, effectiveness of drains).		*	*	*			*			
Indicators on people's level of understanding of language in which hyg. education is given.										
Indicators on level of understanding of the hygiene messages						***	*			
Indicators on access to the hygiene messages through mass media means (TV, radio, pamphlets, posters, theatre, etc.).						****	*			
Indicators on amount of face to face contact with project staff and other hygiene educators.						****	*			*
Indicators on understanding of language in which training is given (can be training of staff or specific target groups).										
Indicators on understanding of the training messages.										
Indicators on access to and amount of training.		*								
Indicators on amounts and distribution of materials distributed to the camp population										
Indicators on amounts and distribution of materials lent to the camp population										

Utilization indicators

	1	2	3	4	5	6	7	8	9	10
Indicators on the percentage of people using the water from the facilities.							*			
Indicators on the amount of water used.									*	
Indicators on how the water is used.						***				
Indicators on the percentage of people using the sanitation facilities (toilets, garbage holes, disposal points, grave yards).			*			*	*			*
Indicators on handwashing after defecation and on other aspects of hygiene behaviour.				*		**** **	***			
Indicators on knowledge of oral rehydration.										
Indicators on knowledge and use of knowledge/skills gained during the training										
Indicators on how materials distributed to the camp population are used										
Indicators on how materials lent to the camp population are used										

Impact indicators

	1	2	3	4	5	6	7	8	9	10
Indicators on mortality and on water and sanitation related diseases (health statistics).		****		****		***	*	***	*****	
Indicators on environmental degradation.										
indicators on social development (e.g. changes in gender relations, improvements in self-help capacity, improvements in skills of people).						*	*			
Indicators on impact on local economy.										

Efficiency indicators

	1	2	3	4	5	6	7	8	9	10
Indicators on money spent		***			**		*			
Indicators on mileage and fuel used for transport										
Indicators on amounts of materials used for construction of facilities										
Indicators on numbers of staff employed		**							*	*
Indicators on timing of programme activities					**					
Indicators on quality of M&E (timing, measuring, use of information etc.)						**				

Ind.icators on design efficiency (e.g. no. of m of water pipe per camp inhabitant against distance from source)										
Indicators on consumables (fuel, lubricants, chemicals) used for water production, vector control etc.									**** ***	**
Indicators on numbers of hours pumped against amount of water pumped.										
Indicators on level/quality of coordination and cooperation between programmes in the area (e.g. number of inter-NGO meetings held, etc.).										*

Sustainability indicators

	1	2	3	4	5	6	7	8	9	10
Indicators on degree of participation and perceptions/felt needs of the beneficiaries						****				
Indicators on hygiene behaviour after returning home										
Indicators on environmental degradation										

Contingency and safety indicators

	1	2	3	4	5	6	7	8	9	10
Indicators on stocks of materials available which the programme can use and the time needed to make these materials available in the programme										
Indicators on local availability of important materials le.g. fuel, wood for construction etc.)										
Indicators on water storage capacity in the camp area										**
Indicators on human resources which can be mobilized and the amount of time needed for this in case of an emergency										
Indicators on the general security and political situation										
Indicators covering safety aspects such as safety during spraying, well construction etc.										

Appendix 5 : Initial outline of guidelines on M&E of W&S programmes in camps

This appendix includes a preliminary overview of chapters that could be included in guidelines on M&E of W&S programmes in camps, and several worked examples of tables with indicators and paragraphs containing descriptions of how these indicators can be measured, quality standards, and how the indicators can be assessed against these standards. The aim is to give the reader a first impression of how such guidelines could look! The appendix is based on an analysis of the guidelines and reports received from the participants, relevant literature (e.g. Davis and Lambert 1995) and the author's personal experience with the subject in camps in Rwanda in 1995. The figures for the quality standards described in this appendix are only indicative. They are not very well worked out as no time was available for going into the subject in sufficient detail; they will therefore need to be discussed and reviewed thoroughly!

Initial outline proposal:

1. Introduction.

* General short introduction to the subject
* Description of the objectives of the guidelines.
* Explanation of why different indicator lists are included for emergencies and non-emergencies, the features of these two situations and significance for the M&E systems to be introduced during those situations (which kinds of indicators are important, etc.).
* Description of different camp environments and phases of camp development and the need to adapt the M&E systems to those situations.

2. Initial assessments and programme planning as a basis for M&E

* The importance of the initial assessment for M&E: baseline information, what kind of information is important, whether it can be measured/documented. Reference to literature and new developments (e.g. at WEDC) on the subject.
* Explanation of the importance of programme planning for M&E and general introduction of the Logical Framework Analysis as a methodology for programme planning which includes the formulation of programme objectives, activities, indicators, resources and assumptions. Reference to literature on the subject.

3. Indicators recommended to be measured during emergency situations.

3.1 Introduction

* Explanation of just what the features of an emergency situation are and how to determine easily whether a certain situation is an emergency. (Remark: certain indicators could be used for this, for instance mortality and/or morbidity figures, amount of water available per person per day, water quality indicators. The general indicators (paragraph 3.2 of this outline; see worked examples further on) which should always be measured independently of the sort of programme, may be useful in this respect as well).
* Explanation of the kinds of indicators that should be emphasized in the monitoring system in an emergency (mainly basic and functionality indicators and some impact indicators because the limited resources and time available will not allow for more thorough and extensive measurements; see Appendix 4 for explanation).

* Explain that paragraph 3.2 includes the indicators which should be measured or obtained in a different way for each water and/or sanitation programme, and that the other paragraphs give indicators which are believed to be useful/important for different programme parts. (Remark: most of this work still needs to be done; to give an idea some parts are presented here).

3.2-3.14 Tables with indicators

* Paragraph 3.2 contains a table with indicators on which always information should be obtained.
* The other paragraphs contain tables with indicators for the following programme parts: drinking water, toilets, vector control, hygiene behaviour, solid waste, handling of the dead, administration of materials, slaughtering of cattle, showers and washing facilities, training activities, drainage of roads, water points, households and latrines, financial administration.
* The tables include columns for the following: the indicators, the recommended intensity of measuring, who should measure the indicator, referral to the paragraph(s) with descriptions on how the indicator can be measured, recommendation for the report types in which the indicator should be included, remarks

4. Indicators recommended for measurement during non-emergency situations

* Basically the same set-up as for Chapter 3, but then for non-emergency situations.

5-20. Chapters containing explanations of indicators and quality standards

* These chapters contain descriptions of how, when, where and by whom indicators should be measured, what the quality standards are and how the indicators should be evaluated against these standards.

Some worked examples:

3.2 General indicators for all programmes

Information on the indicators described in this paragraph should always be obtained.

Indicator	Priority (5 = very high; 1 = low)	Recommended frequency of measuring	Who should measure it	Paragraph with description of how the indicators can be measured	Useful for which of the camp situations	Reports to be included in	Remarks
Camp population	5	daily or weekly (depending on changes)	camp staff	Par. 8.1	all	all	Compare with and/or use figures from other programmes
Mortality	5	weekly	camp staff of curative health programme	Par. 8.2	all	all	Include the causes of the mortality in the reports, if known. Distinguish between under and over fives if data available.
Morbidity	3	weekly	camp staff of curative health programme	Par. 8.3	all	all	include water and sanitation related diseases, especially the ones most prevalent in the area. Distinguish between under and over fives if data available.
Severeness of environ-mental hygiene situation	5	daily	programme manager	Par. 8.4	all	all	mainly informal, subjective observations about, for instance, the amount of rubbish, drainage problems, open defecation etc. during stay in the camp

3.3 Indicators for drinking water

Indicator	Priority (5 = very high; 1 = low)	Recommended frequency of measuring	Who should measure it	Paragraph with description	Recommended for which camp situations	Reports to be included in	Remarks
Amount of water available to the camp population	5	daily	camp staff	Par. 9.1	all	all	Determine the amounts provided by each water system and by the natural sources and also calculate the cumulative figure. For the water systems take the amounts produced minus the estimated losses, and for the natural sources the amount of water obtained from these sources by the people. Provide only cumulative (weekly) figures (per water system and natural source, and the total of all these) in the reports. For camp situations in wet areas measuring only needs to be doneweekly.
Total number of water points	3	weekly	camp staff	Par. 9.2	all	weekly reports	
Number of water points where waiting times exceed 1 hour	3	weekly at 20% of all water points	camp staff	Par. 9.2	all	all	
Faecal Coliform (E.Coli/100 ml)	5	weekly at least at 20% of the water points delivering water not disinfected	manager	Par. 9.4	all	all	Only needs to be measured in water which is not disinfected. ////possibly build in some specifications to decrease the intensity of measuring if, over a certain period, the values remain stable and the ratings good ////
Residual Chlorine	5	daily in at least 5% of the water points delivering chlorinated water	camp staff	Par. 9.4	all	all	Only needs to be measured in chlorinated water. ////possibly build in some specifications to decrease the intensity of measuring if, over a certain period, the values remain stable and the ratings good ////
Turbidity	3 (5 in case of disinfected water)	weekly in at least 20% of all water points	camp staff	Par. 9.4	all	all	////possibly build in some specifications to decrease the intensity of measuring if, over a certain period, the values remain stable and the ratings good ////
pH							////possibly build in some specifications to decrease the intensity of measuring if the values remain stable and the ratings good over a certain period/////
ECe							The necessity of measuring this or other water quality indicators depends on the outcome of an initial extensive assessment of the water quality
Amounts of chemicals, fuel and lubricants used per water system	2	daily	camp staff + manager	Par. 9.4	all	only in programme administration	to be used for programme management, only to be reported upon when unusual values are found. ////Remark: not sure if these indicators are important in emergencies, unless the availability of these items is limited//////
Contingency capacity	2 (?)	every week/two weeks (?)	programme manager	Par.	all	only in reports if believed to be insufficient.	For instance: number of spare pumps, distance of spare pipeline, max. amount of time in which these can be made available on site, etc.

3.4 Toilets

Indicator	Priority (5 = very high; 1 = low pr.)	Recommended frequency of measuring	Who should measure it	Paragraph with descrip-tion	For which camp situations useful	Reports to be inclu-ded in	Remarks
Total number of toilet facilities produced (per type)/in use	5	weekly					/// Remark: not certain if during an emergency tit is possible o measure how many are really in use; and what is meant by 'in use'?/////
How many toilet points produced/in use	5	weekly					a toilet point can be used by one person at a time. /// Remark: not certain during an emergency it is possible to measure how many are in use; and what is meant by 'in use'?//////
Number of users of the toilet facilities per day (per type)	5	weekly					//Not sure if this indicator can be measured during an emergency and whether it really provides important information/////
Amount of open defecation	5	weekly					
Extent to which patients in health centres, hospitals, feeding centres etc. have sufficient access to toilet facilities (answer per centre with sufficient, reasonable or insufficient)	3	weekly					Can be determined by asking staff working in the centres what they think, and by obtaining from them the patient numbers and assessing against standards for max. number of patients per facility
Cleanliness of toilet facilities	3	daily					

3.5 vector control

Indicator	Priority (5 = very high; 1 = low pr.)	Recommended frequency of measuring	Who should measure it	Paragraph with descrip-tion	For which of the camp situations useful	Reports to be included in	Remarks
Level of presence of different vectors (determine for each vector whether the level of presence is high, medium or small)		depending on vector; see par.					If vectors are observed or suspected, an assessment first needs to be carried out to identify which vectors they are and their initial level of presence and if possible their (potential) health hazards.
safety indicators for spraying	5						
amounts of pesticides used for spraying or other vector control measures							
amount of pesticides used per facility, household, or area							
number of facilities, households or areas sprayed or otherwise treated							
Effectiveness of spraying or other treatment with pesticides							

3.6 hygiene behaviour

Remark: In emergencies it may be extremely important to convey certain very basic hygiene messages and ensure that people change their behaviour. In case of a (potential) cholera epidemic, for instance, it is important to warn people that they should not drink from the infected sources. Information is then needed to know whether such messages have been passed on and whether people really change their behaviour as a result (i.e. in this case no longer drink from the infected water sources). Although during an emergency it may not be possible to obtain information about the contribution of health messages to the actual change in people's behaviour, it may still be possible to measure several functionality indicators, such as the number of staff hours spent conveying the messages. This gives an indication about the extent to which the messages have been spread (this is also in line with the Minimum Evaluation Procedure; see Appendices 4 and 7). As none of the guidelines received from the participants contained any hygiene behaviour indicators this is seen as an indication that the knowledge and experience with respect to this subject is still very limited. It is therefore believed that thorough investigations will be needed to determine: 1)whether it is possible and useful in emergency situations to measure certain hygiene behaviour indicators, 2) which indicators should be measured for which camp situations, and 3) how they should be measured.

3.7 solid waste

Indicator	Recommended frequency of measuring	Who should measure it	Paragraph with descr. of how ind. can be measured	For which of the camp situations useful	Reports to be ncluded in	Remarks
Remark: Solid waste will often not be of immediate importance in emergency situations although there have been exceptions. Some indicators as found in the guidelines and reports received from the participants are presented below. Investigations will be needed to compile a more comprehensive list and distinguish between indicators for emergency and non-emergency situations.						
Indicators for the cleanliness of household environment (e.g. number of family solid waste pits in use, number of households with poor cleanliness)						
Indicators for the cleanliness of market places, health centres, feeding centres etc.						
Number of trucks of rubbish collected per day						
Cleanliness of camp area						
Number of households at more than a certain distance from any garbage disposal point						
Number of collective refuse pits in use						
Number of public solid waste disposal points constructed/in use						

3.8 handling of the dead

Indicator	Recommended frequency of measuring	Who should measure it	Paragraphwith description of how indicators can be measured	For which of the camp situations useful	Reports to be included in	Remarks
Remark: None of the guidelines and reports received from the participants contained indicators on this subject. As this subject is often important in emergencies and dead corpses can be a real threat to health, a number of indicators are proposed here, although they need to be thoroughly reviewed, discussed and field-tested.						
Number of corpses in or near the camp						
Number of corpses in surface water which is used by camp inhabitants						
No. of burials/ burning of corpses executed and how many of them are is properly executed						If possible to be assessed against mortality figures

3.9 administration of materials						
Indicator	**Recommended frequency of measuring**	**Who should measure it**	**Paragraph with description of how indicators can be measured**	**For which of the camp situations useful**	**Reports to be included in**	**Remarks**
For each material: 1) Amounts coming in, date, and source 2) Amounts going out, date and to whom/where and for which purpose (which use, as a gift or to borrow; in this last case the administration should include details about the restitution of the materials)	continuous	camp administrator + logisticien at the regional office	Par.	all	only in programme administration, in other reports in case of problems, categories in financial reports, cumulative figures in evaluation reports	only to be reported upon in the reports (usually the weekly or monthly reports) in case of strange values or suspected or proven theft. Typical materials to be given to the camp population are: plastic sheeting, blankets, soap, water containers, latrine slabs, etc. Materials to be borrowed to camp pop.: digging tools. Further should be included materials and equipment used by the programme.

4. Indicators recommended to be measured during non-emergency situations.

Also for non-emergency situations indicators should be determined per programme part. Several differences from emergency situations will be important here:

- On many occasions the same indicators will appear, but often the standards against which they are assessed, the frequency of measuring, or how they are measured will differ.
- Several of the indicators will not reappear or be replaced by others.
- Several new indicators will be added, especially additional functionality and efficiency and utilization indicators, but possibly to some extent contingency and safety, and even sustainability indicators.

These differences all have to do with the fact that in non-emergency situations programme objectives and activities change and that there are more possibilities (e.g. because there is more time, fewer dangers and other restrictive factors) to obtain important information which should be used.

A few examples:

- In an emergency it may be acceptable when observations of the environmental hygiene situation are subjective and unstructured and not reported on unless important changes are observed. In a non-emergency situation the observations may be formalized by introducing regular structured walks through the camp during which a number of structured and objective observations will be done, using observation lists and scoring mechanisms (more precise and less subjective, but more difficult and time consuming).

- The indicator 'number of toilet facilities produced' (recommended for emergencies, because it is easy to measure, but giving only an indication of what access people have to toilet facilities) could in non-emergencies possibly be replaced by the indicators 'number of toilet facilities in use' and for instance 'number of families having access to a family pit latrine' (more difficult to measure, but giving a much better indication of the access people have to toilet facilities).

9. Explanation of indicators and quality standards for drinking water

///////// 9.3 Water quality

Water quality standards			
Indication Indicator	GOOD	REASONABLE	POOR
Faecal Coliform (E.coli/100 ml)	0 - 10	10 - 50	> 50
Residual chlorine (mg/l; for water treated with chlorine, after a contact time of 30 min.)	0.2 - 0.5	0.1 - 0.2 or 0.5 - 1.0	< 0.1 or > 1.0
Turbidity (NTU) for water treated with chlorine	0 - 5	5 - 20	> 20
Turbidity (NTU) for water not treated with chlorine	0 - 20 ?	20 - 75 ?	> 75 ?
pH	5.8 - 7.5	4.0 - 5.8 or 7.5 - 8.0	< 4 or > 8

In most cases measuring these four indicators will give a sufficient indication of the water quality (see also the tables in Ch. 2 and 3 which recommend the intensities of measuring and the situations for which they should be measured). There are however many other parameters which can affect the water quality (see for instance table 9.3 in Davis and Lambert 1995). If it is suspected or if during an initial assessment it has been found that parameters, other than those included in the above table, could cause problems it may be necessary to monitor these parameters as well, especially if they could be expected to change. A more thorough analysis of a larger number of parameters is also needed when certain circumstances, which may affect the water quality of a source, change drastically at certain periods, for instance when the season changes from very dry to very wet (often affecting surface water quality).

How to measure the indicators.

Faecal Coliform:
////explain in short how to measure, using for instance the Del Agua Kit, and refer to the guidelines for this test (provided with the Kit)./////

pH and Residual Chlorine:
pH and residual chlorine levels can be determined using a colour comparator. The comparator contains two compartments, one for the pH and one for the residual chlorine test. Depending on the parameter to be measured one of the compartments is filled with the water which is to be tested. Add the reagents specific for the test to this water. As a result the water develops a colour which can be compared with colour indications on the comparator. The corresponding values for the parameter measured can be read beside the colour indications on the comparator.

Turbidity:

Turbidity levels can be measured optically: fill a turbidity test tube (included in the Del Agua Kit) with the water to be tested up to the point where the mark at the bottom of this tube can still just be seen when looking through the water column in the tube and disappears from sight when adding more water. The corresponding NTU value can be read from the tube at the level to which the tube is filled with the water.

Evaluation of the indicators measured.

Minimum water quality standards required for emergency situations:

The number of samples measured for each indicator should be according to the specifications presented in Table 3.3. For each indicator and each water system at least 70% of the measurements made should get a "reasonable" rating and not more than 15% a "poor" rating.

Minimum water quality standards required for non-emergency situations:

The number of samples measured for each indicator should be according to the specifications presented in Table 4.3. For each indicator and each water system at least 70% of the measurements done should get a "good" rating and not more than 5% a "poor" rating.

Example: **how the quality of the water available to the people can be evaluated**

In a camp there is a piped water system with pre-treated (coagulants) and chlorinated water providing 85 m^3 of water/day to 50 tapstands. In the area, there are also 15 capped springs from which people take another 25 m^3/day. In the camp there is still an emergency situation and because the piped water system was set up in a hurry the pretreatment and chlorination is not always done very well.

Results from the monitoring system during week 3:

Residual chlorine: every day samples were taken at 3 tapstands and the residual chlorine level measured (3 out of 50 is more than 5% which is the minimum coverage as prescribed in table 3.3). Results: 21 samples, of which 16 had residual chlorine levels between 0.2 and 0.5 mg/l (rating: good), 4 a level between 0.1 and 0.2 (rating: reasonable) and 1 a level < 0.1 (rating: poor).

Faecal coliform: during the week at 3 of the capped springs samples were taken (= 20% of total number of capped springs, according to the coverage required as described in table 3.3). Results: 1 sample had a faecal coliform level of 7 E.coli/100 ml (rating: good), 1 sample a level of 35 (rating: reasonable) and one sample a level of 125 (rating: poor).

Turbidity and pH tests were also done according to the required intensities described in Table 3.3. All of them were rated with good.

Analysis:

For the residual chlorine tests only one was rated "poor" which is far fewer than the maximum aloowed of 15%. The conclusion therefore, is that the quality of the piped water is much better than the minimum requirements for emergency situations; therefore not a problem.

For the faecal coliform tests 33% is rated "good", 33% "reasonable" and 33% "poor". 33% of the tests with a "poor" rating is higher than the maximum allowed of 15% as defined in the minimum water quality requirements for emergencies. The conclusion is that the water from the capped springs does not meet the minimum standards. An attempt should therefore be made either to close the most polluted springs and/or to increase the piped water production.

The turbidity and pH tests were all rated good; therefore not a problem.

Appendix 6 : Reporting formats

Introduction

This appendix consists of an analysis and overview of reporting formats as used by the participating organizations (see the table below) and, largely based on this, a preliminary idea about subjects for inclusion in different kinds of reports. Further discussion and field-testing by and together with the producers and users of the reports will be needed to finalize these 'reporting formats'. Most of the information needed on the subjects included in the different report types proposed will have to come from the monitoring system. However, informal and ad-hoc or one off observations could and should also provide important information in all the reports. N.B. In the following table an asterisk (*) means that the subject has been found in one of the reports received from the participating organizations which is of that report type.

Overview of reporting subjects found in 7 guidelines and 8 reports received from the participants

Index report types

1 = Weekly water and/or sanitation report
2 = Weekly report covering a number of programmes
3 = Monthly water and/or sanitation report
4 = Monthly report covering a number of programmes
5 = Periodic water and/or sanitation report
6 = Periodic report covering a no. of programmes
7 = End of duty report
8 = Final water and/or sanitation report
9 = Final general report of all programmes in a camp by the agency

Report type Reporting subject	1	2	3	4	5	6	7	8	9
Name of area(s), reporting period, author(s) , date of finalization of report		*	**	***	**	****	**	**	**
Description of the sort of programme(s) covered by the report					*	**	**	*	*
Executive summary			*		*	*	*		
Description of the methodology, work schedule/ToR and purpose of the evaluation						*			
Overview of specific objectives and activities that were to be accomplished during the period covered by the report.					*	*			
Description of history of the emergency				*			*		
Description of programme history, comparison of original design(s) with actual programme implementation	*	**	*	**		*	**		
Description of the objectives, strategies and/or activities of other programmes/ organizations in the area(s)	*	**	*	*	*	**	*	*	*
General description of political situation in the area, local economy, environment, and their (potential) hazards for the programme(s) covered by the report, etc.	*	*	*	**	*	*	*		
Description of operation as approved			*	*	*	*		*	*
Description of the objectives planned			*		*	**	**	**	**
Description of the indicators planned						*	**		
Description of the activities planned					*	*	**	*	*
Description of the resources planned		*					*		

Description of the assumptions made during planning						*			
Progress, results and problems/constraints (including an overview of indicators and textual explanation) with the programme activities in relation to the programme planning	*	**	***	*** **	*** *	**** **	**	** *	***
Explanation of how information has been measured/obtained					*	*	**	*	*
Designs or explanation of facilities constructed by/through the programme(s)							**		
Description of the progress, results and problems of other programmes (or organizations) in the same area(s)		*		*			*		
Description of the interaction and coordination with other programmes/organizations		*			*	*	**	*	*
The combined impact of all programmes in the area and the contribution of the programme(s) considered to this				*			*		
Other (potential) problems or issues important for the programme(s) (security, political situation, (potential) problems with water and/or sanitation related subjects for which no programme activities exist, (potential) influx of new arrivals)	*	**	*	**	*	**	*		
Description of additional non-standard (not included in the official programme planning) activities executed by the programme during the period covered by the report (e.g. work on uncommon problems, unforeseen assessments, receiving visitors, etc.).				*			*		
Description/figures about contingency stock(s) and plans		*				*			
Financial overview and/or analysis		*	**	*	***	***		**	**
Conclusions and recommendations (lessons learnt, proposal for or explanation of adapted programme planning if relevant, including explanation of changes in objectives, time frame and activities and additional resources needed)	*	*	*	*	**	***	**	*	*
Description of how the lessons learnt will/should be taken into account by the implementing agency in future planning of other programmes; whether and how the agency will/should use these lessons to revise its policies or procedures.					*	*	**	*	*
Proposal for/description of activities for the next period				**	**	**		*	*
Proposal for the following evaluation and items to be followed up during this evaluation					**	**		*	*
Maps of the area(s)	*	*	**	*			*		
Organigram(s) of the programme(s)							*		
Job descriptions			*				*		
Overview of monitoring forms used						*	*		
Overview of educational material used							*		

Some comments on monthly reports:

A distinction should be made between monthly reports that cover a number of water and/or sanitation programmes and monthly reports that cover different kinds of programmes (e.g. nutritional, curative health etc.). The distinction to be made is not so much in the subjects that should be included but how detailed the descriptions should be.

Some comments on periodic reports:

A periodic report is written by programme field staff (usually the programme manager or coordinator), usually at regular intervals, for instance every three or six months or at any time when it is felt necessary. Also for these reports a distinction should be made between the reports covering a number of water and/or sanitation programmes and the reports that cover different kinds of programmes (e.g. nutritional, curative health etc.). The distinction to be made is not so much in the subjects that should be included but how detailed the descriptions should be.

Preliminary idea about reporting formats

Weekly report

Main objective of the report: overview for programme management which can be used for daily programme management, information to head-office; information source for reports covering larger periods of time.
Report produced by: programme manager(s)
Subjects to be included:

1. Indicate: report type ('weekly report'), programme sort (e.g. "Drinking water programme", Water and Sanitation Programme(s)"), period over which reported, name(s) of programme area(s), author(s) of the report, date of finalization of report.
2. For each programme discuss progress and problems/constraints of the activities in relation to the programme planning (assess whether activities planned for that week have all been properly executed and explain why if not; pay special attention to indicator values measured during that week which differ a lot from the weeks before or which are not according to the quality standards set; also if indicators have not been measured according to the programme planning, explain why).
3. In cases of significant changes/problems in other organizations and/or their programmes which are in some way important for the programme(s) covered by the report, give a short explanation of these changes or problems and how they do or may influence the programme(s) covered by the report.
4. Describe other (potential) problems or issues important for the programme(s) reported on (e.g. security, (potential) problems with water and/or sanitation related subjects for which no programme activities exist, (potential) influx of new arrivals).
5. Describe all (unforeseen) activities carried out which are not standard (unofficial activities).
6. Activities planned for the following week.
7. Miscellaneous.

Monthly report

Main objective of the report: overview for programme management which can be used for daily management purposes; information to head-office; in some cases information to the donors; information source for reports covering larger periods of time.
Report produced by: leader/coordinator of management team (programme managers responsible for delivery of the data/information needed).
Subjects to be included:

1. Indicate: report type ('monthly report'), programme sort (e.g. "Drinking Water Programme(s)", "Water and Sanitation Programme(s)", "WatSan aspects of the Primary Health Care Programme", "WatSan, Nutritional and Curative health Programme") period over which reported, name(s) of programme area(s), author(s) of the report, date of finalization of report.
2. Executive summary.
3. Short description of the history of the programme(s) reported on, including a broad outline of the original strategies and planning, the changes made in the planning so far (and the reasons for them), and the current main objectives and time frame of the programme(s).
4. General description of the environmental health situation in the programme area(s).
5. For each programme discuss progress and problems/constraints of the activities in relation to the programme planning. Include an overview of all the indicators measured during that month, preferably in graphs against time also containing the results of former months, so that a comparison with those months is easy. Assess whether the programme results are according to the objectives and time frame planned. If activities have not been carried out or indicators have not been measured according to the programme planning, explain why.
6. Discuss progress, results, and problems of and coordination with other organizations/programmes as far as they are relevant/important for the programme(s) reported on.
7. Describe other (potential) problems or issues important for the programme(s) reported on (e.g. security, (potential) problems with water and/or sanitation related subjects for which no programme activities exist, (potential) influx of new arrivals).
8. Describe important (unforeseen) activities carried out which are not standard for the programme (unofficial activities).
9. Activities and changes planned/proposed for the following month.
10. Miscellaneous.

Periodic report (usually every 3 or 6 months)

Main objective of the report: decision tool for programme management and head-office, providing an overview of the programme(s) results which can be used to assess whether course(s) of programme(s) should be changed, new activities included or old ones excluded; information and accountability to head office; in some cases accountability to donors; information source for reports covering longer periods of time and/or for external evaluation reports.

Report produced by: leader/coordinator of management team and/or programme manager(s) (programme managers and accountant responsible for delivery of the data/information needed).

Subjects to be included:

1. Indicate: report type (e.g. 'three monthly report'), programme sort (e.g. "Drinking Water Programme(s)", "Water and Sanitation Programme(s)", "WatSan aspects of the Primary Health Care Programme", "WatSan, Nutritional and Curative health Programmes") period over which reported, name(s) of programme area(s), author(s) of the report, date of finalization of report.
2. Executive summary.
3. Description of the history of the emergency.
4. General description of the programme(s) reported on, including an explanation of the original strategies and planning, the changes made in the planning so far (and the reasons for that), and the current programme planning (a detailed overview of objectives, activities, time frame, indicators, resources needed for execution and assumptions made should be put in an Annex, preferably in the form of a Logical Framework).
5. General description of the activities of other programmes/organizations in the programme area(s).
6. General description of the environmental health situation in the programme area(s).
7. For each programme discuss progress and problems/constraints of the activities in relation to the programme planning (give overview of all indicators measured during the period covered by the report, preferably in graphs against time that also contain the results of previous periods, to enable comparison with those periods, and assess (give textual explanation) whether the programme results are according to the objectives and time frame planned; if activities have not been carried out or indicators have not been measured according to the programme planning, explain why).
8. Describe important (unforeseen) activities carried out during the period covered by the report which are not standard for the programme (unofficial activities).
9. Discuss progress, results, and problems of and coordination with other programmes/organizations; put main emphasis on major problems and aspects relevant/important for the programme(s) reported on.
10. Assess for each programme area the combined impact of the activities of all programmes and organizations in that area and the specific contribution of the programme(s) covered by the report to that.
11. Describe other (potential) problems or issues important for the programme(s) reported upon (e.g. security, (potential) problems with water and/or sanitation related subjects for which no programme activities exist, (potential) influx of new arrivals).
12. Conclusions and recommendations. Include: lessons learnt, additional assessments or evaluations proposed, proposal and argumentation for adapted programme planning, if thought necessary, explaining the proposed changes in objectives, activities, time frame, indicators and resources (include a proposed new Logical Framework in an Annex when considerable changes are proposed).
13. Financial overview and analysis (*Questions:* should this not be done in a separate report covering all finances from field to head-office level, and if included in this report, which finances should be included / which not?).
14. Maps of the area(s), organigram(s) of the programme(s), job descriptions, monitoring forms used, description of educational material used, designs of facilities and textual explanation.
15. Bibliography with literature used and recommended.
16. Miscellaneous.

External evaluation report (executed in ongoing programmes when needed or at standard intervals)

Main objective of the report: external control if everything is done as claimed, decision tool for programme management and head-office, providing an overview of the programme(s) results which can be used to assess whether course(s) of programme(s) should be changed, new activities included or old ones excluded; lessons to be learnt for future programmes and organizations' procedures, structures etc.; usually also used for accountability to donors.

Report produced by: mission with people from head-office and/or the donor agency or agents temporarily employed by them for that specific mission (head-office staff, national staff, programme managers, leader/coordinator of management team, and accountants responsible for cooperation and delivery of data/information needed).

Subjects to be included:

1. Indicate: report type ('External evaluation report'), programme sort (e.g. "Drinking Water Programme(s)", "Water and Sanitation Programme(s)", "WatSan aspects of the Primary Health Care Programme", "WatSan, Nutritional and Curative health Programme") period over which reported, name(s) of programme area(s), author(s) of the report, date of finalization of the report.
2. Executive summary.
3. Description of the methodology, work schedule/ToR and purpose of the evaluation (can be put in an Annex).
4. Description of the history of the emergency.
5. General description of the programme(s) reported on, including an explanation of the original strategies and planning, the changes made in the planning so far (and the reasons for that), and the current programme planning (a detailed overview of objectives, activities, time frame, indicators, resources needed for execution and assumptions made should be put in an Annex, preferably in the form of a Logical Framework).
6. General description of the activities of other programmes/organizations in the programme area(s).
7. General description of the environmental health situation in the programme area(s).
8. For each programme discuss progress and problems/constraints of the activities in relation to the programme planning (give overview of all indicators measured during the period covered by the report, preferably in graphs against time that also contain the results of previous periods to enable comparison with those periods, and assess (give textual explanation) whether the programme results are according to the objectives and time frame planned; if activities have not been carried out or if indicators have not been measured according to the programme planning, explain why).
9. Describe the contingency capacity and contingency plans (how much of which equipment is available and where; how much time is needed to mobilize equipment and human resources and get them in place).
10. Describe important (unforeseen) activities carried out during the period covered by the report which are not standard for the programme (unofficial activities).
11. Discuss progress, results, and problems of and coordination with other programmes/organizations; put main emphasis on major problems and aspects relevant/important for the programme(s) reported upon.
12. Assess for each programme area the combined impact of the activities of all programmes and organizations in that area and the specific contribution of the programme(s) covered by the report to that.
13. Describe other (potential) problems or issues important for the programme(s) reported upon (e.g. security, (potential) problems with water and/or sanitation related subjects for which no programme activities exist, (potential) influx of new arrivals).
14. Describe how programme staff measure the indicators and how their monitoring performance is controlled.
15. Explain security plans and describe whether they are adequate, how they could/should be improved.
16. Conclusions and recommendations. Include: lessons learnt with emphasis on application for the programme(s) evaluated (if relevant), future programmes, and the structures and procedures of the implementing agency; for ongoing programmes: description of and argumentation for additional assessments or evaluations believed to be necessary, proposal(s) and argumentation for adapted programme planning, if thought necessary, explaining the proposed changes in objectives, activities, time frame, indicators and resources (include a proposed new Logical Framework in an Annex if large changes are proposed).
17. Complete financial overview and analysis of programme(s) finances from field to head-office level according to the head-office's and/or donor's requirements.
18. Maps of the area(s), orginogram(s) of the programme(s), job descriptions, monitoring forms used, description of educational material used, designs of facilities and textual explanation.
19. Bibliography with literature used and recommended.
20. Miscellaneous.

Handover and/or end of mission report for programmes which are not yet finished

Main objective of the report: information source for following manager, information to head-office.
Report produced by: programme manager.
Remark: this report should be as detailed as possible to facilitate the take-over by the succeeding manager and should preferably be finished (and be given to and discussed with the succeeding manager) before the manager leaves the area.
Subjects to be included:

1. Indicate: report type ('Hand over report' or 'End of mission report'), programme sort (e.g. "Drinking Water Programme(s)", "Water and Sanitation Programme(s)") period over which reported, name(s) of programme area(s), author(s) of the report, date of finalization of the report.
2. Executive summary.
3. Description of the history of the emergency
4. Description of the programme(s) reported on, explanation of the original planning, the changes made in the planning so far (with the reasons for that), and the current programme planning (a detailed overview of objectives, activities, time frame, indicators, resources available and assumptions made should be put in an Annex, preferably in the form of a Logical Framework).
5. General description of the environmental health situation in the programme area(s).
6. For each programme discuss progress and problems/constraints of the activities in relation to the programme planning (give overview of all indicators measured during the whole programme, preferably in graphs against time, and assess, giving textual explanation, whether the programme results are according to the objectives and time frame planned; if activities have not been carried out or indicators have not been measured according to the programme planning; explain why).
7. Describe large (unforeseen) activities carried out during the period covered by the report which are not standard for the programme (unofficial activities) and explain to what extent they can be expected in the future.
8. Discuss progress, results, and problems of and coordination with other programmes/organizations; put main emphasis on major problems and aspects relevant/important to the programme(s) reported on.
9. Assess for each programme area the combined impact of the activities of all programmes and organizations in that area together and the specific contribution of the programme(s) covered by the report to that.
10. Describe other (potential) problems or issues important for the programme(s) reported on (e.g. security, (potential) problems with water and/or sanitation related subjects for which no programme activities exist, (potential) influx of new arrivals).
11. Conclusions and recommendations. Include: lessons learnt, description of and argumentation for additional assessments or evaluations believed to be necessary, proposal(s) and argumentation for adapted programme planning, if believed necessary, explaining the proposed changes in objectives, activities, time frame, indicators and resources (include a proposed new Logical Framework in an Annex if large changes are proposed).
12. Remarks about finances, book-keeping, administration (how is it organized, what has gone wrong in the past, how much budget is available for the various activities/purposes, etc.).
13. Maps of the area(s), organigram(s) of the programme(s), job descriptions, monitoring forms used and explanation of how and when indicators should be measured if not yet explained elsewhere (or referral to manual in which this is described), description of educational material used, designs of facilities and textual explanation.
14. Bibliography with literature used and recommended.
15. Miscellaneous.

Final external evaluation report at the end of a programme or cluster of programmes

Main objective of the report: accountability to the head-office and donor(s); external control to check whether everything has been done as claimed; lessons to be learnt for future programmes and organizations' procedures, structures etc.

Report produced by: mission with people from head-office and/or the donor agency or agents temporarily employed by them for that specific mission (head-office staff, national staff, programme managers, leader/coordinator of management team, and accountants responsible for cooperation and delivery of data/information needed when they are still in place at the time of the evaluation).

Subjects to be included:

1. Indicate: report type ('External final evaluation report'), programme sort (e.g. "Drinking Water Programme(s)", "Water and Sanitation Programme(s)", "WatSan aspects of the Primary Health Care Programme", "WatSan, Nutritional and Curative health Programme"), period over which reported, name(s) of programme area(s), author(s) of the report, date of finalization of the report.
2. Executive summary.
3. Description of the methodology, work schedule/ToR and purpose of the evaluation (can be put in an Annex).
4. Description of the history of the emergency.
5. General description of the programme(s) reported on, including an explanation of the original strategies and planning, the changes made in the planning during the course of the programme(s) and the reasons for that (an overview of the final formulation of objectives, activities, time frame, indicators, resources needed for execution and assumptions made should be put in an Annex, preferably in the form of a Logical Framework).
6. General description of the activities of other programmes/organizations in the programme area(s).
8. For each programme discuss how the activities developed in relation to the programme planning (give overview of all indicators measured during the programme, preferably in graphs against time, and assess, giving textual explanation, whether the programme results are according to the planned objectives and time frame; if activities have not been carried out or indicators have not been measured according to the programme planning, explain why).
9. Discuss progress, results, and problems of and coordination with other programmes/organizations with main emphasis on major problems and aspects relevant/important to the programme(s) reported on.
10. Assess for each programme area the combined impact of the activities of all programmes and organizations in that area together and the specific contribution of the programme(s) covered by the report to that.
11. Describe other problems or issues which were important for the programme(s) reported on (e.g. security, problems with water and/or sanitation related subjects for which no programme activities exist, influxes of new arrivals).
12. Complete financial overview and analysis of programme(s) finances from field to head-office level according to the head-office's and/or donor's requirements.
13. Conclusions and recommendations. Answer to questions such as: has the programme achieved its objectives as was planned (assess for this purpose as much as possible the effectiveness, efficiency, relevance, impact and sustainability), was the contingency capacity sufficient throughout the programme, what are the lessons that can be learnt for future programmes and for improvement of the structures and procedures of the implementing agency.
14. Maps of the area(s) and organigram(s) of the programme(s).
15. Bibliography with literature used and recommended.
16. Miscellaneous.

Appendix 7 : General background to monitoring and evaluation

The purpose of monitoring and evaluation

When introducing M&E, one of the first questions which comes up is of course 'why is M&E so important?'. A theory which gives some more background to this question is the "contingency theory". This theory takes the congruence between organizational structure and its environment as a basic assumption, in which the environment comprises virtually everything outside the organization, such as its technology, the nature of its products, customers, and competitors, its geographical setting, the economic, political and even the meteorological climate in which it must operate, and other organizations (Mintzberg 1979, quoted in Reyn 1994). Situational factors determine the most favourable organizational structure and the optimum design of processes and programmes. Organizations whose structure is best suited to the environment will be able to make products better tuned to the circumstances and will therefore survive.

To enable an organization to adapt itself or its programmes in the best possible way to the environment in which it operates it must have information about this environment and the effects of the programme and/or organization on it. M&E is an important tool for providing and analysing such information for the different organizational levels at which the information is needed. Reflecting on these arguments and the context of the report, it can be said that <u>the purpose of M&E is to provide analysed information which:</u>

- **enables implementing agencies not only to adapt their ongoing and future programmes better to the circumstances under which they operate, but also to optimize their own organizational structures and procedures, and therefore to deliver better products and services,**
- **enables the implementing agencies to account for their work to both the donors and beneficiaries,**
- **enables donors to determine the performance of their implementing partners better and decide on funding of these agencies' ongoing or future programmes,**
- **enables donor agencies to improve on their own tasks,**
- **strengthens the trust between donor and implementing agencies and between beneficiaries and implementing agencies,**
- **strengthens formal and informal networking and exchange of information between the organizations involved.**

(Sources: Reyn 1994 and the guidelines received from the participants).

Some basic aspects of monitoring and evaluation

For M&E purposes it is important that programme objectives are clearly defined and that for each objective indicators are formulated which will yield the information needed, when measured regularly and correctly, to assess all or part of the five evaluation elements *'efficiency, effectiveness, impact, relevance and sustainability'*. The choice of the indicators depends on the criteria against which the programme will be assessed. Typical questions to be answered both during monitoring and evaluations, though with different degrees of depth, based on the five evaluation elements, are:

- Were the results of the programme activities achieved efficiently (could the same or better results have been achieved cheaply, quickly, with less effort)?
- Are the results of the programme activities effective (do facilities work and are they used as intended, are hygiene messages really brought to the people and are they understood)?
- Do the results of the activities have the impact(s) (on health, the environment, the local economy, etc.) as was intended (and, are there also other, possibly negative, impacts)?
- Are programme activities and their results relevant (do they fulfill a need / contribute to the achievement of the objectives, is the objective relevant, i.e. does it cover a need)?
- Are the results sustainable (do they last?).

These questions cannot all be answered when only gathering information during or at the end of the programme. For the impact and relevance questions for instance, information on the situation prior to the commence of a programme will also be needed as this will allow the differences with the situation at the time of the evaluation to be determined. In development programmes a **baseline study** is usually executed to provide such information, complemented by information already available from earlier identifications and appraisals executed for the programme and by existing reports and statistics about the area. As discussed in the general text in emergency situations the time for an extensive baseline study is not usually available and only a short **initial needs assessment** is executed to determine the type and scale of assistance required. This information is often insufficient to function as a complete baseline against which the programme objectives can be evaluated. Other factors, such as dangers in conflict areas, political factors, impossibility of getting information about the situation in people's original home areas, may also hamper the possibilities to collect baseline information. (see also Ch. 2).

There may also be other factors hampering monitoring and evaluation. For example other programmes, or seasonal influences, which often influence the same issues as worked on by the programme, can make it difficult to assess the contribution of a programme to the results. Ideally for this purpose a control group without access to the programme should be monitored and compared with groups that had access to the programme. However, this may be difficult to realize and is certainly not acceptable in camps for ethical reasons (see also Chapter 2).

On many occasions only part of the information is collected, for instance when evaluators are interested in an analysis of only part of the five evaluation elements or when resources are insufficient to collect all the information needed. In this case it is better to refer to a review (more general than an evaluation and not assessing impact) or audit (mainly directed at financial analysis or at very specific questions about the programme) instead of an evaluation.

Many evaluations are also restricted to a certain subject, for instance: *health impact evaluations* which try to establish a relationship between the improvements resulting from the programme and reduced morbidity and mortality figures; *technical evaluations* of the services implemented, mainly based on hard data such as water quality and quantity, structures built etc.; *administrative evaluations* for a material and financial analysis; and *community level evaluations* which concentrate on community participation and factors at community level. (largely after Borton 1994, and Cairncross 1980).

Methods which can be used for evaluation purposes

Some methods which are often used in evaluations or which facilitate evaluations are:

Cost-benefit analysis (CBA)

A cost-benefit analysis estimates and compares the costs and benefits of a programme. It is specifically useful for an analysis of a programme's efficiency. Shortcomings: where the relationship between inputs and outputs is diffuse, where it is difficult to calculate the exact costs incurred by a programme or where there are important non-quantifiable outputs it is difficult to make such an analysis. More information in: Renard and Berlage 1992.

Logical Framework Analysis (LFA)

A logical framework analysis involves the development of a matrix in which such elements are defined as the programme objectives, indicators, activities, the means, methods, timing and locations of measurement of the indicators, and the assumptions and risks. In itself the method is mainly a tool for programme development and does not constitute a means of evaluation, but when properly used (i.e. when all elements are described, defined and/or chosen in as good and as detailed a way as possible and according to their definitions) the logical framework developed can form an important basis for the evaluation process. More information in: Coleman 1987, and NORAD 1990. (See also App. 1 for an example of a logical framework).

Minimum Evaluation Procedure (MEP)

The minimum evaluation procedure was developed specifically for the evaluation of water and sanitation programmes by the World Health Organization in 1983. It breaks down the evaluation into stages. The first stage is to assess to what extent facilities are working satisfactorily (the term '*facilities*' is used here for water and sanitation facilities as well as for hygiene education). If they are not working satisfactorily the reasons have to be identified and remedial action taken. Only when the conclusion is that facilities are working satisfactorily can the evaluation procede to the next stage, which is to find out whether they are used as intended. If unused or only partly used, the reasons need to be investigated and remedied. Only when the facilities are used correctly <u>may</u> the evaluation continue with the third step, an assessment of the impact of the facilities. The reasoning was that assessing the impact of a programme on health is much more complicated and expensive than assessing functioning and utilization of facilities (although nowadays we know that this is not necessarily always true) and that knowledge about how facilities are used gives a strong indication of the impact on health (this has been shown in numerous studies which all conclude that properly improved facilities, used correctly by the majority of people, has a considerable impact on health). More information in: WHO 1983.

Rapid Rural Appraisal (RRA)

Rapid rural appraisal techniques can be used as a rather quick (thus inexpensive) method for the evaluation of a programme. RRA takes social development objectives into consideration and pays more attention to the views of the target population. It includes flexible, opportunistic, improvised and iterative approaches to learning rather than the use of standardised blueprints; techniques for offsetting the spatial, seasonal, professional and personal biases often involved in less structured and sensitive approaches to the gathering of information; the involvement of rural people in the learning process; the use of methods to cross-check information from more than one source; methods for optimising the information obtained so that time is not spent gathering information that is not directly useful; critical self-awareness on the part of those undertaking the assessment. (largely after Chambers 1992, quoted in Borton 1994). Experience with RRA in relief programmes is however limited.

Participatory Rural Appraisal (PRA)
Participatory rural appraisal is a further development of RRA and shifts the primary responsibility for the collation, analysis and presentation of information from 'outsiders' to the people themselves. Also with PRA experience in relief programmes is limited.

Two kinds of evaluation

Two kinds of evaluations are distinguished in this report:

- **Periodic evaluations** (e.g. every three or six months or whenever necessary). These are assessments executed during the course of a programme to produce more extensive insight into the programme for both the field management and the higher levels of the implementing agency. The objective is to facilitate correct decisions about the course and continuation of the programme. Information from the monitoring system and previous reports is used as a basis, but usually during the evaluation additional information is also obtained on an ad hoc basis (e.g. by walks through the camp, discussions with staff, people in the camp etc.). The reports of periodic evaluations are usually also sent to the donor agency (accountability function). Periodic evaluations are usually executed by staff from the implementing agency, either the programme managers (in the case of financial evaluation being included, together with programme level administrators) or staff from the head office coming for that purpose to the field for a certain period. External consultants may also be hired to do the evaluation. Periodic evaluation may also cover a number of programmes, for instance all or a number of the programmes in one camp (e.g. sanitation, water, nutrition, curative health care), all water programmes in all the camps in one area, etc.

- **Final or ex-post evaluations** to provide insight into and conclusions about finalized programmes for the implementing and/or the donor agency. Objectives may include using the evaluation to improve the future functioning of the implementing and/or donor agency, to improve future programmes, and to account to the donor etc. Final evaluations may be carried out by 'insiders' (people from the implementing organization; usually field staff, sometimes a combination of field and head-office staff or head-office staff only), by combined teams of insiders and 'outsiders' (e.g. staff of the donor agency or consultants sent by them) or by outsiders only. Final evaluations may also cover a number of programmes, e.g. all the programmes in a certain country or area for which funding came from one donor.

The information needed for the two kinds of evaluation may differ although usually there are large overlaps. (See Appendix 6 for further details about what subjects should be included in different kinds of reports).

Methods for gathering of information

(Largely after: Boot and Cairncross 1993, Chapters 4 and 5, and Davis and Lambert 1995, paragraph 4.3).

There are a number of methods of gathering information.They can be divided in 2 main groups:

- *observations*
- *interviews*

Observations

Open or unstructured observations:
Observations which are not organized in a complete or detailed way. They can be planned, focused and systematic (e.g. walks through a refugee camp, passing certain structures), or unplanned (e.g. observations made haphazardly during work at a certain site).
Unstructured observations are nearly always combined with or followed by conversations and unstructured interviews.

Structured observations:

- Continuous observations: observations and registration carried out over an extended period of time. Examples: spending a day somewhere to observe certain behaviour patterns (e.g. at a public latrine near a tapstand to see how many latrine users wash their hands after coming out of the latrine), continuous or regular interval metering and registration of the water flow in a river, monitoring and registration of health data at a clinic.

- Spot check observations: observations and registration made during a limited period of time directly after arrival at a certain site. Examples: number of flies in a latrine, whether or not drinking water container covered, dirtiness of living area, presence of soap and/or ash and water at or near the latrine, residual chlorine of the tap water, faecal coliforms in the water from a well (perhaps not directly measured, but the sample is taken directly on arrival), depth of the water table in a well; physical surveys such as topographical, soil and geophysical surveys consist of a number of spot check observations, and an aerial photograph is probably the quickest spot check observation.

- Rating check observations: observations which require a judgement by the observer. For example, 'woman washes her hands' is a simply an observation of the behaviour of an individual, while 'woman's hands are clean' requires a judgement by the observer (only to be used when unavoidable as a judgement is subjective and thus tricky).

Key questions to be answered when planning observations: should the observations be location or person based (person based is when, for instance, a woman who goes and collects water at a well is followed), how long should the observations take, when should the observations be made (time(s) during the day, which season, etc.), how often should the observations be repeated.

Interviews

Open or unstructured interviews:

- Informal conversational interviews: spontaneous talks with individuals and groups on the subject of the study.
- Key informant interviews: informal interviews with people who have a certain specific knowledge on the subject of interest.
- Focus group discussions: an open discussion amongst a small group of people on a specific subject in which the interviewer acts as a facilitator, stimulating the participants to keep discussing the subject until no new points emerge.
- Topic focused interviews: the interviewer has a list with a number of topics that should be discussed during the interview and formulates the questions him/herself during the interview.

Semi-structured or standardized open-ended interviews:
Interviews guided by a list of open-ended questions which are asked in exact wording and order as they have been written down, but which allow the respondent to give his or her own words, thoughts and insights in answering the questions. The questions are formulated after a qualitative investigation.

Structured interviews:
Interviews with closed instead of open-ended questions, which limit the answers to a predetermined set of choices.

Selection of methods

The choice of the methods for gathering information depends on:

- **the purpose for gathering information,**
- **the phase of the programme,**
- **subjects/topics of interest,**
- **the skills of the staff collecting the information, and**
- **the time and resources available.**

Usually a combination of methods is chosen.

Appendix 8 : Results of the Emergency Sanitation Workshop

This Appendix presents the executive summary of the Proceedings of the International Workshop about sanitation in emergencies, held in Oxford, December 1995. (Source: Adams 1996).

Section 1 Executive summary

1.1 Summary of workshop discussions

The fundamental problem which prompted this workshop is this: in most emergency situations, sanitation interventions are often inadequate, and certainly not as effective as those to provide water, health care or other vital necessities. There was a remarkable consensus among the participants on a number of related and overlapping reasons for this. The following summary, illustrated by quotes from the workshop discussions, presents some of the areas where work is needed. The participants agreed on recommendations for addressing some of these needs and these are presented in full in Section 4.

Promotion of sanitation in emergencies

Many participants have experienced difficulty in persuading others, including those within their own organisations, of the importance of sanitation in emergencies.

... In the field there are journalists coming every second week. We take them to the hospitals, to the UN aid centre, to see the social services, and to see some kids. I always put my hand up and say 'no one ever comes to look at my latrines.' You know, it becomes a real pain... My latrines are never on the schedule.

Giving more attention to sanitation in emergencies is at least partly the responsibility of those working in the sector.

It seems that nobody wants to deal with sanitation, and people working in the sector seem to have failed to bring sanitation to the attention of key decision makers. A crucial problem is how to give sanitation more priority in emergency responses.

One answer is promoting sanitation with core messages, media strategies, and lobbying, but there are also some fundamental reasons why few agencies do good sanitation work in emergencies.

Coordinated technical development

Part of the reason for the very variable quality of emergency sanitation work in the field is the lack of clear guidelines for technology choice and implementation and lack of agreement on minimum standards. This makes field coordination difficult.

For effective coordination in the field, the sanitation coordinator should have the backup of agreed guidelines. At the moment any body can say anything goes and there is no agreement on what is good or bad practice.

Most of the current literature relating to emergency sanitation is of very limited practical use and rarely helps in the more difficult situations faced by workers in the field.

We have a number of flowcharts in sanitation books asking 'is there a sewer available? Is there a town engineer?' This is not specific to what we are talking about. If I were to go out into the field again as part of a coordinating team I would want a flowchart on four or five key subjects, then the team would all be working along the same lines. One of the problems in sending in a team is that you can fall out very quickly within the team as to what your priorities are. ... If there were a good set of documents coming out of this meeting then people going into the field would not just be referring to a lot of books that are not strictly relevant.

Guidelines are needed on implementing the technical options already available.

I think that if you look at the basic technical options, there are actually very few. The problem is the way in which you implement those options, not the options themselves.

Implementing is very site specific.

Exchange of information

Many agencies implement emergency sanitation programmes, and they come across the same problems and go through the same learning process. There is no mechanism, at the moment, for agencies and individuals to be able to exchange information and learn from each other.

I think that a newsletter on sanitation in disasters might be the way forward.

This could be used, among other things, to advertise training courses, present ideas for improved equipment, run debates about issues of common concern, such as funding, and describe projects with their successes and failures.

Information for learning from other programmes is not easily available, as it is mostly filed away in agency offices and not shared between agencies.

It is important to record experiences of different sanitation programmes: what went wrong as well as what went right. The more you know about other experiences, the better your decisions are likely to be. A small book of case studies would be really useful, if people are willing to talk about their failures.

There is also a need to review existing literature and ideas on the subject to ensure that relevant and appropriate information is available for training and project design.

It is quite frightening if you read the literature on what is still advocated, on community participation for example. A lot of the literature that is used in the universities is outrageous.

Information and specialist advice is currently available from individuals and institutions such as universities. Some form of directory would enable people to get in touch with such experts when they need the kind of specialised information that most agencies do not have.

Better initial assessments of emergencies:

At the time of the initial assessment of emergency situations, information is gathered for critical decisions which define future interventions. Sanitation needs should be adequately considered in assessments, along with needs for water, shelter, food, security, and medical care. This requires sanitation specialists to be included in assessment teams, and good coordination to ensure that at least one capable agency is looking at the sanitation problem.

Improved kits of equipment and information for emergency sanitation

While for water supply and health there are tried and tested packages of equipment and guidelines for use, there is very little available for sanitation workers in the form of standard equipment, ready to use, to enable a fast, good quality response in an emergency.

I think our technology is not adequate. I am still bothered by what to do on problem sites. For a lot of sites we do not yet have a solution.

Some agencies have developed basic equipment such as plastic latrine slabs or kits of tools for digging latrine pits but in comparison with water supply equipment, there has been little collaborative work so far.

Effective community participation in emergency sanitation programmes

Community participation is essential for effective and sustainable emergency sanitation programmes. There is very little guidance available at present on when, how and to what extent to engage people affected by emergencies in solving their sanitation problems. Whether or not this is done and how well it is done depends very much on the background and interest of individual workers. Relationships and approaches established during the early stages of an emergency strongly influence the outcome of later stages.

I think that there needs to be some basic research done as to what are the methods to be used and what guidelines there should be to promote community participation in the early stages.

There is a need both for better training and guidance for generalist sanitation workers, and for better use of existing staff within agencies.

You cannot expect an engineer to adopt these methods overnight, or even in a lifetime because it requires entirely different skills. So it is not just training of present staff but getting different people into these situations.

Often specialists in hygiene promotion or community mobilisation may be included in emergency teams but not given the resources to do their job. Greater commitment is needed from agencies for involving communities in emergency sanitation.

John did mention a situation where two health education people got squeezed out by the engineers and this happens more or less every time as far as I can see. So we need some commitment from us as agencies, that these things are important and that we won't squeeze people out.

Better project management tools

Part of the reason for the variable quality of sanitation work in emergencies is the lack of suitable project management tools to enable implementing agencies, co-ordinating bodies, and funders to measure and control the quality of work done and to allow objective evaluation of performance and impact.

In the sanitation sector my feeling is that we lack goalposts. We all know that we are specialists and we know basically how it works but concretely we lack tools. From the very beginning we need to be tools for assessment, formulation of the project, implementation, monitoring and then reassessment and so on.

Recruitment and training

Sanitation in emergencies requires a distinct set of skills which cross the boundaries of traditional disciplines such as civil engineering, public health, and community work. There is a need to look at the type of skills required to design and manage emergency sanitation programmes.

Do we want to use the existing range of people and skills that we have got, or people from a different type of background? ...Engineers are probably not the best people to do sanitation and the sort of people we are looking for have to have a wider base. Maybe we should be looking for environmental health officers ...

Indeed, sanitation in emergencies often suffers from management by people with very few relevant skills.

So far, sanitation has been done by the botchers. They can't get any other job, so they go off and do sanitation. We are now trying, as a profession, to become more professional.

It may be that people with a different background are needed. On the other hand, more could be done by training existing staff.

It comes back to a problem of training, particularly at the level at which major decisions are taken. There seems to be a lack of confidence among people deciding about emergency sanitation programmes, which is not seen in other sectors. If institutions and courses could be identified and developed for all sorts of people involved in sanitation, that would be a major resource.

Currently training specifically for emergency sanitation is done in an ad hoc way, with different agencies arranging courses, internally or through training institutions.

What you want is a coordinated training programme available to all.

Agencies currently running their own training programmes do try to make them available to others but there is no central register of courses available.

More on-the-job training of inexperienced staff is needed, to increase the pool of experienced people.

You will always be dealing with a situation where you have a significant proportion of people operational in a crisis situation who have not got very much or any experience. That is because in non-crisis situations agencies take only the most experienced people they can get hold of. They don't pay enough attention to the fact that they should try to build for the future.

Early warning systems and information for project planning

A number of agencies are involved in large-scale emergencies, and the quality of their work, particularly in sanitation, can be very dependent on the information they gather on the situation. At present there is no effective mechanism for gathering relevant data and disseminating this widely to agencies for early warning, planning, and monitoring. (See paper and working group discussion on the environmental impact of emergency sanitation programmes.) Several recommendations were made on this issue.

More and better directed funding

Money is needed for training, technical development and community mobilisation to produce better sanitation programmes with more effective and sustainable outcomes.

Donors, coordinating bodies and implementing agencies should understand that good sanitation cannot be done cheaply.

It costs a lot of money to do sanitation well. Oxfam's experience with setting up water supply systems is that they cost a lot of money but once they are done they last a long time. With sanitation it seems that we underfund and we put in systems which don't cost too much to begin with but in the long run it costs a lot of money.

The message that should be given very strongly to donors is that effective emergency sanitation costs money, but that sufficient investment early on in the programme produces savings later, in lower costs for maintenance and replacement of facilities.

Further participatory work by agencies concerned in emergency sanitation

Specific issues need to be pursued in other fora, in multilateral and bilateral work as well as within each agency. A focal point for keeping people in touch with progress is needed.

The participants agreed that the workshop was the first opportunity of this kind for a range of people concerned with the practical problems of sanitation in emergencies to share ideas and make joint recommendations for improving practice in the field. It was agreed that a follow-up meeting be planned for in a year's time to evaluate progress on the recommendations made.

1.2 Summary of recommendations and action points

Apart from recommendations made by the working groups on particular subjects, a list of recommendations and action points was drawn up on the final day in a full plenary session. General agreement was found on the following points (given in full in section 4):

1. **Promotion of sanitation in emergencies:** Sanitation should be given a higher priority, as a distinct and vital part of any response to emergency situations.
2. **Coordination of developments in emergency sanitation:** Developing techniques and guidelines for improved practice in emergency sanitation work should be given higher priority and should be done in a collaborative way.
3. **Information exchange:** The exchange of information on emergency sanitation should be improved.
4. **Initial assessment of emergency situations:** Sanitation considerations should be given a higher priority in initial assessments.
5. **Development of sanitation kits:** Kits, or packages of equipment and information should be developed for emergency sanitation work.
6. **Community participation in emergency sanitation programmes:** Community participation in emergency sanitation programmes should be encouraged and practice improved.
7. **Project management tools:** Project management tools should be developed to improve sanitation work in emergencies.
8. **Recruitment and training:** Recruitment and training of emergency sanitation workers should be improved at all levels.
9. **Early warning systems and information for project planning:** Early warning information, baseline and planning data should be made more accessible for agencies working on emergency sanitation programmes.
10. **Funding:** More and better targeted funding should be made available to enable good quality sanitation work to be done in emergencies.
11. **Further participatory work:** This workshop should be the start of a process to improve the status and practice of sanitation in emergencies, and should not simply be a one-off event.

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IRC
David Saunders and Kathleen Shordt
P.O. Box 93190
2509 AD Den Haag

Leiden, 16-07-1996

Dear David and Kathy,

Hereby I send you the final report **'ASSESSMENT OF EXPERIENCES, ATTITUDES, BELIEFS, DEVELOPMENTS AND IDEAS AMONG IMPLEMENTING, DONOR AND SUPPORT AGENCIES WITH RESPECT TO MONITORING AND EVALUATION OF WATER AND SANITATION PROGRAMMES IN CAMPS FOR REFUGEES OR DISPLACED PERSONS'.**

The Netherlands Ministry of Foreign Affairs has agreed with the report last week and has agreed to distributing it to all the organizations who have participated in the assessment. You may find it interesting to know that the emergency aid office (Buro Noodhulp) of the Ministry has expressed its interest in financing a follow-up on this assessment. I'm still thinking about suitable strategies to motivate the organizations who have participated in the assessment to start with follow-up activities for which then possibly the Ministry of Foreign Affairs could provide the funding. Any comments/ideas from your side would be wellcome. What about joining efforts (IRC/deVeer consultancy)?

Sincerely,

Tom de Veer

Tom de Veer

Attached: Final report 'Assessment of experiences, attitudes, beliefs, developments and ideas among implementing, donor and support agencies with respect to monitoring and evaluation of water and sanitation programmes in camps for refugees or displaced'.